

# **REPORT OF THE STABLE AND STUD STAFF COMMISSION**

**June 2004**

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## **Glossary of Acronyms**

AMA	Advanced Modern Apprenticeship
BHB	British Horseracing Board
BHEST	British Horseracing Education and Standards Trust
BHTB	British Horseracing Training Board
BRS	British Racing School
BSSTS	British Stud Staff Training Scheme
HBLB	Horserace Betting Levy Board
HSE	Health and Safety Executive
IEP	International Exchange Program
IIP	Investors in People
NRC	Northern Racing College
NVQ	National Vocational Qualification
NTF	National Trainers' Federation
RCA	Racecourse Association
RIABS	Racing Industry Accident Benefit Scheme
RPI	Retail Prices Index
SLA	Stable Lads' Association
TAG	Training Advisory Group
TBA	Thoroughbred Breeders' Association

# 1. OVERVIEW

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Racehorse training and breeding in the United Kingdom is a relatively small industry, with upwards of 1000 yards and studs employing some 6500 full-time staff. But this activity is the heart of our great sport of racing; without the skills and hard work of its employees there would be no beautiful horses running, fit and ready to win, at Ascot, Sandown or Towcester. On our visits to yards and studs across the country, it became very clear that employers and employees alike care passionately about their work. In a well-managed and successful yard or stud, staff spirits can be visibly and impressively high, with job satisfaction clearly compensating for the modest material rewards. I witnessed such contentment on visits to Berkshire, Yorkshire and especially in the West Country.

The industry we surveyed is based on small and often rural units – a hundred employees constitutes a rare ‘large’ business. Like many small businesses in other industries, it is traditional and conservative in style and character. That is part of its unquestioned charm. It does not always welcome the changes affecting it. We found some racehorse trainers who looked back on what they regarded as a golden earlier age when staff from an agricultural background knew instinctively every aspect of horse-riding and management, were deferential to their masters and worked uncomplainingly and with total commitment throughout long days and weekends. Equally, older staff sometimes looked back nostalgically on a time when they were required to look after fewer horses with less pressure and had no Sunday or evening racing impinging on their family leisure time.

Times have changed and are still a-changing. This small industry, set in time-honoured ways of racehorse training and yard and staff management, with its focus on the horse rather than on the people who look after the horse, has been subject in recent years to severe pressures to adjust and modernise. Some of these pressures have resulted from economic and social changes affecting our whole society. Others derive more directly from the sport which racehorse training and breeding service. Racing, which was originally a rich man’s hobby, has recently been completing a turbulent transition to a modern leisure industry generating huge revenue for some participants (though not always benefiting the staff).

Several aspects of these changes are of specific significance here. The horse population and race fixture list are expanding rapidly, with a focus on evening and weekend racing putting pressure on the industry to recruit extra staff. But this is happening at a time when the supply of relevant staff is contracting due to low levels of unemployment, the urbanisation of our society, the trend for young people to stay on in further education rather than pursue jobs, and the younger generation’s growing obesity and unfamiliarity with the very physical nature of stable and stud work. In addition, modern British youth, to their credit, do not readily accept the authoritarian approach and assumed deference associated

with the traditional management styles long characteristic of the racing and breeding industries.

The combined factors of contracting supply and the need for more skilled labour has led to a perceived staff shortage which was one of the factors that prompted the setting up of this Commission. The recent rapid increase of foreign employees in yards is a natural market reaction to this domestic shortage. Unless the domestic supply of skilled labour is significantly increased, that overseas element will grow to a major proportion, especially now the Central European states have joined the European Union and have easier access to work in the UK. We have no objection in principle to that development, since on our observation these employees impress employers with their hard work and commitment. However, they are not currently in the industry for life careers in Britain and, being more easily satisfied, they may be a drag on improving terms and conditions of employment. They also currently exist outside the racing schools' training system.

Racing – and to a lesser extent the breeding industry – has always operated on the implicit assumption that the staff will cope with whatever demands are made on them, but it has never made higher demands of those staff than it is at the moment. The main staffing issues facing us are, of course, not entirely new. The Burnham Report on stable staff (2000) identified a range of issues requiring attention. The industry responded positively to many of its recommendations and our Commission acknowledges that progress has subsequently been made. Our analysis suggests that the greatest headway has been achieved in those areas that lie within the remit of the racing authorities. However, areas outside the central remit, especially those relating to the employment experience in yards, have not progressed as far. This was emphasised in last year's Racing Post campaign and was confirmed in our subsequent findings. In the submissions we received, in our broad survey of stable staff, and in our discussions during visits with employers and staff, strong messages were conveyed and these have influenced our conclusions. We also consider that the theme of industry modernisation recently emanating from the British Horseracing Board in relation to racing in general, applies equally to the particular issue of recruiting and retaining stable and stud staff. Although there are clearly some differences between racehorse training and breeding, the two activities share many staffing problems in common and where possible we address them together. At root, we believe that the industry must strive to build a 21<sup>st</sup> century workforce with the appropriate skills and management practices to attract and retain skilled employees with modern lifestyles and expectations.

While our considerations have naturally focused on the 'problems' raised with us, we have never lost sight of the fact that much is positive in the industry. Nor have staff. An impressive 88% of the respondents to our survey of stable staff indicated that, on balance, despite complaints about a few recurring major issues, their yards were a 'good place in which to work'. Many appreciate the

open-air life-style. Though often complaining about low financial compensation, poor accommodation and the lack of recognition for their efforts, they above all love working with horses and derive their main job satisfaction from that. We talked to staff who had earlier left the industry because of low pay – but returned because the boring routines in factories, warehouses or supermarkets lacked the satisfactions of equine life.

However, that love and dedication should not be used as an excuse for poor practices in their employment. As in the public services with nurses and carers, vocational dedication can too easily become an excuse for exploitation.

Overall, the picture we received of the racing and breeding industries was mixed: varying from excellence in the best yards to others that are outdated, with poor management practices and dissatisfied staff. Yards seem both to benefit from more excitement and suffer from more stress than studs. The Commission has in the course of its Inquiry seen - and applauds - many examples of good practice and heard of many positive initiatives to bring about improvements. The whole industry should work to embrace these good examples and achieve the highest levels of human resource management. But the reality is that some staff have to contend with poor pay and long hours, inadequate training, scant recognition of their efforts and limited long-term career prospects. It is not enough to react to this with a shrug of the shoulders and the refrain of 'that's racing.'

The problems we identify relating to the recruitment and retention of staff touch each stage of the career cycle of staff – hence the structure of our Report follows that cycle. Our analysis shows that recruitment processes are opaque and unsystematic, making access to the industry appear difficult to potential recruits. Training provision by the schools at Newmarket and Doncaster impressed us with its quality and dedication. But the schools produce less than a fifth of the recruits needed each year by the racing industry and a quarter of the 2003-04 students appear to have left the industry already, a dreadful waste of scarce training resources. The focus is predominantly on entry-level students rather than the in-career training which features prominently in other more modern industries. Employers complain of a lack of practical skills in their recruits from the schools; but they themselves do too little to offer practical in-yard training or career development.

Total remuneration packages, including accommodation where it exists, are not as low as is sometimes claimed, but often remain insufficient for married staff looking to provide a family home, leading to a significant loss of experienced staff at that career stage. ('I won't sacrifice my marriage for my job', said one senior lad to us at Lambourn.) The tricky issue of overtime – involving both extra hours allegedly worked without remuneration and the rates of pay for additional hours officially recognised – adds to dissatisfaction. Pension provision is abysmal. Perhaps most striking in the evidence to us were the frequent complaints about lack of personal recognition and poor work culture. This includes bullying and

harassment, complained of by nearly half of respondents to our survey of stable staff. This is often difficult to assess, since what is seen by many as painful bullying and harassment is to others just harmless banter and ragging, reflecting an outmoded and undesirable culture. But the overall lack of recognition and respect and the poor work culture is frequently given as the prime single issue, (alongside pay and working hours), causing job dissatisfaction and departures from the industry. It does not occur everywhere, but certainly some employers should act to improve the working environment in their yards and treat staff with the respect expected by a modern workforce (especially where more than half the employees are now women). The part played by management style in the retention of staff in what is an industry mainly composed of small businesses cannot be under-estimated.

Racecourses are also highlighted in the Report for often providing seriously inadequate facilities for stable staff, reinforcing to the staff the lack of recognition they feel.

Our Report contains many recommendations devised to improve the climate for recruiting and retaining staff in the racing and breeding industries. Some of our proposals are more central than others and these are emphasised in our Summary of Recommendations. Some are longer term goals, some more immediately urgent, some we recognise will be more difficult to implement, particularly in smaller yards. Some have financial implications for the authorities and employers. But in the context of a £2 billion industry, many could be implemented quickly at relatively little cost. Indeed they should be viewed as an investment in the future health and prosperity of the industry.

Naturally the employers - racehorse trainers and breeders - will be the main agents of change, as many have already been. It is to be hoped that the central content of our Report will be seen by them as an agenda and code of good practice. Other industry bodies should also give urgent and active support to employers and these are identified in our final section. We suggest ways in which change can be encouraged by the British Horseracing Board, the National Trainers' Federation and the Thoroughbred Breeders' Association, through their recruitment and training responsibilities, and the Jockey Club, through its critical licensing powers. The racing schools showed an appetite to expand and improve their crucial role, given the necessary resources. Owners, well represented on this Commission, will surely wish their racehorses and breeding stock to be looked after by people who are motivated and skilled and not being asked to undertake too much work as a consequence of short-staffing. They need, therefore, to be aware that this is not always the case. They should use their money, which is a major source of finance in the industry, to that desirable end.

One final institutional issue we identified is the lack of adequate union representation for staff in the various areas we analyse. We are aware that employees at small firms in often rural locations are never easy to organise and

represent and that the Stable Lads' Association's efforts to organise meetings have met with apathy, but we suggest ways to ameliorate this problem.

Some may consider that we have chosen a radical approach to what they see as a limited problem. The Commission does not share that view. We acknowledge that not all staff are angels and some behave in ways that are irritating and harmful to their own interests. As in all walks of life, there will always be some staff who are simply not up to the job or who prefer to cause trouble than to carry out their work. But we believe that the contribution to the industry by stable and stud staff is so great that we owe it to them to have conducted a thorough and comprehensive review of all aspects of their careers. We also trust that employers, many of whom are already adopting good practice in their yards and studs, will view our recommendations positively as offering guides to good practice which can be adopted more universally for the benefit of employers and employees alike. The long-term health of the racing and breeding industries depends on it.

Finally we wish to thank all those who have helped with our Inquiry, the witnesses who gave us their views and time, the racehorse trainers and breeders who welcomed us so generously, and the BHB staff who worked so tirelessly. We thank especially the National Trainers' Federation, the Stable Lads' Association and the Thoroughbred Breeders' Association for their very positive contributions to our deliberations.

Bernard Donoghue, Chairman.  
June 2004

## 2. THE COMMISSION AND ITS INQUIRY

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### 2.1 The Commission

The Commission, under the Chairmanship of Lord Donoughue, was set up by the British Horseracing Board in July 2003 with the brief to investigate the recruitment, training, employment and career development of stable and stud staff and to make recommendations for the future. The National Trainers' Federation and the Stable Lads' Association have worked closely in assisting the Commission, though the Commission's recommendations are arrived at independently. The Commission's members, all of whom are independent, have brought experience from different areas:

Lord Donoughue was Senior Policy Advisor to the Prime Minister from 1974-79 and Minister for Farming and Food from 1997-1999. He was Chairman of the BHB Committee on the VAT scheme for Racehorse Owners and Director of Towcester Racecourse from 1993-97 and is currently Chairman of the Starting Price Regulatory Board, a member of the Parliamentary Scrutiny Committee on Gambling, Vice President of the Comprehensive Schools' Association and Visiting Professor of Government at the London School of Economics.

Ian Barlow is Senior Partner, London Office, KPMG and has a particular interest in racing and the bloodstock industry, having led the firm's work as auditor, tax and financial adviser to the BHB for some years.

Alan Byrne is a consultant to Godolphin and a Director of Tote Ireland. He was previously editor of the Racing Post.

Clara Freeman is Chairman of Opportunity Now, the business-led campaign encouraging the full participation of women in the workplace. She was previously Human Resources Director of Marks and Spencer plc.

Will Wyatt is Chairman of Human Capital Ltd and a Director of The Vitec Group. He is Vice Chairman of The Shadow Racing Trust and was formerly Chief Executive of Broadcast and Managing Director, Television at the BBC.

John Fairley (co-opted member) is chairman of Highflyer Productions and Executive Producer of Channel 4 Racing. He lives in Malton, Yorkshire. He was previously Managing Director of Yorkshire Television and is the author of a number of books on equestrian and other subjects.

Fiona Birt-Llewellyn, the BHB's first Recruitment and Training Director, has acted as Secretary to the Commission and Zoe Taylor and Michelle Douglas provided project management and administrative support.

### 2.2 The Commission's Work

The Commission first met in July 2003 and has subsequently met 15 times, reviewed 35 submissions, carried out 25 interviews and undertaken 33 visits to yards, studs, racecourses and training providers. Face-to-face discussions took place with some 60 staff at Lambourn, Middleham and Newmarket.

#### Submissions

We invited submissions from individuals, key industry bodies and the public in general. The views and ideas from these were recorded and reviewed. We then interviewed many of those who had provided submissions in order to explore the issues. We wish to thank them for their contributions.

Invited submissions were received from:

- The British Horseracing Training Board (now BHEST)
- The British Racing School
- The Federation of Bloodstock Agents
- Horserace Sponsors' Association
- The International Exchange Program
- The Low Pay Commission
- The National Stud and the Thoroughbred Breeders' Association (jointly)
- The Northern Racing College
- Permit Trainers' Association
- Racehorse Transporters' Association
- Racing Welfare
- David Ashforth
- Rt Hon Richard Caborn MP, Minister for Sport and Tourism
- Ivor Herbert
- Professor David Metcalfe
- Brough Scott

Public submissions were received from:

- Current and former Stable/Stud Staff
- Current and former Racehorse Owners and/or Trainers
- Other individuals involved in the industry
- Journalists and Writers
- Educationalists

### Visits

Members of the Commission carried out a programme of visits in order to gain an understanding of the issues in the field (see Appendix 1 for details of visits undertaken). In the course of each visit, a checklist of questions was utilised in order that information was gathered systematically. We wish to thank everyone who took part for their valuable contributions.

Table 1: Number of visits carried out by each Commission member

Commission Member	Total number of visits
Lord Donoughue	18
Ian Barlow	6
Alan Byrne	8
Clara Freeman	7
Will Wyatt	12
John Fairley (co-opted member)	4

### Research

Material was gathered from numerous sources, including previous racing industry studies, information on other industries and relevant statistics. The Burnham Report was used as a benchmark and was a constant point of reference in order to ensure issues were reinvestigated and updated. The industry's information systems, for example the stable staff register, were examined.

Data on the views of stable staff was gathered by sending a questionnaire to 4200 stable staff listed on the stable staff register as working directly with horses in racing yards. The 30 questions were divided into three sections headed 'Training and Development', 'Your Views on Working in Racing' and 'About You'. Six hundred and forty five staff responded, representing a 15% return, a very satisfactory level of participation compared with similar market research. The responses to some of the individual questions appear throughout the Report and in full in Appendix 2.

The British Stud Staff Training Scheme's (BSSTS) recent Training Needs Analysis and Labour Survey Report was used to gain an understanding of the key issues for staff in the breeding industry. Accessing information on issues affecting stable staff has been less difficult than that on stud staff, primarily due to the licensing and registration of stable staff and the existence of an industry agreement on minimum terms and conditions of employment. The lack of any register of stud staff or industry agreement for pay presents the breeding industry, and this Commission, with major problems. However, despite this caveat, it became apparent in the course of our Inquiry that racing and breeding have many staffing problems in common.

In order to establish international comparisons, a short survey was sent to the key racing nations focusing on their practices and policies relating to stable staff. Replies were received from the Japan Racing Authority, the National Association of Racing, Japan, the Hong Kong Jockey Club, the Jockey Club of South Africa, the German Jockey Club and the Swedish Jockey Club. A meeting also took place with representatives of the Irish Racehorse Trainers' Association and the Irish Stable Staff Association.

### **Scope of the Inquiry**

The Commission recognises that jockeys are the most high-profile product of the stable staff system. Many staff hold ambitions in this direction, although in the great majority of cases they are disappointed. Jockeys are not central to the Commission's Inquiry and are therefore not dealt with in this Report. We have, however, become aware of concerns regarding jockeys' training and it has been suggested to us that the current courses are not long enough, particularly compared with Ireland. The racing authorities may wish to consider a separate review of this area.

### 3. SUMMARY OF RECOMMENDATIONS

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An overall strategic recommendation has been identified for each of the main areas of the Report, supplemented by specific recommendations to be addressed in the course of implementation. Those we consider to be central are summarised below and all of our recommendations are described in more detail in the body of the Report.

#### The recruitment of stable and stud staff

**The British Horseracing Board, through its Recruitment and Training Department, should take the lead, on behalf of racing and breeding, in implementing a new recruitment strategy aimed at ensuring that sufficient numbers of recruits are attracted into the industries.**

Our recommendations should form the basis of the new strategy:

1. A new recruitment brand and marketing campaign is needed to promote the attractions of a career in racing.
2. Communication strategies should be drawn up to attract people from target audiences offering pools of potential talent, i.e. Pony Clubs, equine students, equestrian grooms etc.
3. A comprehensive careers information service, to include a website, should be developed and marketed.

#### The training of stable and stud staff and their employers

**The British Horseracing Board, through its Recruitment and Training Department, should take the lead in implementing a new training strategy for racing and breeding which will increase the numbers of new recruits who can be trained and provide for continuing professional development.**

The new strategy should encompass the following recommendations:

1. A Training Review Group, with strong employer representation, should first be set up to agree the priorities and objectives for industry training, the optimal structure for the delivery of entry-level training and continuing professional development, and the way ahead for funding.
2. A campaign is needed to promote the benefits to the racing and breeding industries of providing better and continuing training.
3. Ways should be found to increase the racing and breeding industries' capacity to train the required volume of recruits.

4. Employers should have greater input into the design and delivery of industry training.
5. The content, format and assessment of the courses for potential racehorse trainers should be reviewed, in particular the staff management module. These should also be provided for stud managers.
6. All head lads and stud grooms should be required to attend courses on staff management.
7. More 'on- the- job' training is needed to address the demand for specialist skills and for career development.
8. Greater flexibility in the delivery of training should be achieved by using additional training providers where appropriate.

### Career development

**As part of the new training strategy, the British Horseracing Board should, in consultation with employers and staff, devise the framework and training necessary to support career progression.**

1. Typical job descriptions and the relevant skills required for each role should be drawn up and communicated to stable and stud staff to clarify career pathways.
2. All stable and stud staff should have regular appraisals.
3. The potential for two-way movement between racing and breeding must be communicated in order to retain skills in the industry.
4. More modern job titles should be identified.

### The employment and retention of stable and stud staff

The whole industry needs to learn from the practices of the best employers, in order to modernise employment conditions. Without this, its ability to compete with other industries in recruiting and retaining staff will continue to decline.

#### a) Pay and benefits

**All employers should provide a fair and modern pay and benefits package.**

1. All stable and stud staff should be provided with written contracts of employment.
2. All hours worked in excess of contractual hours should be paid as overtime and all overtime for staff, whether worked in or away from the workplace, should be paid at a premium rate of at least time and a half.
3. The National Trainers' Federation and the Stable Lads' Association should develop a best practice model for the distribution of pool money.
4. A new scale of employer contributions to the stable staff pension should be phased in over a reasonable period of time, to be negotiated by the National Trainers' Federation and the Stable Lads' Association. The

introduction of employee contributions to the pension and a waiver option for overseas staff should be investigated.

5. The Thoroughbred Breeders' Association should conduct a regular survey of pay and benefits in the breeding industry and investigate the provision of appropriate pension and insurance arrangements for stud staff.

### b) Staff accommodation

**Pay remains too low for many stable and stud staff to rent or purchase adequate housing. The British Horseracing Board should work with employers to develop a blueprint to improve the supply of affordable accommodation for staff.**

1. The blueprint should address ways of encouraging landlords to make accommodation available to staff in the major training centres and of financing and building new affordable accommodation.
2. The industry should continue to lobby the relevant Government departments to change planning regulations.

### c) Working hours and patterns

**Employers should continue to investigate alternative patterns of working which are flexible and adaptable to meet the needs of the horse, the changing requirements of the industry and those of current and prospective employees.**

1. The prescribed working week (Monday to Saturday lunchtime) in the Memorandum of Agreement is a potential constraint in improving working patterns and should be removed, leaving 40 hours to be worked over any given week.
2. Employers should consult with their staff to agree more flexible working patterns and staffing levels to suit the needs of the individuals and the yard or stud.
3. As an ultimate goal, employers should plan to achieve staffing levels and working patterns which will enable staff to work no more than one weekend in three. The National Trainers' Federation and the Thoroughbred Breeders' Association should point the way to sources of help, including access to best practice from within and without the industry.

## d) Health and safety

**Health and safety must be made a priority in every yard and stud and the British Horseracing Board must monitor and enforce the application of industry policy.**

1. Health and safety induction training must be provided for all staff joining a yard or stud.
2. The Jockey Club stable inspectorate should closely examine staff health and safety induction records and the provision of skull caps free of charge.
3. All accident statistics currently collected by the Racing Industry Accident Benefit Scheme (RIABS) and the training providers should be centrally collated by the British Horseracing Board and published in the Annual Report. This would apply to studs also, once an accident insurance scheme is in place.
4. Employers should satisfy themselves that employees from overseas have sufficient English to understand instructions, so as not to put themselves and others at risk.
5. The Thoroughbred Breeders' Association should provide access to an advisory service for studs in the area of health and safety.

## e) Recognition and respect

**Stable staff should be treated with respect and dignity at all times and their contribution to the racing industry should be more widely recognised.**

1. Bullying and harassment should not be tolerated in the working environment and the primary responsibility for ensuring the workplace is free from bullying rests with the employer.
2. The Stable Lads' Association should also take this issue seriously, for example, by having suitable representatives available in the racing centres to help resolve complaints and by offering a confidential helpline for staff.
3. Staff management courses for racehorse trainers and head lads should contain a section on the importance of creating a positive working environment and handling bullying.
4. All racecourses and sponsors should recognise stable staff in racecards and prize ceremonies.
5. All racecourses should provide appropriate facilities and food and beverages for stable staff which are on a par with those for other connections.
6. It should be a licensing requirement for racecourses that they provide specified standards of facilities for stable staff, with subsequent monitoring by the Jockey Club's racecourse inspectorate.

## The agents of change

**The racehorse trainers and stud owners will be the main agents of change; however there is much that the participant bodies in racing can do to support them in giving higher priority to staff issues.**

### a) The Jockey Club

1. The licensing process for potential racehorse trainers should place more emphasis on establishing the applicant's skills in managing people. In future, a formal review of each licence holder should be held five years after the grant of their initial licence.
2. The notice to be given of a stable inspection should be reduced to one week and random spot-checks on specific issues should be introduced.
3. Stable inspections should encompass more staff issues and the size of the inspectorate should be increased to ensure annual inspections can take place on a broader basis.
4. The sanctions for breaching those Orders and Rules relating to stable staff should be reviewed to ensure that they provide a meaningful deterrent.
5. It should be a requirement of the racecourse licence that specified standards of facilities are provided for stable staff.

### b) The British Horseracing Board

In addition to the recommendations already outlined for the British Horseracing Board:

1. The remit of the recruitment and training directorate should encompass all aspects of stable and stud staff employment issues.
2. A Stable and Stud Staff Committee, chaired by a BHB director, should be established to approve the strategy to address the issues outlined in this Report, to monitor progress and to report regularly to the Board and annually to the wider industry.
3. A periodic Employee Opinion Survey should be conducted to keep in touch with stable and stud staff issues.
4. The British Horseracing Board should initiate an accreditation scheme for employers in racing and breeding, with a recognisable kitemark, to encourage good practice.

### c) The racecourses and the Racecourse Association

1. Over time racecourses should build new and improve existing facilities for stable staff. The Racecourse Association should work with the Jockey Club, the National Trainers' Federation and the Stable Lads' Association to agree a template of acceptable standards.
2. More racecourses should consider providing appropriate training facilities at the track in order to enable new racehorse trainers to build their business without investing in large facilities.

### d) The employers' representative bodies (the National Trainers' Federation and the Thoroughbred Breeders' Association)

1. The National Trainers' Federation should play a full part in the modernisation of recruitment, training and employment conditions as indicated in the Report. It has a particularly important role to play in modernising the culture in yards with regard to bullying and harassment.
2. The Thoroughbred Breeders' Association should work with the British Horseracing Board to establish the means of creating a mandatory register of studs and their staff.
3. Both bodies, in consultation with the British Horseracing Board, need to identify a strategy for supporting their members in achieving the changes indicated in this Report and to consider where there is scope for joint initiatives.
4. The National Trainers' Federation and the Thoroughbred Breeders' Association should establish and manage a mentoring programme offering a register of experienced business mentors available to work with their members in improving their operations.

### e) The Stable Lads' Association

1. The Stable Lads' Association is not currently constituted to assist sufficiently in making progress on the staff issues before us. In order to become a modern trade union, capable of adequately representing staff, it should reform its structure and activities.

## Conclusion

We realise that there will of course be costs involved in implementing our recommendations. However, in the context of a £2 billion industry, these will be small and we would suggest that they should be viewed as a necessary investment in the future of the racing and breeding industries. An improvement in staff retention would produce significant savings and the cost of doing nothing will be far greater.

## 4. THE RECRUITMENT OF STABLE AND STUD STAFF

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### 4.1 Staffing levels and recruitment

The fragmented nature of the racing and breeding industries, allied to the differing manning practices in operation, make it virtually impossible to determine precisely the nature and extent of current staffing problems. However, the recent National Trainers' Federation Annual Recruitment Survey, the British Stud Staff Training Scheme's Labour Survey, the interviews and visits we have undertaken, together with much anecdotal evidence, all point to shortages and problems in recruiting and keeping sufficient numbers of skilled staff.

One thing is clear: in a highly competitive jobs market, the racing and breeding industries are struggling to recruit staff, be they trainees or experienced employees. According to UK demographics (see Appendix 3), the number of school leavers available, at 16 to 18, to enter the industry as trainees is static, and soon to contract. School leavers are heavily targeted both by further education and by many other potential employers with substantial marketing budgets and good stories to tell. Factor in the UK's obesity statistics and the increasing urbanisation and ethnic diversity of the population and the simple truth is that unless careers in racing and breeding are marketed to a broader audience, the industries will be fishing in an ever-diminishing pool of young people.

Despite these challenges, the registered number of stable staff employed in all categories increased from 6,079 in December 2000 to 6,708 in December 2003, with full-time staff numbers growing from 3,090 to 3,388. This period coincides with the growth in numbers of overseas staff, now employed by more than 120 racehorse trainers, and an increase in the use of part-time and self-employed staff, reflecting the need for employers to alter the make-up of their workforce to meet the available supply of staff and the demands of the racing calendar.

It has proved difficult to establish an accurate annual turnover rate for stable staff, due to the complexities of movement within the industry and variables such as seasonality and temporary visitors to the UK. Any study of the statistics can only provide a snapshot of the situation at a particular time. However, over the last four years an average of 1,691 new stable staff have been registered annually.

In 2003, for example, 1,635 new stable staff were registered and the total number of staff on the register rose from 6,575 to 6,708, a net gain of 133. Assuming that an average of 6,600 staff were employed across the year, this would equate to a staff turnover for 2003 of about 22%. Given the uncertainty over the statistics, we could alternatively apply the benchmarked average UK staff turnover rate of 15.7% for private sector businesses employing fewer than 1,000 staff. This would equate to racing needing to hire about 1,000 new staff in 2004 in order to maintain workforce numbers. Whichever turnover percentage is applied, the expansion of the fixture list (in particular the 63% increase in Sunday and evening race meetings since 2001) and the ever-growing competition for staff suggest that a much greater focus on attracting people to careers in racing and breeding is critical.

Without a register of stud staff, it is impossible to comment on the size and nature of the stud workforce, although there were an estimated 3,300 full-time staff in 1998. Yet this represented only 29% of the total workforce, with the remainder working on a part-time or seasonal basis according to the demands of the stud year.

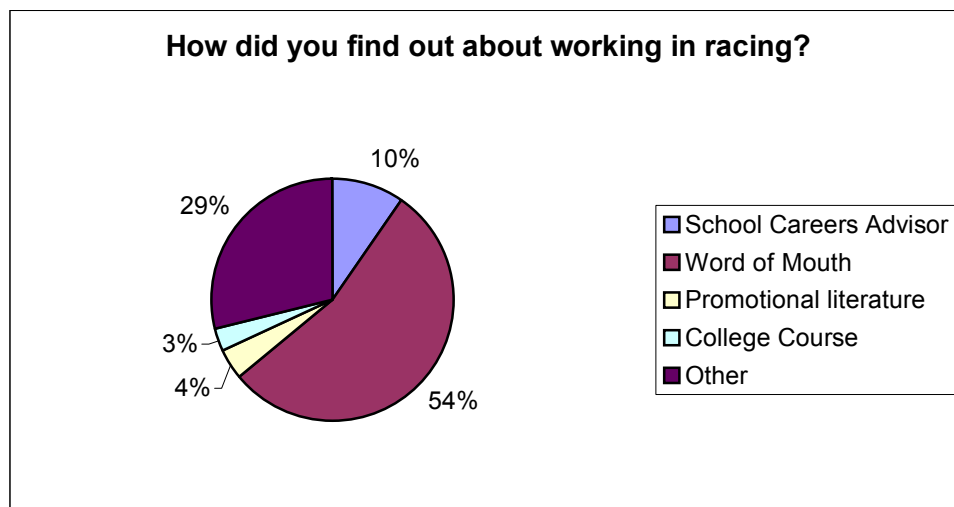
### Recruitment activities

Over the last few years, the industries' investment in recruitment has been directed towards a small joint marketing campaign and a contribution to the individual recruitment activities undertaken by the two racing schools. The joint campaign has been operating under the 'Feel the Buzz' catchphrase and is run by the two racing schools and the National Stud. It is focused on promoting careers in racing and breeding to school leavers at careers and equine events, through literature, advertisements and a website ([www.careersinracing.com](http://www.careersinracing.com)). The budget for this campaign, together with a contribution to recruitment costs for the racing schools amounts to about £84,000 and is provided from industry funds. There is no central budget for attracting experienced staff.

In addition to attracting school leavers, the racing schools have, for the past three years, marketed short 'conversion courses' to target some of the 14,000 students pursuing equine-related courses at third-level colleges. After a slow start, the numbers participating in the course had reached 43 for the year 2003-04. The schools are also offering the racing industry's National Vocational Qualification (NVQ) Level 1 via day release to schoolchildren under the Government's campaign to encourage vocational study. This initiative has great potential to open the eyes of 14-16 year olds to careers in racing and breeding. Similarly with the industry's investment in its own highly successful Education Programme (with 8,000 participants annually), a way should be found of linking this programme to recruitment efforts, without compromising the relationship which has been nurtured with the education sector.

The recruitment techniques utilised by individual employers, both in racing and breeding, mainly focus on word of mouth, advertising in the racing press or other publications and offering work experience to schoolchildren.

Figure 1



### Additional sources of recruitment

The overseas market is a growing source of staff. The National Trainers' Federation has established a partnership with the International Exchange Program (IEP), which brings staff into the UK, mainly on two-year training permits. In each of the last two years they have sourced approximately 200 staff for the thoroughbred industry, with 20-30% of these joining studs. A large number of the IEP's applicants are Ukrainian, Czech and Slovak with growing numbers from India, Japan, Australia and the USA. A number of commercial recruitment agencies are also active in sourcing overseas staff, both trainees and skilled, and some employers are sourcing staff directly.

The precise number of overseas staff is unknown and difficult to assess, due to delays in registering the nationality of stable staff and the lack of a register of stud staff. However, it is likely that there are about 250-300 new overseas recruits employed in the racing industry every year, with about 100 joining stud farms. The number of overseas staff is expected to continue to increase, especially with the accession of Central European countries to the European Union in May 2004. It should be noted that no overseas staff go through the Stable Staff Training Programme for under 19 year olds.

The growing number of colleges offering equine courses provide the racing and breeding industries with a potential audience of about 14,000 students with a demonstrable interest in horses. We note, however, that serious questions have been raised with us concerning the practical content and quality of instruction on offer at some of the colleges.

A further significant pool for the recruitment of experienced staff are the 40,000\* or so people already directly employed in the wider horse industry in the UK, a good percentage of which (estimated to be 25%) are in the 16 to 24 year old age group.

### 4.1.1 Findings

- The ability to forecast staffing requirements for the industry and monitor trends is hindered by the lack of available data. However, all the evidence we have received clearly points to a shortage of skilled staff, including reports of staff regularly having to work 60-hour weeks and complaints about the skill levels of some staff.
- The attractions of a career in the industry are not communicated widely enough, in particular to those involved in other equine disciplines. Nor are they told how they might gain access to such a career and those over the age of 19 find it difficult to get the necessary training to "convert" their skills. If the industry is to attract more people in a competitive recruitment market, it needs to package its offering effectively and market it proactively, including to the ethnic population in urban areas who are currently seriously underrepresented.

\*Footnote: The Henley Centre in its 2004 research on the horse industry for Defra and the British Horse Industry Confederation estimated a total workforce of 50,000, including those already employed in racing and breeding.

## The recruitment of stable and stud staff

- The messages used in recruitment need to manage and limit any excessive expectations of new entrants about becoming jockeys and to focus on promoting the excitement and breadth of a career in racing or breeding.
- The industry lacks a comprehensive recruitment strategy to attract new people, with current marketing activities only aimed at trainees and not at experienced staff, and there is no single focal point for jobseekers and employers to be matched.
- The two racing schools have reached their capacity under the current training structure in producing 237 students per year. They cannot meet the industry's increasing demand for staff. Instruction A5 which requires stable staff under 19 to join the Stable Staff Training Programme and attend a course at either the British Racing School or the Northern Racing College, is limiting both the numbers of young people entering racing and the geographical accessibility to training.
- The National Stud currently offers up to 20 places each year on the Foundation Course for stud staff.
- Colleges offering equine courses provide a large potential source of staff but links with the racing and breeding industries are poor to non-existent. In addition, the instruction offered is not always adequate or relevant for immediate employment in a yard or stud.
- The number of overseas staff is growing. In five years' time, they will form a sizeable percentage of the workforce. However, as many are on temporary visits and either plan or are obliged by law to return home, overseas workers do not represent a long-term solution to the industry's staffing problems. The question of training provision for overseas staff also needs to be addressed as they are currently outside the scope of all training arrangements.

## 4.1.2 Recommendations

### Strategic Recommendation

**The British Horseracing Board, through its Recruitment and Training Department, should take the lead, on behalf of racing and breeding, in implementing a new recruitment strategy aimed at ensuring that sufficient numbers of recruits are attracted into the industries.**

The recruitment strategy should incorporate the following recommendations:

1. A new recruitment brand and marketing campaign should be developed, which clearly conveys the message about the excitement and possibilities of a career in racing and breeding for both trainees and skilled staff.
2. The BHB should liaise with the racing schools and the National Stud to ensure consistency in recruitment efforts. The recruitment brand and strategy should be developed in consultation with them. There should be clearly defined roles and responsibilities, differentiating between the wider marketing of careers and the specific filling of places on foundation courses at the schools/National Stud.
3. The profile of racing as a career should be raised, in particular amongst the following target audiences:

a) Schools and Youth Organisations

The industry should continue to build and develop communication opportunities with schools, careers advisors and youth organisations. It is vital that more careers information is provided and that opportunities are created to show the training and career paths available to school leavers. It is particularly beneficial to target young people who are already fit and sporty or involved with equestrian activities through The Pony Club or other sports horse pursuits. Work experience in yards or studs should also be further promoted to schools.

b) Equine Students

Careers information should be issued to all colleges that offer equine courses and the industry should take action to develop an awareness of racing/bloodstock among the students. All colleges should have careers material available in their libraries and a network of guest speakers should be established to talk to students about working in the industry. A career in racing or breeding should be made more accessible to these students and should be presented to them as having stronger merit than the other equestrian sports which are currently recruiting the majority of them.

The BHB and the training providers (the BRS, the NRC and the National Stud) in conjunction with employers, should develop relationships with a number of key colleges providing equine-related courses and offer work placement opportunities within racing and breeding. A network of yards and studs prepared to offer such

placements should be identified, thereby providing the students with vital practical experience and highlighting the career opportunities available to them.

The number of places available on the conversion courses run by the BRS and NRC should be increased and the content of the courses developed. These courses are both time- and cost-effective and deserve strong support. Students who have already acquired riding and horse care skills through an equine course can be trained for a career in racing or breeding in a shorter time and, therefore, at a lower cost than a raw trainee. They may also raise the academic standards and quality of entrants to the industry.

### c) Equestrian Grooms

Racing and breeding industry careers should be marketed to those already working in other equestrian sports and conversion courses developed to facilitate their transfer to the racing industry. It has been suggested to us that a short conversion course would be all that is needed to produce valuable employees for the industry.

### d) Overseas students and grooms

The BHB should work with the agencies involved in the recruitment of overseas staff to develop and co-ordinate recruitment policies. The influx of overseas staff is generally seen as positive, but it is vital that staff with the appropriate skills are recruited and that training opportunities are made available to them.

### e) Ethnic Minorities

Young people from ethnic minorities should be introduced to careers in racing and breeding through the building of links with inner city schools. 'Taster days' should be offered at the racing schools and the National Stud.

4. A comprehensive careers information service, based around a website, should be developed by the BHB. It should seek to promote entry level opportunities for training and employment, as well as providing details of current vacancies in yards and studs and of candidates seeking jobs. Recruitment marketing can then be focused on one central point, providing employers with access to the labour market and the labour market access to the opportunities available. Use of the website facility could also be offered to the wider industry, for example, the racecourses, for their recruitment purposes.

## 5. THE TRAINING OF STAFF, THEIR EMPLOYERS AND CAREER DEVELOPMENT

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### 5.1 Training

Over the last twelve years, training programmes for stable and stud staff and their employers have been developed under the direction of the British Horseracing Training Board (BHTB), the board of which comprises representatives of the British Horseracing Board, the Stable Lads' Association, the Jockeys' Association, the National Trainers' Federation, the Jockey Club, the Racecourse Association and the Thoroughbred Breeders' Association. The British Horseracing Board's assumption of responsibility for the direction and determination of training content in 2003 has resulted in BHTB changing its name to the British Horseracing Education and Standards Trust (BHEST), reflecting its new focus on awarding qualifications, quality control and the running of the industry's Education Programme. Other groups involved in training are the British Stud Staff Training Scheme (BSSTS), a committee formed by the Thoroughbred Breeders' Association, and the Training Advisory Group (TAG), a consultative cross-industry group. The industry is well served by three specialist training providers: the British Racing School (BRS), the Northern Racing College (NRC) and the National Stud. All three deliver training to a high standard. A summary of the training programmes available appears in Appendix 4.

The racing industry's staff training programme is financed by an annual grant from the Horserace Betting Levy Board (HBLB); deductions from prize-money (0.57% of the total prize-money fund) under Order 194; and Government funding for the Foundation and Advanced Modern Apprenticeships, paid via the Learning and Skills Council. In 2003, the contribution via the HBLB and prize-money totalled £840,700. These funds are paid to BHEST which administers them in accordance with the agreed annual training programme. The industry contribution to stud staff training is currently included in the Levy Board's grant to the National Stud (as the training provider) and amounts to about £180,000 per annum.

With the exception of jockeys' training (which is funded via a small levy on each apprentice or conditional and their employer every time they ride in a race), racing's employers are not directly paying for the central training provided to their staff. Employers in the breeding industry are currently making no financial contribution, either direct or indirect, to the training provided by the National Stud (Modern Apprenticeships and the Diploma Course), with the funding coming from Government and the Levy Board. Investment by employers in training is considered the norm in most other industries, but the lack of such investment in

## The training of staff, their employers and career development

the racing and breeding industries is striking. In the view of the Commission, it may help explain the disinterest of many employers in the provision of training.

Both the BRS and the NRC have impressed us in the course of our Inquiry. However, the imbalance in the range of courses each is contracted to provide is striking, with the BRS having been awarded most of the courses over and above the Stable Staff Programme. A duopoly is also evident, brought about by Instruction A5, which stipulates that all stable staff entering the industry who are under the age of 19 must attend a residential Foundation Course at one of the two schools. No similar protection is offered to the National Stud.

The Burnham Report produced a number of recommendations relating to training and this is the area in which most progress has since been made. This is testimony to the hard work and commitment of all those involved. Although headway has been made in course provision over the last few years, our survey of stable staff revealed that 44% of respondents had no formal qualifications and that 68% worked in a yard where no training was offered, indicating the lack of a learning culture in racing. Similarly, the British Stud Staff Training Scheme's recent Training Needs Analysis showed that only the larger studs are aware of what training is available and that the smaller studs, particularly those furthest away from Newmarket, did not have access to training. It is perhaps not surprising therefore that the racing and breeding industries complain of a skills shortage.

Figure 2

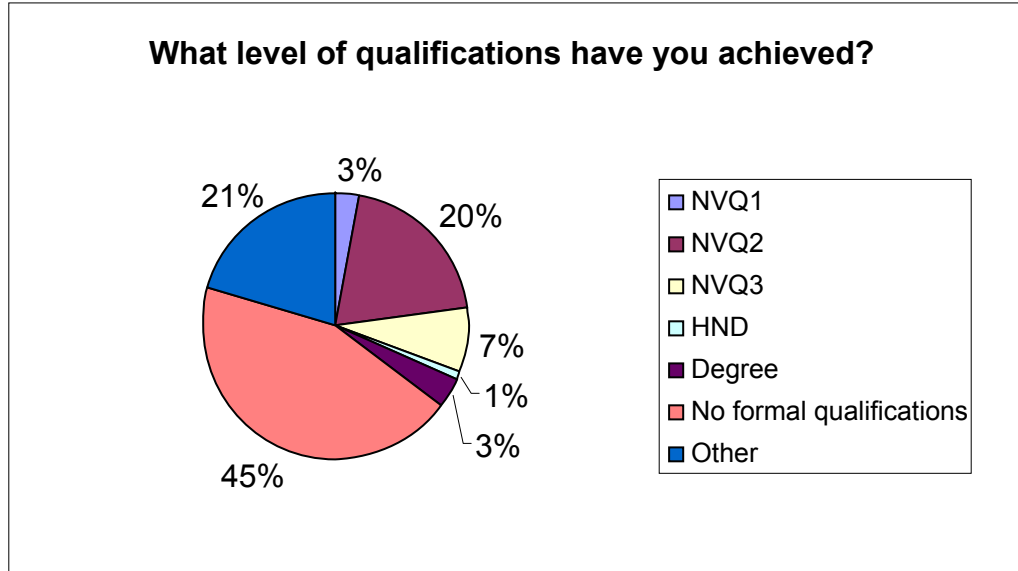
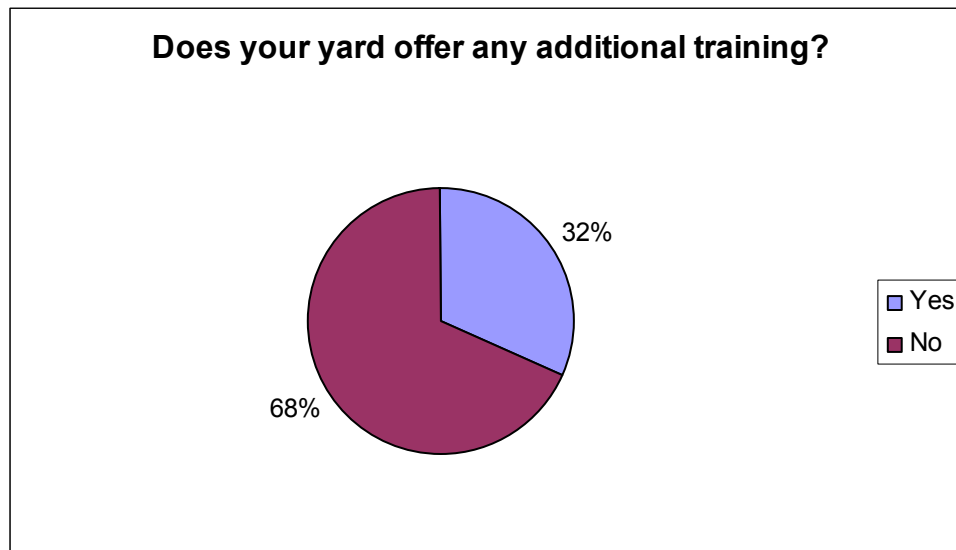


Figure 3



Establishing training needs is challenging in such a fragmented industry but in our discussions with employers and staff alike, an appetite emerged for acquiring 'bite-size' skills, as opposed to the current emphasis on achieving a full National Vocational Qualification (NVQ). Staff would like to be able to learn specific skills – clipping, physiotherapy, horse dentistry etc – without having to complete a comprehensive course on all aspects of horse care. The response to the recent 'Racing Ahead' project in Newmarket confirms this. A review of the way training is currently provided is required if the industry and the training providers are to meet the demand for a greater focus on specific skills and 'on-the-job' training.

### 5.1.1 Findings

- Entry-level training is consuming over 90% of the total training funds available to racing. As a consequence, a disproportionately large amount of money is spent on training newcomers to the industry compared with most industries where training expenditure would be spread more evenly across the entire career cycle. Little money is left for other important forms of training. The situation is similar for stud staff training.
- The outflow from the industry shortly after trainees leave the schools and join a yard is wastefully expensive and suggests that prior work experience would weed out 'non stayers' before investing in their training.
- While recognising the importance of maintaining standards, the racing industry's current policy under Instruction A5 of only endorsing two centres of excellence to provide the Foundation Course to those under 19 years of age is limiting both accessibility and throughput. With both racing schools firmly established, extending the number of approved providers should be explored as one means of addressing the industry's training capacity problem.
- The training available to both racing and breeding is focused around the location of the providers, with a heavy bias towards residential courses held at Newmarket. This does not reflect the geographical spread of employers, nor does it offer the flexibility required by the industry. Both schools have indicated to us that they are keen to provide 'on- the- job' training and are willing to establish links with 'satellite' providers based near the more distant training centres.
- A place on the conversion course for equine college students costs the racing industry only 25% of its contribution to a place on the Stable Staff Training Programme, offering a good economic argument for the former initiative.
- There is evidence of tension between the training providers and the employers. The latter are quick to criticise the lack of practical instruction in the Foundation Course content, yet do not engage effectively with the training providers to address their concerns and do not always provide the necessary support to trainees once they arrive in the workplace. Because they are not involved sufficiently

## The training of staff, their employers and career development

with the training providers, employers tend to undervalue the skills provided at the schools. As the National Trainers' Federation has suggested, a new training framework, supported by the employers, is required.

- The heavy expenditure on entry-level training has resulted in a lack of funding for continuing professional development for those already working in a yard or stud. There are three other clear audiences to be catered for: established staff wishing to upgrade or refresh their skills; overseas staff; and those in, or wishing to progress to, managerial roles. In order to fund such training either additional funds will be required or the existing expenditure will have to be allocated in a radically different way.
- While the existing courses for racehorse trainers and supervisors provided at the British Racing School have made some impact, there is a real need to build on this to provide more comprehensive and better continuing management training. Many have commented to us on the lack of any testing of knowledge at the end of each course. It should be noted that two of these courses are also open to studs but the uptake has been slow.
- Staff recruited from overseas lie outside the current training structure, raising concerns not only about their skill levels but also about the health and safety consequences of any language difficulties.

### 5.1.2 Recommendations

#### Strategic Recommendation

**The British Horseracing Board, through its Recruitment and Training Department, should take the lead in implementing a new training strategy for racing and breeding which will increase the numbers of new recruits who can be trained and provide for continuing professional development.**

1. A Training Review Group, with strong employer representation, should first be set up to agree the priorities and objectives for industry training, the optimal structure for the delivery of both entry-level instruction and continuing professional development, and the way ahead for funding. It appears probable that increased funds will be needed with a more balanced allocation of expenditure to cover all staff, not just those entering the industry. This may include direct contributions from employers, both racehorse trainers and stud owners.

## The training of staff, their employers and career development

2. A campaign will be needed to promote the benefits of continuing training to both employers and the staff. The existing Training Advisory Group (TAG) should devise and drive this campaign.
3. In order to address the shortage of skilled staff, the racing and breeding industries need to increase their capacity to train new recruits. In our view, the options available include:
  - a) reviewing the structure and content of the existing Foundation Course, with the aim of accommodating more trainees and offering greater flexibility in the delivery of training. The staff themselves would prefer some element of work experience in a yard or stud earlier on in their training. This would also reduce the industry's investment in those who drop out once they experience the reality of working life in a yard. It would be preferable if potential recruits had to undertake an initial pre-placement in a yard or stud to gauge their commitment and suitability before any investment is made in residential training
  - b) establishing a network of satellite operations of the current training providers, as has been done with the Scottish Racing Academy recently established by the NRC in partnership with Oatridge College
  - c) requiring the existing providers to build more links with colleges to expand the number of practical racing and breeding 'modules' on offer
  - d) amending Instruction A5 to allow additional training providers to offer racing NVQs to those under 19 years of age, thereby enabling more learners to be accommodated at nil cost to the industry
  - e) employers contracting directly with colleges or other training providers to deliver NVQs in the workplace using funding under the Outreach Programme.
4. There is a need to address the seemingly differing views of the employers and the training providers concerning the Stable Staff Training Programme 'product'. Training should be driven by the needs of the employers and their staff. They need to be involved in identifying these needs and in the design of appropriate delivery mechanisms. There appears to have been inadequate dialogue between the training providers and the employers in terms of what skills staff need. The employers should take more responsibility for providing input into the future 'products' to be developed by the industry and the various training providers. The British Horseracing Board, in conjunction with the National Trainers' Federation and the Thoroughbred Breeders' Association, should facilitate wider consultation with employers to improve and increase their involvement.
5. The content of the courses for potential racehorse trainers should be reviewed. Specifically, the staff management module should feature increased reference to work culture, human resource management and the benefits of staff training. By focusing on case studies and best practice, we

anticipate that racehorse trainers would be encouraged to accept the commercial case for better staff management as well as the obvious benefits in terms of staff morale. To ensure that the modules are not perceived as attendance-only events, it is recommended that an end of course test be developed and refresher days provided to encourage continuing professional development. The staff and business management modules should be made readily available and marketed to stud managers and owners. The new careers website should also contain material for employers on best practice in human resources management.

6. All existing and potential head lads and stud grooms (assistant manager level) should be required to attend management courses as part of their development. As direct managers of people they can play a key role in determining the culture and management style of an operation, the motivation levels of staff, and in encouraging training and career development.
7. More 'on-the-job' training in yards and studs is needed to create training opportunities for those already working in the industry and to meet the demand for training in specialist skills, such as clipping, veterinary medicines and equine dentistry. An industry 'Skills Passport' would enable staff to create a training portfolio through attendance at short accredited courses.

There are a number of ways in which this could be achieved. For example, existing units of the NVQs could be 'converted,' or new mini qualifications in the form of Vocational Requirement Qualifications could be developed which attract Government funding and are open to all age groups. In order to make the delivery of such courses more flexible and accessible, the concept of an industry-funded team of 'flying trainers' should be examined to offer training at the major centres or in the workplace. These instructors could be drawn from staff employed by the existing training providers, from freelance practitioners or from local colleges offering equine and related courses. Employers could also nominate experienced staff as 'training mentors', who would provide training in particular specialisms to junior staff.

The Groom Elite Program developed in the USA should be considered as a model for career-enhancing training. It provides professional development for grooms, giving participants the opportunity to progress faster and to increase their self-esteem while also improving the care horses receive and reducing injuries to both people and horses.

9. The skills of overseas staff should be assessed by one of the training providers upon arrival and appropriate training should be provided to address any gaps. It is important that this growing population does not exist outside the training framework - both for their own benefit and in order to maintain standards and skill levels. In particular, the industry should avail itself of

## The training of staff, their employers and career development

Government funding to provide English language training, this being of particular importance for health and safety.

10. The industry should ensure that it receives value for money in the provision of training. Greater flexibility in the delivery of training is also required. Where appropriate, this may involve using additional training providers.
11. The delivery of specialist courses, such as management training, should not be restricted to the BRS and should be extended to the NRC and, potentially, to others. The creation of industry-accredited syllabi would ensure consistency in the standards of delivery.
12. In assessing overall training needs, the proposed Training Review Group should also consider the need for basic skills training for stable and stud staff. Government funding is likely to be available to provide courses covering numeracy, literacy, and IT.

## 5.2 Career Development

Career development is inextricably linked with training and progression. It can be hard to achieve in an environment where access to skills training is limited. Gaining the skills required to progress is dependent upon a work culture in which a commitment to training and development exists. Although some small employers in all industries tend to shy away from training their staff in case they want to progress and therefore leave, this is a short-term view that only compounds skill shortages. The ability to develop skills is a key motivator, especially for young people and will be an important factor in retaining staff within the industry.

Offering progression can be difficult in an industry composed of mainly small businesses but it is evident to some extent within racing and breeding, in accordance with the traditional ladder outlined below:

Table 2

RACING	BREEDING
Trainer	Owner
Assistant Trainer	Stud Manager
Head Lad	Stud Groom
Travelling Head Lad	Assistant Stud Groom
Apprentice/Conditional Jockeys	Stallion Handler
Stable Lad/Lass	Stud Hand
Trainee	Trainee

New management structures are also developing within racing and breeding that offer responsibility to more people, through the use of specialist skills and team working. What is not always clear to those working in the industry is what skills are needed in order to progress. Nor is it always clear how these skills can be acquired and how job openings offering career progression can be accessed.

The industry currently lacks the framework and the supporting mechanisms either to encourage career progression or to enrich the roles of those for whom management is not an ambition. Many industries have undergone a flattening of their hierarchical structure while still succeeding in facilitating staff development in the form of acquiring new skills and offering fresh challenges. Racing and breeding can do the same. It is important to realise that career development does not always mean promotion.

### 5.2.1 Findings

- The lack of continuing professional development within racing and breeding is an impediment to promoting the concept of a career, rather than a job, and hinders staff retention.
- There are increasing opportunities for individuals to specialise in particular aspects of their work as an alternative to promotion. Specialist training units would be needed to provide the appropriate skills.
- Promotion is too often viewed as being attained via 'dead man's shoes', rather than through the appointment of the best person for the job through open competition.
- Little or no information is available to staff about development opportunities and more must be communicated to them and to potential recruits on the scope for career development offered by the industry.
- Employers need assistance in identifying the training needs of staff and in delivering solutions.
- There is a need for alternative and modern job titles to ensure dignity in the workplace and recognition of the contribution made by staff. The Commission finds some of the current nomenclature such as 'lad' and 'lass' outdated and inappropriate.

### 5.2.2 Recommendations

#### **Strategic Recommendation**

**As part of the new training strategy, the British Horseracing Board should, in consultation with employers and staff, devise the framework and training necessary to support career progression.**

1. Typical job descriptions, with a list of the relevant skills required for each type and level of job, should be developed and communicated to stable and stud staff to enable them to see the potential career paths available to them.
2. All stable and stud staff should have regular appraisals both to review their performance and to plan for their future development, including an assessment of their current skills and identification of those skills required to achieve promotion or to develop a specialism.

## The training of staff, their employers and career development

3. The potential for two-way movement between racing and breeding must be promoted in order to maximise the retention of skills.
4. The British Horseracing Board should work with employers and their staff to help them identify training needs, devise appraisal systems and encourage career development.
5. More modern job titles are required for the modern industry.

## 6. THE EMPLOYMENT AND RETENTION OF STABLE AND STUD STAFF

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It is vital that modern employment conditions are in place for those either entering or already working in the racing and breeding industries. Otherwise, all efforts to attract more recruits and improve training opportunities will be neutralised by the failure to retain staff. In this section we have chosen to focus on those aspects of the employment experience which have come through most strongly in the evidence provided to us, namely: pay and benefits; staff accommodation; working hours and patterns; health and safety; and recognition and respect.

### 6.1 Pay and Benefits

#### Stable Staff

*“Pay is poor, the hours are unsociable and I can’t afford my own house on my income”*

*“I would like to stay in racing but I will need a pay rise”*

Pay rates for stable staff are set by a Memorandum of Agreement, negotiated annually since 1976 between the National Trainers’ Federation, acting on behalf of the employers, and the Stable Lads’ Association, representing the employees. The Agreement provides for minimum rates of pay and standard terms and conditions of employment for stable staff and is included as an Instruction in the Jockey Club Rules of Racing, with which all licensed racehorse trainers must comply. The full Agreement for 2004-05 is available in Appendix 5. The aspects we would highlight are as follows:

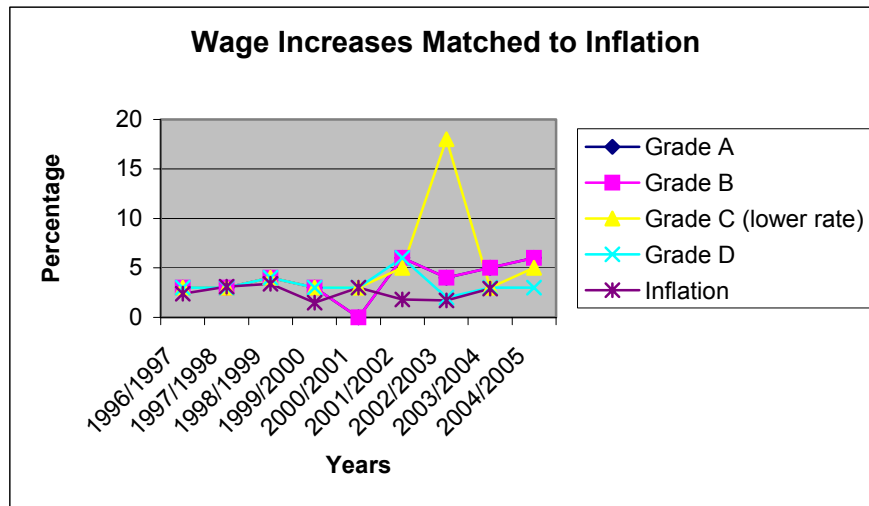
#### a. Weekly Wage

From 1<sup>st</sup> February 2004 the minimum rates for \*Grade A and B stable employees rose by 6%, well ahead of the Retail Prices Index (RPI) and pay deals for UK industry as a whole which showed a median uplift of 3.2%. The wage for Grade C staff is tied to the Government National Minimum Wage and the rate for Grade D staff rose by 3%. The rates announced this year reflect the recent trend for annual wage increases for stable staff to run above RPI as shown in Figure 4:

\*footnote

In order to attain Grade A an individual must have completed seven years’ continuous service in racing, or have completed five years’ service and achieved NVQ Level 3. Grade B is payable at 19 years of age or over, with twelve months in the industry, or to those who have achieved NVQ Level 2. The Grade C rates apply to stable staff aged 18, and to those over the age of 22 not qualifying for Grade B. Staff aged 16 and 17 are classed as Grade D.

Figure 4



The weekly minimum rates of pay from 1<sup>st</sup> February 2004 are:

Table 3

	40 Hour Rate	Consolidated Wage (inc 5 hours overtime)
Grade A	£223.14	£248.23
Grade B	£196.18	£218.25
Grade C 22 yrs +	£180.00*	£200.25
Grade C 18-21 yrs	£152.00*	£169.10
Grade D 16-17 yrs	£122.49	£136.26

Examples from our research indicate that the consolidated wage payable to Grade A stable staff in accordance with the Memorandum equates to about £20 per week less than a shelf-filler in a supermarket would earn. Staff on the Grade B minimum pay rate earn about £20 per week less than bar staff. Further comparison of the minimum weekly pay rates for stable staff with starting pay in the police, the army and nursing, (all major employers of school leavers), clearly shows that racing is not competitive, with the police offering £348, the Army £219 and nursing £199.

\*Footnote

\*It should be noted that the adult rate of the Government National Minimum Wage will rise from £4.50 to £4.85 on 1 October 2004 and the 18 to 21 year old rate will rise from £3.80 to £4.10, resulting in new minima of £194 and £164 for Grade C staff. The Government's recent decision to introduce a new £3 minimum hourly rate for 16 and 17 year olds from 1 October will have no impact on the Grade D rate which is already in line with this.

## The employment and retention of stable and stud staff

Unsurprisingly, therefore, a recent National Trainers' Federation pay survey found that nearly 90% of Grade A staff are paid more than the minimum rate, with the median weekly wage at this Grade established as being £284 before any extra benefits. This tallies with what racehorse trainers and staff told us: nearly all are paying staff over the minimum rate. Discussions with racehorse trainers have revealed that the percentage increase awarded annually in the Memorandum is also applied to those already receiving more than the minimum rate, in order to maintain the differential. Those who are paying their staff well are to be applauded and they will reap the rewards by retaining their skilled staff.

### The Remuneration Package

The industry prescribed minimum pay rates are low, particularly when taking into account the skills required. But the total package available to stable staff usually has a much higher value in that it includes pool money and often the provision of free or subsidised accommodation. It is estimated that 45% of Grade A staff receive free or subsidised accommodation and 39% of respondents to our Stable Staff Survey indicated that they receive assistance with accommodation.

It is not easy to compute or to compare but potential package values might be:

Table 4

	Wage per annum (£) – 40 hour week	Pool Money per annum (Assumed £)	Free/subsidised accommodation per annum (Assumed £)	Employer's contribution to Pension per annum (£)	Employer's contribution to RIABS per annum (£)	Total gross value before other payments
Grade D 17 yrs	6,369	800	3,120	n/a	78	10,367
Grade B 20 yrs	10,201	800	3,120	400	78	14,599
Grade A @ £284	14,768	1,200	3,120	400	78	19,566

As can be seen from these examples, it is clear that the value of accommodation, where provided, is an important factor in the remuneration formula.

### **b. Overtime**

*“Overtime payments are a joke”*

*“There’s too much racing. Sunday is a bloody nightmare, you end up working lots of weeks without a day off”*

The ‘normal working week’, as per the Memorandum of Agreement, is 40 hours starting on Monday morning and ending at 12.45pm on Saturday. The Agreement also provides for staff to work during weekends, subject to the right to have one weekend in two free from duties on a rota basis. Where it is custom and practice for an individual to work five hours overtime on one weekend in two, a higher consolidated weekly wage is paid to reflect these extra hours in accordance with the Memorandum.

A different pay policy is applied to overtime worked in the yard from that worked away from the yard.

- Overtime for time worked in the yard is paid at the rate of time and a half for each hour worked outside of normal hours Monday to Friday, and after normal finishing time on Saturday.
- Time worked away from the yard in excess of normal hours is payable under the Memorandum at the Government National Minimum Wage (GNMW). An additional overnight allowance of £12 is paid where appropriate.

On Sundays;

- Those off-rota who go into the yard to cover work are paid at double time.
- All staff who go racing on a Sunday receive the Government National Minimum Wage for time over and above the consolidated weekly wage, plus a payment of £28.

With the growth in Sunday racing, we heard that some trainers are paying in excess of the GNMW, in order to incentivise their staff to go racing.

### **c. Stable Percentage Money (Pool Money)**

*“We don’t get any unless all the staff get together and have a moan and even then it is unfairly shared out”*

*“The trainer decides how much he gives each person. I have never seen an official Jockey Club return whilst working for him”*

A percentage of all prize-money is allocated to the staff of the stables responsible for the winning and placed horses, as detailed in Order 194. The allocation to stable staff in 2003 amounted to nearly £5 million.

Weatherbys pay the percentage to racehorse trainers on behalf of their staff on a quarterly basis and issue them with a statement listing all the staff registered as

being employed in the yard. The amounts to be paid to each individual are then entered by the employer and the completed form must be returned to the Jockey Club, with a copy displayed in the yard. The fine for failure to comply with this is a minimum of £75.

The way in which pool money is divided is at the employer's discretion. It can either be decided by the trainer or by the employees themselves. However, if the staff agree on the basis of allocation, there is a real benefit in that the money can be distributed free of employer and employee National Insurance Contributions.

We have seen some excellent practice in the distribution of pool money, including yard committees of staff chaired by the head lad, and a variety of formulae, including sharing the money equally, or where the share increases with seniority/length of service, or where it is treated as a percentage of wages. A random sample of returns provided to us by the Jockey Club confirms this.

Any tips paid directly to staff by owners fall outside this system. In some yards these can also add up to significant amounts of money. While it may not be appropriate to enforce a system of distribution for tips, it is vital that employers realise the bad feeling that unfair, or perceived unfair, distribution can cause.

### ***d. Pensions***

The pension scheme for stable staff, set up and administered by the National Trainers' Federation, is a Stakeholder Pension Plan with Friends Provident. After an initial nine-month qualifying period, all stable staff over 18 receive an employer pension contribution of £400 per annum into the scheme (representing 2.7% of the median Grade A wage of £284 per week), with no employee contribution required. We are aware that some racehorse trainers are offering enhanced levels of pension contribution.

How does this compare with other industries? Using actual figures from a typical Group Stakeholder Pension Plan, an annual contribution of £1,200 (or 10%) for a 21-year-old currently earning £12,000 and seeking to retire at 60 would produce a taxable pension each year of just £3,940, assuming pension fund growth of 7%. Yet racing is operating with a contribution of just one third of that level. With fund growth of 7% per annum the £400 per year being invested on behalf of stable staff would produce a pension of only £1,313 per year – a derisory annual income.

The trend in UK industry generally is for employees to contribute a percentage of their base pay into a pension in order to receive an equal or greater contribution from their employer. It is common practice for the employer to double the employee's contribution. The 2002 survey produced by the National Association of Pension Funds showed an average employer contribution in the private sector of 6% of base pay which is more than double that of racing's employer

contribution which equates to 2.7% for Grade A staff being paid at the median wage of £284.

### **e. The Racing Industry Accident Benefit Scheme (RIABS)**

This scheme provides for benefits to be paid to all staff employed in yards following accidental injury, disablement or death arising out of, and in the course of, their employment (excluding race-riding accidents).

Funded by contributions from both employers and staff, with each paying £1.50 per week, the injury benefit is paid for up to 104 weeks and is the difference between the net wage and all statutory benefits payable, with a maximum of £153 per week. In the case of death or serious injury, the scheme provides a capital lump sum of up to £30,000. The RIABS scheme is discretionary and operated and administered on behalf of the National Trainers' Federation by a firm of loss adjusters.

### **Stud Staff**

Given the absence of a breeding industry wage agreement and written terms and conditions, there is little available data in this area and establishing information on pay and benefits for stud staff has been difficult. The recent British Stud Staff Training Scheme Survey found a considerable range of wages starting from £9,750 for a stud hand in a small stud:

Table 5

<b>Average Wage</b>	<b>Annual (£)</b>	<b>Weekly (£)</b>	<b>Hourly (£)</b>
Trainees and Stud Hands	10,055	193	4.83
Stud Grooms/Assistant Manager	18,733	360	9.00

Although all of the wage rates recorded in the Survey were in excess of the current Government National Minimum Wage, the rates for trainees and stud hands do not compare that favourably with what is on offer in other industries. However, as with stable staff, the additional benefit of free or subsidised accommodation can increase the value of the remuneration package considerably. Both employers and staff appear to lack an appreciation of the worth of the entire package, leading to the perception that pay is lower than in other fields.

The breeding industry does not provide access to group benefits for staff such as pensions and accident insurance. Only the very large studs are in a position to offer such benefits. Although staff in the breeding industry do not benefit from

racing's pool money system, bonus systems are in operation. We have heard of these ranging from ad-hoc payments at sales time to a set amount per annum, with payments from £1,000 to £7,000 per annum.

We have received no indication of an appetite for a minimum wage agreement to be established for the breeding industry, although there is certainly interest in formulating better guidance for employers, via regular salary surveys and the sharing of information, as well as in the provision of pro-forma written contracts of employment.

### 6.1.1 Findings

#### Stable Staff

- Although market forces and the economics of running a business will determine the wage rates the racing industry can afford, dissatisfaction with rates of pay was highlighted by our survey of stable staff. Half of those who stated that they would not be working in racing in five years' time cited poor wages and hours as their reason. The Burnham Report found similar levels of discontent with pay.
- The value of the total remuneration package is not appreciated by many in the industry. Although sometimes difficult to value precisely, the benefits of such things as free accommodation have not always been clearly communicated to potential and existing staff. Perceived low pay inevitably impacts upon the calibre of individuals seeking to enter the industry. The racing industry offers better pay than the rest of the equine industry, yet it has not capitalised on this.
- Those who do not receive free or subsidised accommodation are at a considerable financial disadvantage.
- The current pay structure is not conducive to the long-term retention of staff. The younger employees with few family responsibilities probably find their income of around £200 per week comparable to the spending power of their peers. But for older employees seeking to marry and establish a home and family, the total compensation package, especially for those not achieving Grade A, is low and makes it difficult to afford to buy or rent suitable accommodation.
- Although the concept of linking pay grades to progression is positive, the seven years of service required to reach Grade A appears lengthy and perhaps overly focused on time-served in an environment where young staff need to be retained. In addition, the gradings apply to all staff and the increased separation of yard work and riding/grooming calls the use of a single grading system into question.

## The employment and retention of stable and stud staff

- The payment of overtime away from the yard at the Government National Minimum Wage is at odds with normal practice in other consumer-led industries. Staff also complain that they are often required to work more than 40 hours a week, with the excess assumed to be part of their 'normal' routine and not paid as overtime.
- The current employer contributions for stable staff pensions are inadequate. The contributions to the scheme for those working in the UK on fixed-term work permits from non EU countries are probably wasted. We would also point out that the lack of any defined contribution from the employee is very unusual.
- As evidenced in our Stable Staff Survey, the Racing Industry Accident Benefit Scheme is highly valued. But staff complain that they are not aware of their entitlements under the scheme.
- We have received much anecdotal evidence from staff indicating abuses in the allocation of pool money, with many stating they have never seen the official Jockey Club return displayed and examples given of payments to individuals not on the stable staff register, for example jockeys, racehorse trainers' wives and gardeners, all of which irritate staff.
- Comments made to us suggest that some employers are keen to hire overseas staff because they can pay them less than their UK counterparts.
- Our findings show that not all staff receive a written contract of employment, despite the availability of a pro-forma contract from the National Trainers' Federation. Although a basic written statement of terms and conditions may be acceptable in law, a comprehensive contract lays down the expectations of both parties and clearly conveys an employee's rights.

### Stud Staff

- The lack of access to central benefits such as pension and accident insurance cover puts many stud staff at a disadvantage to both stable staff and other industries.
- Accommodation is an important benefit in attracting and retaining staff.
- Staff interviewed in the British Stud Staff Training Scheme Survey felt that clarity of pay structure and bonus schemes and employment terms generally could be improved. This lack of understanding can result in the worth of the package being undervalued and the Survey indicated a wish for the clarity that a contract offers both the employee and employer.

- Many of the employers interviewed in this Survey felt that if clear career progression linked to pay was in place, this might help in attracting staff to the industry.

### 6.1.2 Recommendations

#### Strategic Recommendation

**All employers should provide a fair and modern pay and benefits package.**

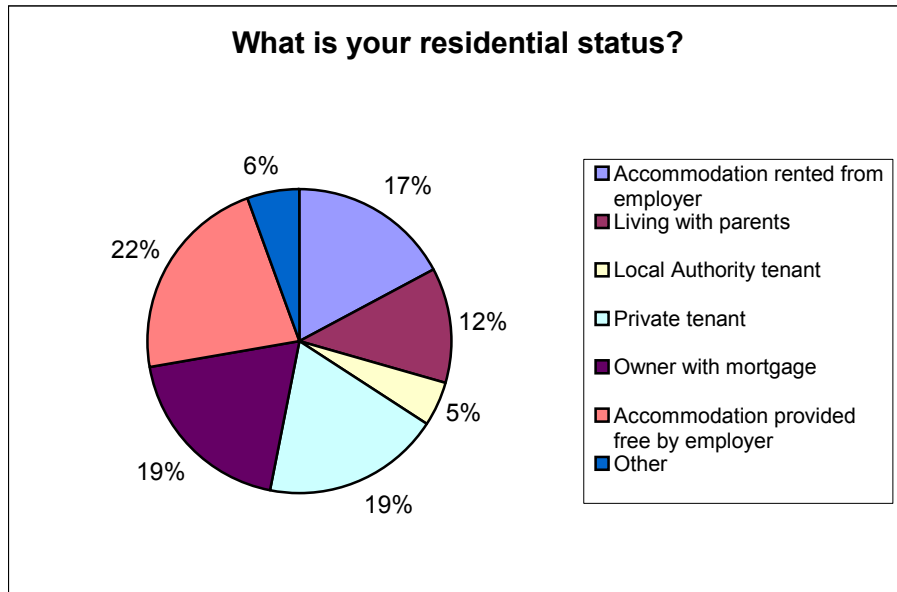
1. All stable and stud staff should be provided with written contracts of employment which clearly indicate all their terms and conditions. A Code of Conduct establishing what is expected of staff is also needed.
2. The National Trainers' Federation and the Stable Lads' Association should review the grading system used in the Memorandum of Agreement and the criteria for achieving the grades, so that stable staff are paid for the work they do and their skills and experience, rather than the length of time they have served.
3. The formula for payments for going racing and overtime worked away from the yard should be reviewed, simplified and improved. We can see no justification for a differential between overtime in and away from the yard. All overtime worked by staff should be paid at a premium rate of at least time and a half.
4. All hours worked in excess of contractual hours should be paid as overtime.
5. With regard to the payment of pool money, the NTF and the SLA should develop a best practice model, giving clear general guidelines as to who qualifies for payment and how allocations might be made. The model should be detailed in contracts of employment. For transparency, pool money could be held in a separate bank account with the head lad as joint signatory. The Jockey Club's stable inspectorate should closely monitor the correct application of the system, including the display of payments in the yard. Any central payment of staff tips could be divided using the same model as for pool money.
6. The provision of performance and profit-related bonus schemes should be encouraged, particularly in studs where staff are unable to benefit from pool money.

## The employment and retention of stable and stud staff

7. a) A new scale of employer pension contributions for stable staff should be negotiated by the NTF and the SLA which recognises length of service, so that in time the more senior staff will receive the 6% contribution offered in many other industries. In the Commission's view a reasonable timeframe for this to be achieved would be over a three to five year period. In order to assist with the affordability of this increase, we recommend that the initial qualifying period to receive an employer contribution should be increased from the existing nine months, possibly to two years.  
  
b) The introduction of employee pension contributions should be investigated, possibly by allocating a percentage of wages at the time of the annual negotiation. Once employees are contributing, steps may need to be taken to ensure that there is regular communication with the members of the scheme.  
  
c) Overseas staff working on fixed-term work permits should be offered the option of either receiving the prescribed employer pension contribution or taking the equivalent sum in their pay.
8. Stable staff are not always aware of their entitlements under the Accident Benefit Scheme. An improved system of communicating the details of benefits is required.
9. Self-employed staff should be made aware that unless they take out accident cover for themselves, they are not insured for accidents in the workplace. Racehorse trainers should reinforce the importance of such cover by requiring it of all those who work for them.
10. A regular, independently conducted survey of pay and benefits should be undertaken by the Thoroughbred Breeders' Association on behalf of the breeding industry and the results published to enable employers to establish benchmarks. This information would also be useful in the marketing of careers.
11. The TBA should investigate the provision of appropriate pension and accident insurance arrangements for stud staff, along the lines outlined for stable staff.

## 6.2 Staff Accommodation

Figure 5



Accommodation emerged as a key issue throughout the course of our Inquiry and is important to the industry from a staff retention perspective. The Stable Staff Survey (Figure 5) indicated that 40% of respondents have neither employer provided accommodation nor own a property. A surprisingly small number rent local authority housing.

The cost of renting or buying a family home in the major racing centres can easily be £8,000 per annum, representing a very high percentage of staff pay. Consequently staff find themselves unable to get a foot on the property ladder at the stage when they need family accommodation.

Those employers in racing and breeding who are in a position to offer free or subsidised accommodation have a real advantage when it comes to recruiting and retaining staff.

A few collective housing initiatives have been successfully undertaken, for example the Lambourn Valley Housing Trust and Racing Welfare properties (including a new six-bedroom property in Newmarket for trainees leaving the BRS or for staff under the age of 24). However, there is no central co-ordination of efforts to address the industry's housing issues.

## 6.2.1 Findings

- Staff accommodation is acknowledged by all parties as a major problem facing employers. Although not in the remit of any one racing body, it is a key factor in the ability of employers to attract and retain stable and stud staff. More must be done to improve the supply of accommodation.
- Although a significant percentage of stable and stud staff are given assistance with accommodation, many are left on low pay to provide their own housing, often in expensive rural areas.
- Planning laws are becoming increasingly complex and the application process is daunting. In areas such as Newmarket, available land is also in short supply.
- Some staff treat accommodation badly.

## 6.2.2 Recommendations

### **Strategic Recommendation**

**Pay remains too low for many stable and stud staff to rent or purchase adequate housing. The British Horseracing Board should work with employers to develop a blueprint to improve the supply of affordable accommodation for staff.**

1. The blueprint should address:
  - a) how to make cheaper accommodation available for staff in the major training centres by putting the financial backing of the industry behind third parties who offer accommodation, for example through the provision of financial bonds for landlords.
  - b) how to finance and build new affordable accommodation, for example hostels for younger staff (as seen in the French foyer system and with some of our racehorse trainers). How to build houses for more senior staff in a way that would permit some form of shared equity for those wanting a foot on the property ladder. The Commission has received a proposal for a Housing Trust which would provide a focus for all discussion and action regarding staff accommodation (see Appendix 6). This concept should be further investigated by the racing authorities to establish if it, or a similar approach, is viable.

## The employment and retention of stable and stud staff

2. The BHB should lobby the relevant Government departments to change planning regulations along the lines already suggested by the British Horse Industry Confederation, with the aim of making it easier for employers to build more staff accommodation on their own land.
3. The contract of employment for stable and stud staff should include a section detailing the accommodation or allowance provided and require the staff to take care of the accommodation, possibly including a refundable bond paid by staff to cover any damages.
4. New applicants for a racehorse trainer's licence should be required to detail their plans for staff accommodation, or demonstrate that they are paying enough for the individual to be able to afford to rent a room or property.

## 6.3 Working Hours and Patterns

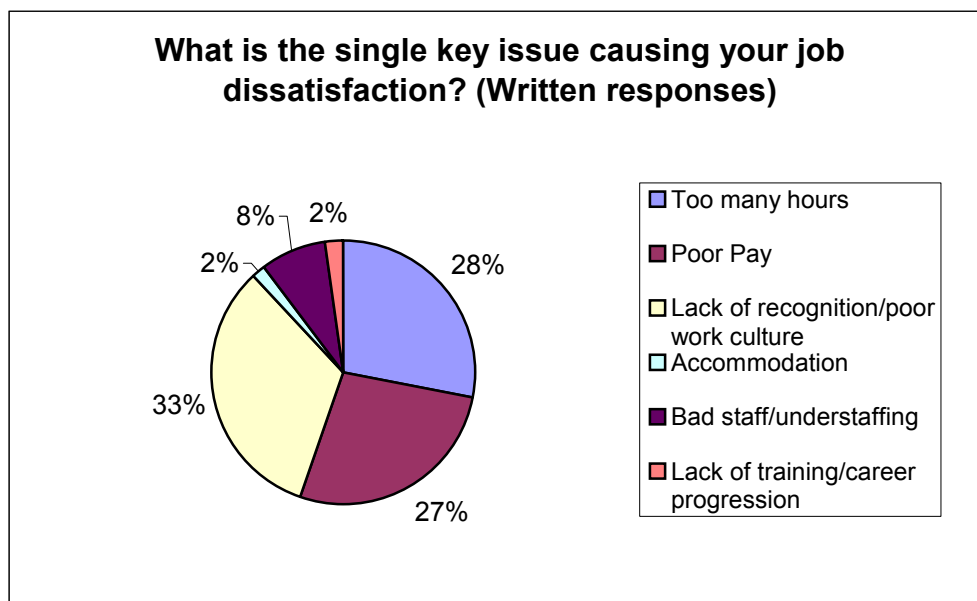
### Stable Staff

*“They think we are machines”*

*“There is too much work and to try to have the horses looking well you must work in your own time”*

The hours being worked by staff, especially at weekends, were highlighted as a significant negative in our Stable Staff Survey. ‘Too many hours’ was cited by 28% of respondents as being the primary factor causing dissatisfaction (see Figure 6 below). This issue, which clearly impacts on both the recruitment and retention of staff, also came through strongly in The Burnham Report. It is an area where progress has proved difficult, with the subsequent increase in evening and Sunday racing accentuating the problem.

Figure 6



The majority of yards operate a working day of early morning to lunchtime; with a break until 4-4.30pm when evening stables take a couple of hours. Saturday mornings are part of the traditional working week and staff are required to work at least one in three and generally one in two weekends.

In 2002, The Berkshire Consultancy, commissioned by the National Trainers’ Federation, spent a year studying the relationship between existing working patterns and the ability of the racing industry to recruit and retain staff. They ran case studies to test a number of different working patterns and went on to

propose ways in which working patterns in racing yards might be adapted in order to improve workforce flexibility.

Berkshire reported – as we found on our visits to yards - that individual racehorse trainers are often willing to try to adapt their working patterns in order to improve staff retention and to address the changes taking place in the sport. However, they found constraints when attempting to achieve change, especially in relation to weekend working. The racehorse requires daily and weekly routines that are perceived to reduce flexibility in working patterns.

Berkshire observed that a number of racehorse trainers had begun to introduce new working arrangements. But as these are not widely known, the industry is not benefiting from their experience. Individual examples of the successful introduction of new working practices have also been observed during the Commission's visits to yards.

Achieving greater flexibility through the introduction of new work patterns requires an increase in the total number of staff employed and therefore in staff costs. The shortage of suitably skilled staff means that employers face significant problems in sufficiently resourcing their yards even using traditional patterns of work. Furthermore the staff themselves are often reluctant to move away from their existing patterns of work, especially as they may not wish to share the task of 'looking after my horse'. All such changes in working patterns can be particularly difficult for small yards with few staff.

### ***Specialisation, team and flexible working***

Our Stable Staff Survey indicated that 44% of yards now split yard and riding duties. This reflects the move in many other industries to specialise in response to the problems encountered in hiring staff with all-round skills and aptitude. It is also a practical way to utilise physically larger people in a yard, or to retain the skills of older staff who no longer wish to ride work. We have seen examples of this in action and it works well, although it is obviously easier to achieve in larger yards.

One argument frequently raised against change is that of the need for "continuity of care" between horse and groom. However, those racehorse trainers who have adopted team working successfully have allocated a number of horses to an overall team of staff who cover the work in a manner agreed amongst themselves, rather than specified horses being cared for by a named individual. This approach proves that more flexible approaches can work, although they need to be evolved to suit the individual yard.

In order to give full-time workers more weekends off, employers are also increasingly using part-time and casual labour at weekends. This is a more

flexible approach but can lead to tension between staff if more favourable terms are offered to the part-timers to encourage their weekend working.

### Stud Staff

The British Stud Staff Training Scheme Survey highlighted staff concerns about working hours. Although the breeding industry is not driven by servicing the fixture list, it faces its own challenges of seasonality – usually met by the use of casual labour. The larger studs are responding to skills shortages by hiring specialists, whereas the small studs require generalists.

### 6.3.1 Findings

- Reports of stable staff routinely working 60-hour weeks are a clear indication that staffing levels are inadequate. However committed staff may be, such demands are not sustainable and have dangerous health and safety implications for both the staff and the horses in their care.
- Weekend working causes the most dissatisfaction and the increase in evening and Sunday racing will only serve to compound this. Maintaining the traditional working hours and patterns, without attempting to respond to changes in the racing calendar, will continue to cause tensions.
- Designing new ways of working is difficult and requires a high level of consultation with staff if change is to be successfully implemented. There will never be a 'one size fits all' approach that meets the needs of every stable, so each yard will work out specific arrangements to suit its own situation.
- Examples exist of progress in the area of adapting working patterns but these are not shared throughout the industry. There is also caution, both from employers and staff, in an inherently conservative industry, in implementing what is perceived as major change to the traditional ways of working. More administration is involved in achieving good communication and the smooth organisation of more complicated staffing structures.
- With the potential end to the UK's 48 hour opt-out, as a result of the European Commission's current review of the Working Time Directive, employers could soon be faced with further challenges regarding working hours and staffing.

## 6.3.2 Recommendations

### Strategic Recommendation

**Employers should continue to investigate alternative patterns of working which are flexible and adaptable to meet the needs of the horse, the changing requirements of the industry and those of current and prospective employees.**

1. Despite the recommendation made in The Burnham Report, the prescribed working week (Monday morning through until Saturday lunchtime) still remains in the Memorandum of Agreement. We believe this definition should be removed, leaving a contractual working week of 40 hours. This is common practice in many other industries running seven-day operations, such as retail, and would remove one potential constraint on racehorse trainers in attempting to improve working patterns.
2. Employers, in consultation with their staff, should plan to achieve staffing levels and working patterns that will enable staff to work only one weekend in three by:
  - Consulting staff in order to encourage the division of labour between yard staff and work riders; exploring opportunities for shift and team working and using a mix of full- and part- time staff to cover workloads and respond to the changes in the racing calendar
  - Sharing ideas with others who have already successfully achieved change
  - Working with external business mentors who may offer examples of successful working patterns adopted in other comparable service industries.

## 6.4 Health and Safety

*“I have hurt my shoulder.”*

*REPLY: “Well you’d better f\*\*\* off home then.”*

As working with horses is a potentially dangerous occupation and working with thoroughbreds presents particular hazards, health and safety is necessarily high on the racing and breeding industry’s agenda.

Specific industry guidelines on this subject are contained in the industry manual “Health and Safety in the Racing Industry” which includes a comprehensive example of health and safety policy and procedures for a yard or stud. All potential racehorse trainers are required to attend training on this subject, which forms part of the staff management module. All yards and studs are required to appoint a ‘competent person’ to assist in carrying out health and safety policy, although ultimate responsibility must rest with the employer.

The racing industry’s compliance with health and safety legislation is monitored by the Jockey Club’s stable inspectorate who have been trained on the subject themselves (for a copy of the inspectorate’s checklist, see Appendix 7). The Health and Safety Executive (HSE) can also inspect a yard or stud at any time in response to a complaint or reported incident.

Under Jockey Club rules, the only piece of Personal Protective Equipment (PPE) that is compulsory is a skullcap when riding. However, guidance is also given to employers that certain equipment is recommended, for example, the wearing of body protectors when riding over jumps. Employers are required to conduct their own risk assessments and any other equipment deemed necessary for the safe undertaking of a task is classed as PPE and must accordingly be provided free of charge by the employer.

Those who employ students from the Stable Staff or Stud Staff Training Schemes are subject to stringent health and safety checks, as prescribed by the Learning and Skills Council. All accidents in the workplace involving learners registered on the Foundation Modern Apprenticeship scheme must be reported to the relevant training provider. The reporting of accidents involving other stable and stud staff is covered under HSE statutory requirements. These accidents are not reported to any central body within the industry. As a result, there are no central accident statistics available. Industry responsibilities for health and safety are described in Appendix 8.

### 6.4.1 Findings

- Despite the industry Health and Safety Manual detailing the need to give health and safety training to all staff, 47% of respondents to the Stable Staff Survey indicated that they have not received such training.
- There is no central register for accidents and the industry therefore has no clear picture of the current situation.
- There is no industry inspectorate for the breeding industry, so most studs are self-policing in this area.
- With the influx of overseas workers, the importance of overcoming language barriers in order to provide health and safety instructions is paramount. A number of staff told us they are concerned about the increased risks for all concerned, particularly with regard to the ability to understand instructions when riding out.
- We heard from a number of staff that they are expected to buy their own skull caps, despite the Jockey Club stipulating that they should be provided by the employer.

### 6.4.2 Recommendations

#### **Strategic Recommendation**

**Health and safety must be made a priority in every yard and stud and the British Horseracing Board must monitor and enforce the application of industry policy.**

1. Health and safety induction training must be provided for all staff joining a yard or stud.
2. The Jockey Club's stable inspectorate should closely examine staff health and safety induction records and that skull caps are provided free of charge.
3. All accident statistics currently collected through RIABS claims and the training providers should be centrally collated by the BHB and published in its Annual Report. This should also apply to studs, once an accident insurance scheme is in place for the breeding industry.

## The employment and retention of stable and stud staff

4. The Commission has heard no persuasive arguments as to why the wearing of body protectors should not be mandatory when riding out. However, in the light of differing opinions on this subject, our recommendation is that as a first step an urgent review should take place, to be led by the Jockey Club and involving the HSE, staff, employers and other interested parties.
5. Employers should ensure that employees from overseas have a sufficient command of English so as not to pose a risk to themselves or others in the workplace.
6. The Thoroughbred Breeders' Association should provide access to an advisory service for studs in the area of health and safety.

## 6.5 Recognition and Respect

*“It would be nice if the trainer would at least say good morning to me”*

*“We are understaffed and working our guts out. We put everything in and get nothing back; you work hard and have been at a yard a long time but still get badly treated and get no respect”*

*“Trainers think that going racing is a privilege”*

*“You are expected to sleep on damp or wet beds”*

This section relates only to racing yards, as we have received no indication that recognition and respect - or, more accurately, the lack thereof – is a major issue for stud staff. It is clear from evidence that we received that some racehorse trainers are open to criticism in this area. Although many yards have good practices, the approach of others can only be considered antediluvian.

The feedback from our meetings with stable staff and from our Survey was particularly striking regarding the importance of recognition and respect in the working environment. Figures 7 to 11 below clearly demonstrate that while rates of pay and long working hours are the main demotivator for stable staff, a lack of recognition and a poor work culture are also significant causes of job dissatisfaction.

Figure 7

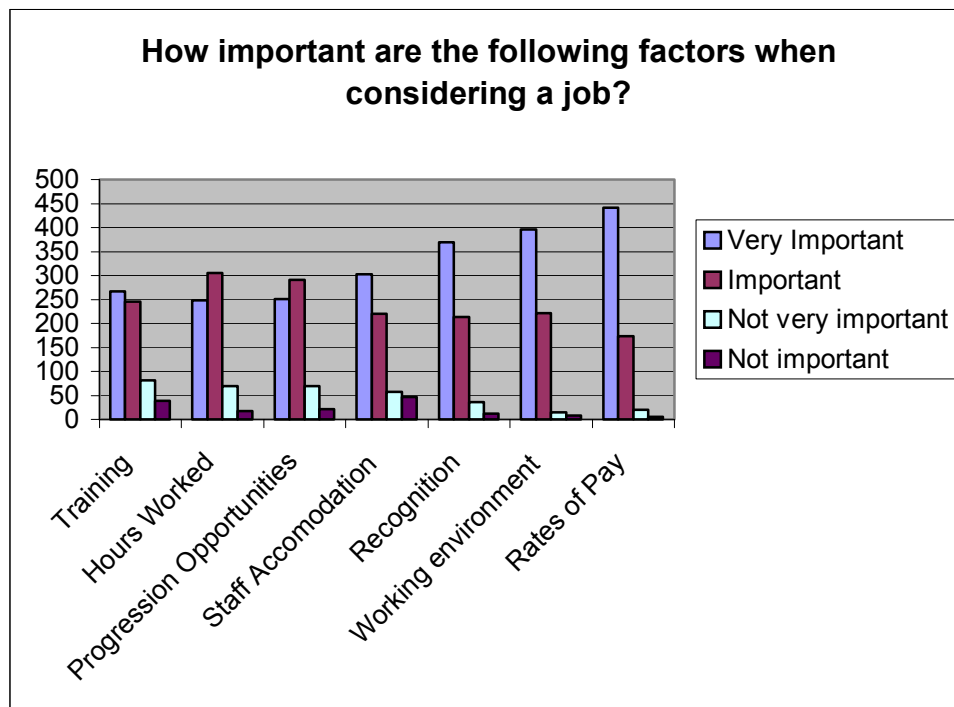


Figure 8

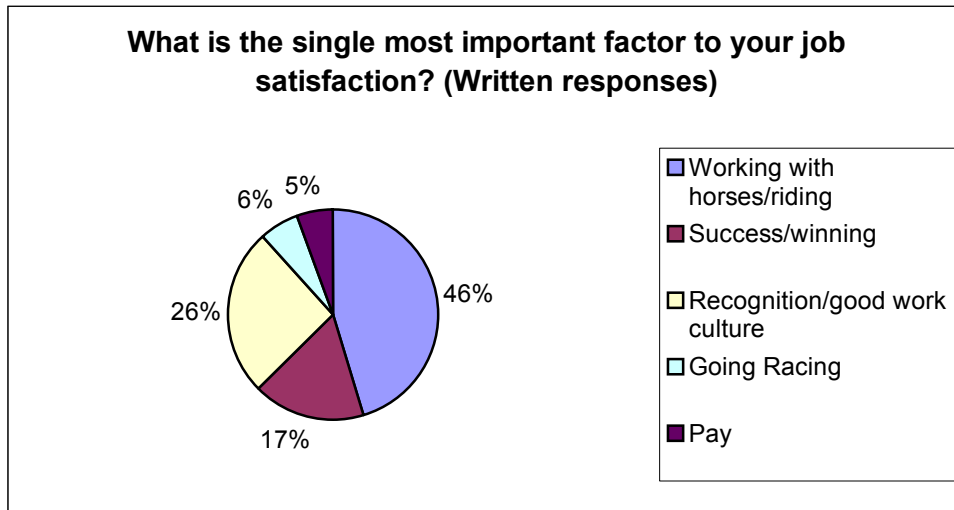


Figure 9

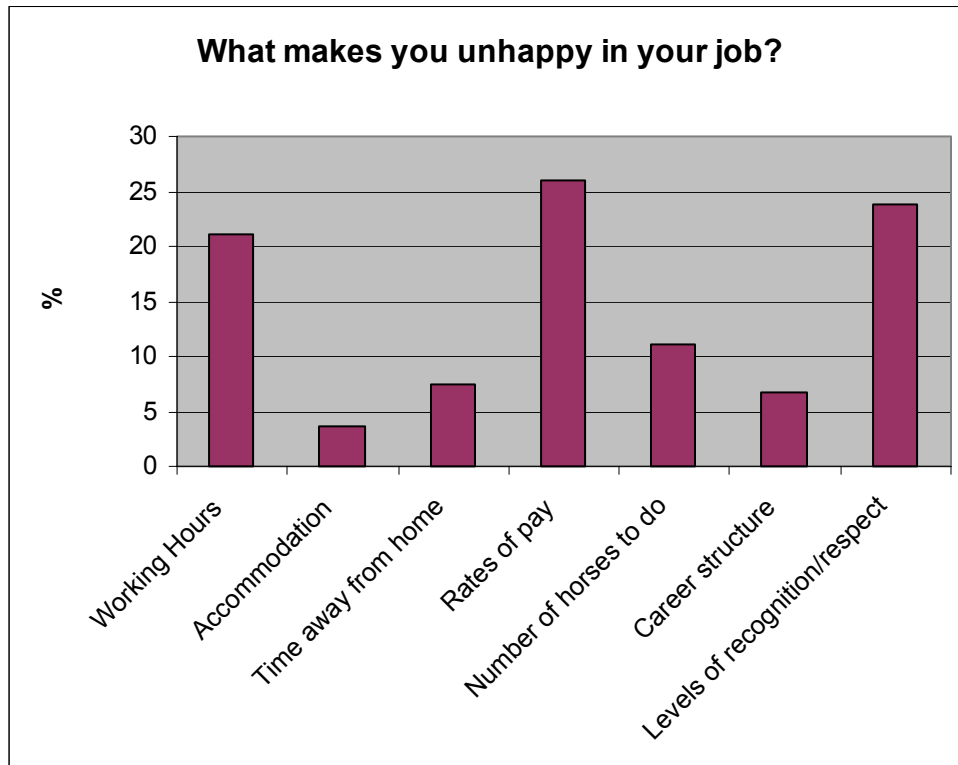
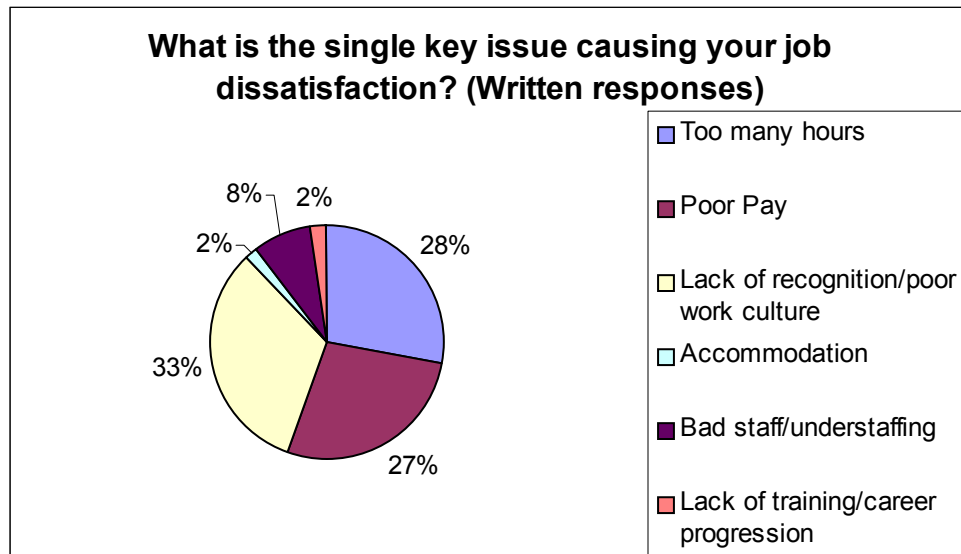
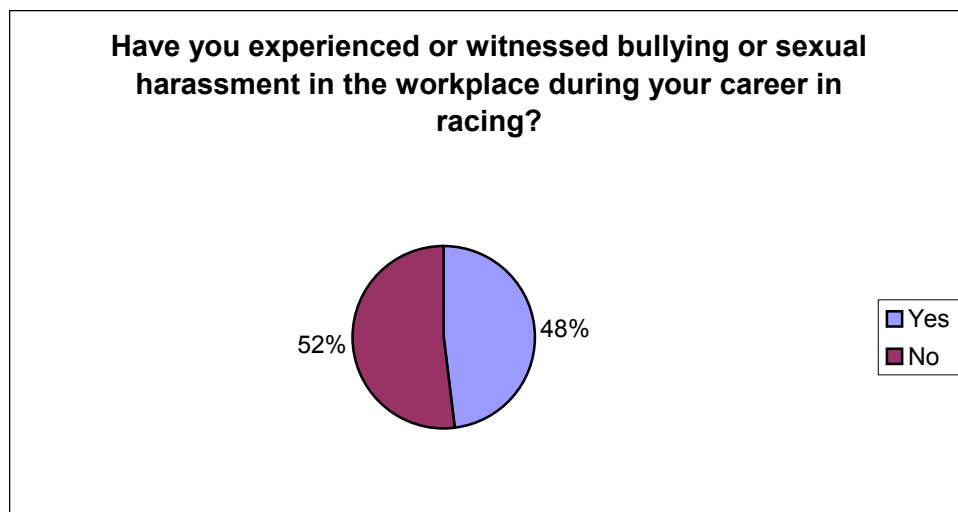


Figure 10



Two important aspects of the current working environment also emerged from the survey as causing significant dissatisfaction: bullying and harassment in yards and inadequate facilities for stable staff at racecourses. While recognising that bullying and harassment is not happening on an endemic scale, we were disturbed and disappointed to learn from our Staff Survey (Figure 11) and from direct contact with staff that these unacceptable practices are still prevalent in parts of the racing industry.

Figure 11



## The employment and retention of stable and stud staff

Many respondents took the time to add written comments on the subject, a few examples of which follow:

- *“I cannot believe what goes on and is considered acceptable in this industry. I would like to say that I can handle it, but most employees are ignorant of what their rights are and how to deal with it properly.”*
- *“How would you like to be called a c\*\*\* everyday?”*
- *“Verbal abuse and bullying were an everyday occurrence.”*
- *“The touching and sexual innuendos are accepted as normal in racing. It would never be allowed in other workplaces.”*
- *“I find the outgoing kids are picked on by senior staff to try and put them in their place. It’s wrong, they should be encouraged.””*
- *“My friend at my last job was bullied by a male member of staff; the trainer knew but did not speak to him about it.”*
- *“Having also spent eight years working outside racing, the way people are talked to and treated is not tolerated in any other industry that I have experienced*
- *There is no complaints procedure in racing and raising issues usually results in loss of job.”*
- *“Most jobs take these allegations seriously, in racing it’s like anything goes and you are expected to put up with it.”*
- *“The senior women staff are as bad at the bullying as the men”*

Bullying can be a difficult matter to handle but many other industries have successfully addressed it over the years and benefited their industry and workforce as a result. It is important for all employers in racing to provide an environment free from bullying and harassment, if they are to meet their legal obligations and have high-performance levels in the workplace. The right to be treated with respect and to receive recognition for their contribution is justifiably expected by a modern workforce. Both our survey and our meetings with staff showed that this is a very important issue for them.

Another area where staff voiced considerable disquiet, and which relates directly to the respect afforded them, is racecourse facilities. The Jockey Club requires that an adequately sized and resourced canteen, serving hot and cold food, is provided for the use of stable staff and box drivers. Warm and comfortable overnight accommodation with segregated facilities should also be provided, where possible, adjacent to the stable block (see Appendix 9 for the detailed list of requirements).

## The employment and retention of stable and stud staff

We heard constant complaints about the inadequacy of these facilities from trainers, the Stable Lads' Association and the staff themselves in their responses to our Survey, as featured in Figures 12 and 13 below. The SLA conducted a survey into racecourse facilities in 2001-02 which indicated that although most racecourses comply with the minimum requirements, there are often serious deficiencies. Complaints were received relating to a range of shortcomings, including a lack of hot water, inadequate personal privacy, poor security, appalling standards of cleanliness, and cost and quality of food. Although some subsequent action has been taken, the responses in our Stable Staff Survey to the question on racecourse facilities and other evidence indicates that some racecourses still have poor facilities for staff:

Figure 12

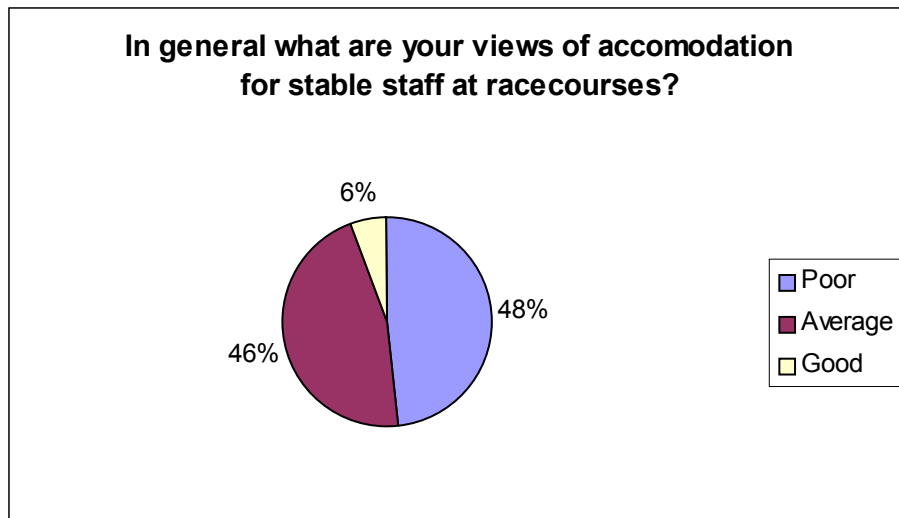
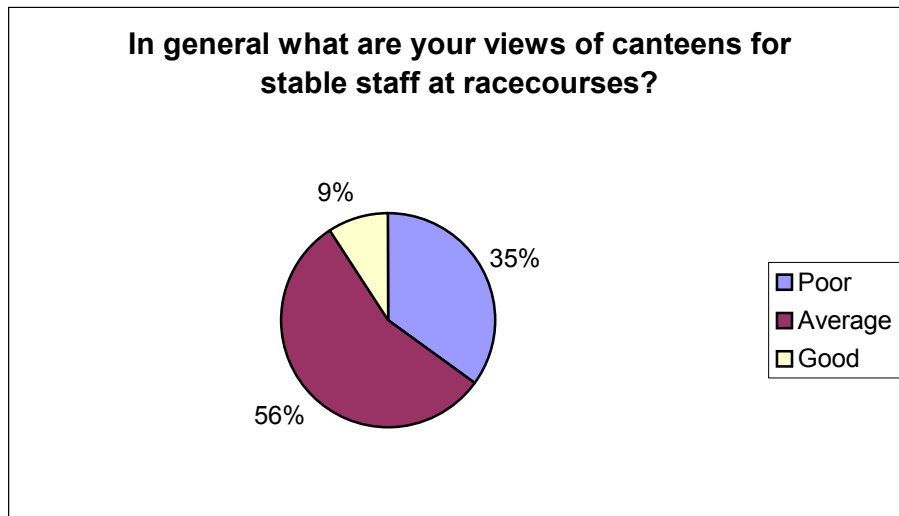


Figure 13



## The employment and retention of stable and stud staff

Racehorse trainers commented to us on the unacceptable standards at some racecourses. They suggested that this makes it even harder to persuade staff to go racing at “anti-social” times. Because of the poor facilities at some tracks, more staff are choosing to travel to racecourses earlier and return later in order to avoid having to stay overnight at the track, thus exacerbating the problem of long working hours. The Commission viewed some Jockey Club inspection reports relating to those racecourses that have been the subject of serious criticism and it appears that the inspectors do not currently assess the standards of facilities for stable staff in any detail.

At the same time, we have received evidence of stable staff mistreating the racecourse accommodation provided which is also unacceptable and should be a subject for inclusion in the proposed Code of Conduct for Staff.

Despite the above criticisms, we have seen positive steps being taken to recognise the contributions of stable staff, examples of which follow:

- Certain racecourses list the names of the grooms leading up each horse in the racecard and an increasing number of sponsors are offering prizes to the groom of the best-turned-out and the winning horse.
- Goodwood ran a £2,500 holiday prize draw for all those winning a best-turned-out prize during the 2003 Festival.
- Sponsors, such as Paddy Power and The Tote, are paying a sum of money to every groom leading up a horse in a race.
- A number of racecourses, for example RHT and Arena Leisure, have started to offer free tea and coffee and sometimes sandwiches to stable staff.
- Many owners recognise the contribution of staff through the provision of tips, gifts and entertainment.
- Some individual trainers run their own initiatives to recognise and reward success.
- The Racing Post, in association with Godolphin, has announced plans to conduct Stable Employee of the Year Awards in 2004 and The D’Avigdor Goldsmid Stable Staff Awards are also made annually.
- The Racing Post has recently started publishing a monthly list of staff who achieve the NVQ qualification.

## 6.5.1 Findings

- It is important to staff that they are treated with respect and that their contribution is recognised both in the workplace and by the industry generally. Staff do not consider this to be currently the case.
- The culture in the workplace is important in attracting and retaining staff. However, some parts of racing (definitely not all yards and probably not the majority) retain a culture derived from a bygone era. Bullying and harassment should not be tolerated and if the industry is serious about offering a modern environment it must provide respect and recognition for all and foster a spirit of teamwork and involvement.
- The Stable Lads' Association told us that it is unaware of the extent of bullying and harassment while staff reported that they would not turn to the SLA for support. Although staff might turn to Racing Welfare, in general they do not feel that they have a suitable accessible representative with whom to consult.
- The facilities provided for stable staff at many racecourses, although complying with the minimum required by the Jockey Club General Instruction, are still the subject of complaint. We do not believe that they are monitored with sufficient rigour. Racecourses should realise that stable staff are also an important part of their customer base.
- The Racecourse Association told us that racecourses currently come under little pressure to make any improvements to their staff facilities and, as these are essentially a non-revenue generating area of their business, they are low on the list of areas for capital investment and improvement.

## 6.5.2 Recommendations

### Strategic Recommendation

**Stable staff should be treated with respect and dignity at all times and their contribution to the industry should be more widely recognised.**

1. Bullying and harassment should not be tolerated in the working environment. Policy statements and complaints procedures need to be devised and made clear to staff by employers.
2. The Stable Lads' Association must take this problem seriously and have suitable representatives available in all the racing centres to help resolve

## The employment and retention of stable and stud staff

complaints. A confidential helpline could also be made available to staff to help deal with these issues.

3. All staff management courses run for the industry should have a section on the importance of recognition, on handling bullying and on how to create a positive working environment for staff.
4. All racecourses and sponsors should recognise stable staff in their race cards and prize ceremonies.
5. Racecourses should realise that stable staff are an important part of their customer base and provide them with appropriate facilities as well as food and beverages which are on a par with those provided for other connections.
6. It should be a requirement for racecourses when applying for a licence that they meet specified standards for stable staff facilities, with subsequent monitoring incorporated into the Jockey Club's racecourse inspectorate report. The Racecourse Association, the Stable Lads' Association and the National Trainers' Federation should work together to produce a template detailing acceptable standards of provision.
7. All industry and press surveys and reviews of racecourses should be asked to include staff facilities in their findings. For example, the Racing Post could conduct an annual survey of racecourses with a category on stable staff facilities, voted for by the staff themselves. This would help highlight the importance of providing acceptable stable staff facilities.
8. More industry awards and media articles are needed to recognise high-achieving staff and to raise the profile of their role in the success of the industry.

## 7. THE AGENTS OF CHANGE

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Previous sections of this Report describe our proposed agenda for change and it is clear that the main agents in bringing this about will be the employers themselves. As stressed in the introduction to the Report, we have established that there are excellent employers in the racing and breeding industries and much has already changed for the better. However, it is clear from the evidence we heard in the course of our Inquiry that there is still much to be done and racing must keep its human resources at the forefront of its collective mind. It falls to a number of bodies to make sure this happens.

Before detailing the issues we believe that each of these bodies should address, we would like to propose a new concept to reward those employers in the industry who are already using modern employment practices and to encourage others to bring about such changes. We have become acutely aware that very little information is available to potential stable and stud staff, and even to potential owners and breeders, to assist them in reaching a decision on whom to approach for a job or where to place a horse.

One form of accreditation a few in the industry have already pursued in order to offer a recognisable “badge” is the achievement of the Investors in People standard (IIP). To date, racehorse trainers Rae Guest and Mark Johnston and one stud, Shadwell, have achieved the award and a number of others are working towards recognition. IIP provides a framework for improving business performance and competitiveness through a planned approach to setting and communicating business objectives and managing people through the application of good practice. Those employers already holding the award are positive about the benefits which include an improved ability to attract and retain staff. Their professional success in the industry suggests that it is also commercially rewarding (details of the IIP standard are in Appendix 10).

In addition to pursuing national awards, certain industries have established their own accreditation schemes (with restaurants and hotels leading the way in this area). Of particular interest to the Commission, however, because of its focus on managing people, is the Improving Working Lives standard created by the Department of Health for the NHS. Although this standard relates to a much larger scale industry with very different work activities, its approach to human resource management could provide a model for racing and breeding (see Appendix 11 for more details).

There is currently little scope for racing and breeding’s employers to differentiate themselves and to be recognised as particularly good employers. We have advanced the idea of an industry ‘kitemark,’ with particular emphasis on good staff management, to several interested parties in racing and have found widespread interest in this proposition. We therefore recommend that the

industry should develop an accreditation system to recognise good employment practice. *(We return to this idea later on in this section within our proposed recommendations for the British Horseracing Board).*

The organisations in racing and breeding with an important role to play in supporting and influencing employers and in driving the reform agenda are detailed below. We suggest ways in which they can contribute to improving the employment experience for stable and stud staff. In addition to these bodies, as already described earlier, the training providers will have a key role to play if the industry is to have a skilled workforce with training available to all. They will need to work closely with the industry to ensure that training is appropriate to the needs of employers and staff, is delivered in a flexible manner, and reaches the capacity required.

We would also emphasise that the “customers” of racing and breeding are in a position to exert influence over human resource management by taking an active interest in the staffing issues relating to their own horses and by exploring this aspect of an operation before and after making the decision to use a yard or stud. Ultimately, the owner and breeder will, through the fees they pay, have to support financially some of the modernisation required to build and retain a 21<sup>st</sup> Century workforce and they will, therefore, be important participants in the change agenda. The Racehorse Owners’ Association have commented to us that they believe owners would be prepared to support specific initiatives aimed at improving staff welfare.

### 7.1 The Jockey Club

As the regulator of horseracing in Great Britain, the Jockey Club has valuable leverage over racehorse trainers and racecourses through its licensing and inspection processes. With powers to grant, refuse, withdraw or suspend licences in relation to horseracing, racemeetings and racehorse training, the Licensing Committee has a vital role to play in maintaining and further raising professional standards in the racing industry.

A range of criteria must be met by new applicants for a racehorse trainer’s licence (a copy of the Application Form is in Appendix 12). These have been designed to ensure that professional standards in racehorse training are of a high level. In the view of the Commission the application process could place greater emphasis on the applicant’s ability to manage staff in a modern way.

An important lever in ensuring that industry standards are maintained is the Jockey Club’s inspectorate (or, as it may become, the inspectorate of the proposed new Horseracing Regulatory Authority). Two teams, each consisting of four people, are responsible for inspecting licensed stables and racecourses. The stable inspection team currently visit each of the 565 yards approximately every eighteen months, giving the racehorse trainer notice of their visit. (A copy of the

inspection form used is in Appendix 7). Although the human resource content of the inspection has been increased in recent years, in our view it is not yet sufficiently comprehensive or rigorous and the pre-booking of inspections limits the likelihood of issues coming to light. We believe that this team should visit every yard annually and that the scope of its inspections should be extended further into staff matters. However, it is currently inadequately staffed and resourced to achieve this.

The racecourse inspectorate visit the 59 licensed racecourses annually to check their facilities and standards. They also conduct ad-hoc visits on racedays. A copy of the inspection form used is in Appendix 13, from which it can be seen that no reporting is required concerning the actual standards of the facilities provided for stable staff.

The Jockey Club's Licensing Department also monitors the number of stable staff being employed in each yard by means of the stable staff register which has a database entry for each employee.

Racehorse trainers are required to submit completed pool money returns to the Jockey Club Disciplinary Department on a quarterly basis. Any racehorse trainer found in breach of the system is liable to a fine of not less than £75, a minor sanction which is periodically applied by the Disciplinary Panel. We feel that this figure is an inadequate deterrent, given the potential financial gains to be made.

### 7.1.1 Recommendations

The Jockey Club's adoption of the following proposals would serve to further improve standards within the racing industry:

1. In dealing with new applications for a racehorse trainer's licence, the Licensing Committee should place greater emphasis on establishing the applicant's skills in managing people. In future, a formal review of each licence holder should be held five years after the grant of their initial licence, which could lead to specific recommendations for improvement or further training.
2. The stable inspection team should be increased to ensure that comprehensive annual inspections occur at every yard. Regular inspections should be conducted at shorter notice and random spot checks introduced and the content should be extended to encompass more staff issues. If the racehorse trainer is not available, a competent member of staff should be nominated to meet the inspector. The National Trainers' Federation have indicated their support for any steps to ensure that the minimum terms of the Memorandum of Agreement are being enforced and that written contracts of employment are issued. The stable

inspectorate should report primarily to the Licensing Department while continuing to report on security matters to the Security Department.

3. The level of the fines in place for breaching those Orders and Rules relating to stable staff should be reviewed to ensure they provide a meaningful deterrent.
4. It should be a requirement of the racecourse licence, for both new and existing racecourses, that specified standards of facilities are provided for stable staff. The racecourse inspectorate should monitor and report on this.
5. The format of the stable staff register should be further enhanced to enable more management information to be provided.

## 7.2 The British Horseracing Board (BHB)

The British Horseracing Board states as one of its Aims “that it will work to develop, co-ordinate and maintain programmes of recruitment, training and education for the Racing and Breeding Industries which promote high standards of work and horsecare and encourage the Industry to invest in its workforce.”

Its recruitment and training directorate which was established in 2003 has responsibility for recruitment and training strategy, training content, the allocation of industry funds and training contracts and the supervision of health and safety and equal opportunities policy within the industry. It currently comprises a Director plus an Assistant.

It is evident from our Inquiry that recruitment, training, employment and career development are inextricably linked, yet the remit of the BHB extends only to the recruitment and training aspects. A brief covering the whole chain of human resources would enable the BHB to address or influence all aspects of the employment experience. As the governing body for racing and the instigator of this Commission, the BHB is best placed to lead the implementation of our recommendations. However, this will require greater investment in resources, both human and financial, than is currently envisaged.

### 7.2.1 Recommendations

1. The recruitment and training directorate’s brief should encompass all aspects of stable and stud staff employment and it should be staffed and resourced accordingly to enable it to lead and implement many of the Commission’s recommendations.
2. The BHB should establish a Stable and Stud Staff Committee, chaired by a member of the Board. The Committee should include mainly

- independent members plus representatives from the Thoroughbred Breeders' Association, the National Trainers' Federation and the Stable Lads' Association. It should take responsibility for approving the strategy to address the issues raised in this Report and should monitor progress and report regularly to the Board and annually to the wider industry.
3. In order to assist in monitoring progress and in establishing the priorities for stable and stud staff, the BHB should conduct a periodic employee opinion survey.
  4. The BHB should take the lead in creating an accreditation scheme for employers in racing and breeding, to be administered by an independent body (see Appendix 14 for outline ideas on this concept). Achievement of the Investors in People standard should be encouraged within the scheme and many employers will be able to source Government funding for this under the Small Firms' Initiative.

### 7.3 The racecourses and the Racecourse Association (RCA)

As outlined earlier in the Report, racecourses are in a position to improve the racegoing experience for stable staff by radically improving the facilities provided for them. We would also like to raise an area in which they could help engender change in a broader context.

New racecourses and new all-weather tracks offer an opportunity to provide flexible training facilities, particularly for new entrants to the industry. The current business model for racehorse training in Britain assumes that trainers run individual, often relatively small, operations with a resulting high fixed cost base and the need to invest significant capital, for example, in their own stables and gallops. This expensive, traditional model, often including a country home, contributes to the high costs of racehorse ownership, limits the scope to improve staff rewards and causes inflexibility in the utilisation of capacity. A few British racecourses have attempted to provide such facilities but we heard criticism of them and they have not as yet gained much favour.

However, if more racecourses provided appropriate training facilities at the track, it would both reduce costs and increase flexibility. We do not anticipate swift progress in this area but it will be interesting to see whether this can be made to work successfully, thus enabling new racehorse trainers to build their business without investing in large facilities that may be underutilised in the early years.

## 7.4 The employers' representative bodies

As we have said above, the industries' employers – trainers and stud owners - will be the main agents of change. Accordingly, their professional bodies, the National Trainers' Federation (NTF) and the Thoroughbred Breeders' Association (TBA) will also have a central role to play.

The NTF has already demonstrated a proactive approach and strong commitment to staffing issues. It has, for example, established pension and accident schemes, initiated a link with the International Exchange Program for overseas recruitment and commissioned The Berkshire Consultancy to look into the working hours problem. The Federation also provides members with a comprehensive employment guide, templates for employment paperwork, and a telephone advisory service. The NTF has a critical leadership role to play in further helping racehorse trainers to modernise and improve in the management of staff.

The TBA represents breeders' interests in recruitment and training. A Committee of the TBA was established in 1996 to operate the British Stud Staff Training Scheme (BSSTS), which to date has focused on promoting Modern Apprenticeships, delivered by the National Stud. In 2003, through the BSSTS, the TBA and the National Stud commissioned a Training Needs Analysis and Labour Survey that was valuable to us in our Inquiry. However, it is difficult to acquire robust data on the recruitment and training requirement in breeding as, unlike racing, there is no staff register. The lack of a register inhibits the TBA's ability to access funds for training and to offer benefits to staff, such as pension and accident insurance schemes.

### 7.4.1 Recommendations

1. The NTF needs to play a full part in the modernisation of recruitment, training and employment conditions for stable staff in the ways indicated in the Report. It should agree with the BHB how best to achieve this. It has a particularly important role to play in modernising the culture in yards with regard to harassment and bullying.
2. A register of studs and stud staff is needed. This will allow accurate information to be collected on the numbers, nationality, skills and whereabouts of employers and staff. Such information is required if the breeding industry is to reach informed decisions on recruitment, training and employment strategy. Registration should be mandatory to ensure the information provided is comprehensive. We realise that the lack of regulation in the breeding industry will make this difficult but would recommend that the BHB, with its responsibilities for the bloodstock breeding industry, works with the TBA to find a means of achieving this.

- Access to such data would then enable the TBA and the breeding industry to:
- Plan effective recruitment and training policies and programmes
  - Develop a pension scheme and other benefits and incentives for staff working on studs
  - Communicate with employers and their staff and replicate the materials provided and the information services available to NTF members
  - Allow stud staff to communicate with regard to potentially forming their own Staff Association
  - Improve the accessibility of the breeding industry to job seekers
  - Forge closer links with Racing Welfare and inform staff of the support available to them
3. The NTF and TBA need, in consultation with the BHB, to prepare a strategy for supporting their members in achieving the changes indicated in this Report. In addition, they should examine the scope for joint initiatives. Each body should take responsibility for the communication of initiatives and the sharing of best practice with their members. They should also encourage their members' participation in such areas as the reform of training provision.
  4. The NTF and TBA should set up and manage a register of business mentors to be made available to their members to help them develop particular aspects of their operations. These could be drawn from amongst racehorse owners and professionals in other industries, in order for racing and breeding to access best practice advice from those with specialist knowledge of different business activities.

### 7.5 The Stable Lads' Association (SLA)

The SLA was formed in 1975, following a pay dispute at Newmarket. It is a registered trade union, albeit not affiliated to the TUC, in line with many small associations representing staff. The two Trustees of the SLA are Lord Oaksey and Jimmy Hill and the Committee is made up of a Chairman, Vice Chairman, Financial Secretary and eight members who are selected by nomination by the stable staff workforce. Bill Adams has been employed as the National Secretary since 1986, based from home in Derbyshire. He is supported by two administrators.

The current role of the SLA includes: representing stable staff in negotiating annually with the NTF to establish minimum rates of pay and certain employment conditions; lobbying on stable staff issues; helping and representing members in disputes with their employer, including at Industrial Tribunals; handling queries on employment rights (but it does not offer a free legal advice helpline); and liaising

with the Jockey Club, the Racecourse Association and individual racecourses to achieve improvements in facilities for staff.

The SLA was woefully under-funded for too long and Bill Adams has done sterling work operating virtually single-handedly with very limited resources. However, since 2001, the SLA has received deductions from prize-money under Order 194, providing an income of £128,605 in 2002 and £141,150 in 2003. The new funding stream coincided with all stable staff being given automatic free membership (with an opt-out facility), resulting in a membership of more than 3,000.

A database of members has recently been established. Although it is represented on some industry bodies, the SLA has no voice in Race Planning and it is noteworthy that the Irish Stable Staff Association has a seat on the board of Horseracing Ireland.

Although the advent of extra funding provides the resources for additional levels of union activity and communication with members, it is not clear that this has sufficiently taken place. The need for proper representation of stable staff has been repeatedly emphasised to us during our investigations and it appears that many of the basic functions and services of a modern trade union are not - and within its present structure cannot be – performed by the present SLA. The services currently provided are inadequate for the requirements of its members and the SLA needs to modernise. The current inadequate manpower levels and structure of the Association, and the lack of a regional network, result in the SLA being insufficiently visible or accessible to its members. Twenty eight per cent of respondents to our Survey were unaware of its existence and staff repeatedly told us that they had no contact with the Association, would not seek to contact it with a problem – and would not know how to contact it if they so wished.

As is often the case with unions seeking to organise and represent employees in small businesses in often remote rural areas, it has not proved easy to galvanise stable staff and meetings have historically been poorly attended. However, even allowing for these difficulties, the charity, Racing Welfare, seems to enjoy a higher profile than the SLA, with staff more inclined to approach their Officers who are based in the racing centres and who regularly communicate with yards. Racing Welfare is to be commended for providing this extra support which is not part of its remit, but it cannot be expected to provide the comprehensive service of a proper modern union.

### 7.5.1 Recommendations

An effective trade union, working in partnership with the employers to support staff, could play a part in raising industry standards. We do not believe that the SLA in its present form and with its current resources is adequate for the needs of its members and would suggest for consideration a number of options for

reform. The existing Association could be reformed; or it could reform and affiliate to the TUC; or a reformed SLA could associate with, or even be replaced by, an existing modern trade union. Within the reform process:

1. The BHB, which provides the mechanism for the funding of the Association through Order 194, should work with the SLA to review its structure, activities, resourcing and to establish succession for the current Secretary. Independent advice should be sought on how to create a modern trade union.
2. After such advice has been sought and implemented, the BHB should satisfy itself that a reformed SLA is capable of effectively representing its members. If it is not satisfied, funding should be withdrawn and alternative arrangements put in place. The modern TGWU currently recruits and represents staff on racecourses and in the betting industry, offering amongst its services free legal advice and experience in monitoring health and safety in agriculture and construction.
3. The SLA should consider the benefits of affiliation to the TUC and association with a properly resourced modern trade union. In our survey of stable staff, 80% of respondents indicated a wish for affiliation and this would be a practical way for the union to receive extra support and expertise.
4. The current industry funding of the SLA may need to be amended, depending on the reform process adopted. Provided reform occurs, it may be appropriate in the medium term for members to pay a contribution to boost the funding and provide new services.
5. The union, whether a reformed SLA or one linked to another affiliated union, should insist on being offered an appropriate voice within the industry. The reformed union should work closely with Racing Welfare, while clearly defining their respective roles and responsibilities.
6. Once reformed, the SLA should consider whether it is able to represent stud staff as well.

## 8. Next Steps

In order to ensure that the Commission's recommendations are taken forward the proposed Stable and Stud Staff Committee should meet regularly to guide the industry in the planning and implementation of strategy. The following table suggests the responsibilities to be taken by the various industry bodies, timeframes and budgetary requirements. It is intended as a summary and not as an exhaustive list.

Table 6

Strategic Recommendations	Responsibilities	Timeframe	Budget
<b>Recruitment</b>			
The BHB, through its Recruitment and Training Department, should take the lead, on behalf of racing and breeding, in implementing a new recruitment strategy aimed at ensuring that sufficient numbers of recruits are attracted into the industries.	BHB to lead, supported by NTF, TBA and training providers	Immediate start - development over 3 years	Modest additional budget required
<b>Training</b>			
The BHB, through its Recruitment and Training Department, should take the lead in implementing a new training strategy for racing and breeding which will increase the numbers of new recruits who can be trained and provide for continuing professional development.	BHB to lead, supported by NTF and TBA	Immediate start - development over 3 years	Reallocation of current central budgets and further investment by the industry, employers and Government funding
<b>Career Development</b>			
As part of the new training strategy, the BHB should, in consultation with employers and staff, devise the framework and training necessary to support career progression.	BHB to lead, supported by employers and training providers	Immediate progress possible with further development over time	Negligible budget required
<b>Pay and Benefits</b>			
All employers should provide a fair and modern pay and benefits package.	Employers, NTF, TBA and SLA to lead change	Immediate progress possible with further development over time	Negligible central budget Additional investment by employers and owners/breeders

Strategic Recommendations	Responsibilities	Timing	Budget
<b>Staff Accommodation</b>			
Pay remains too low for many stable and stud staff to rent or purchase adequate housing. The BHB should work with employers to develop a blueprint to improve the supply of affordable accommodation for staff.	BHB to lead task force in conjunction with employers	Immediate start with development over extended time frame	Pending blueprint
<b>Working hours and patterns</b>			
Employers should continue to investigate alternative patterns of working which are flexible and adaptable to meet the needs of the horse, the changing requirements of the industry and those of current and prospective employees.	Individual employers, supported by NTF, TBA and SLA	Immediate start with development over time	Negligible central budget but some cost to employers/owners
<b>Health and Safety</b>			
Health and safety must be made a priority in every yard and stud and the BHB must monitor and enforce the application of industry policy.	BHB to lead, supported by JC, NTF, TBA and SLA	Immediate start with development over short term	Small budget required
<b>Recognition and Respect</b>			
Stable staff should be treated with respect and dignity at all times and their contribution to the racing industry should be more widely recognised.	Whole industry	Immediate progress with further development over time	Small budget for some sponsors and racecourses

## 9. Acknowledgements

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Lady Hilary Burnham	Northern Racing College
British Racing School	Richard Phillips
Keith Brown	Martin Pipe
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Roger Curtis	Vanessa Peach
Chris Deuters	Maurice Regan
Simon Dow	John Quinn
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David Flood	Colin Smith
Christopher Foster	Noel Scalling
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Joe Grimwade	John Simpson
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IRTA	
ISSA	
The Jockey Club	
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Japan Racing Association	
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Buck Jones	
Louise Kemble	
Sir John Kemball	
Chris Kennard	
Henrietta Knight	
Richard Lancaster	
Miles Littlewort	
Low Pay Commission	
Gill Lovell	
Tim Lyle	

# 10. Appendices

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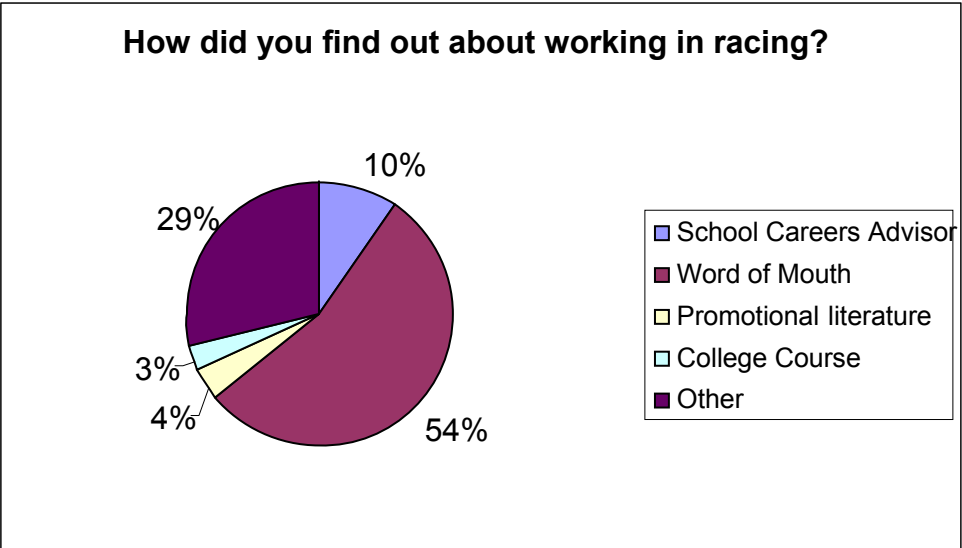
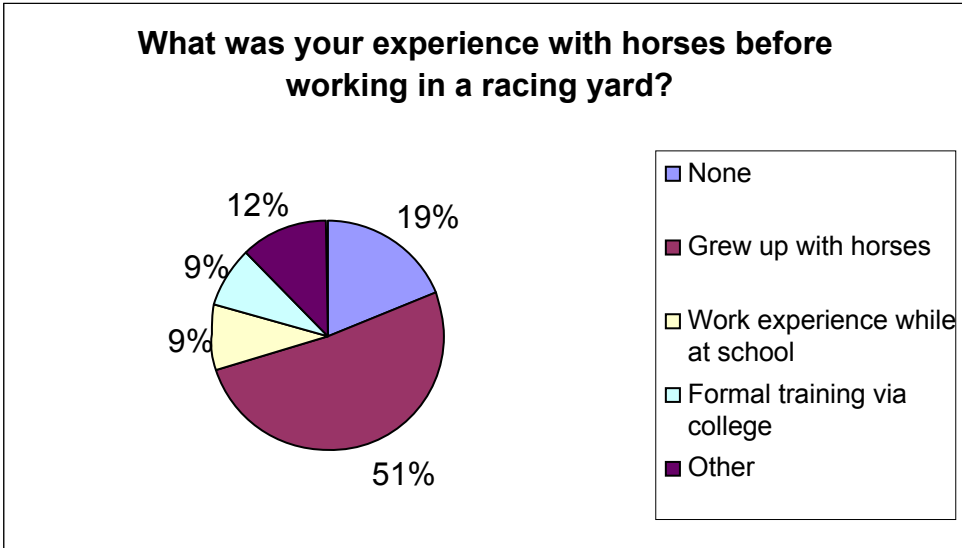
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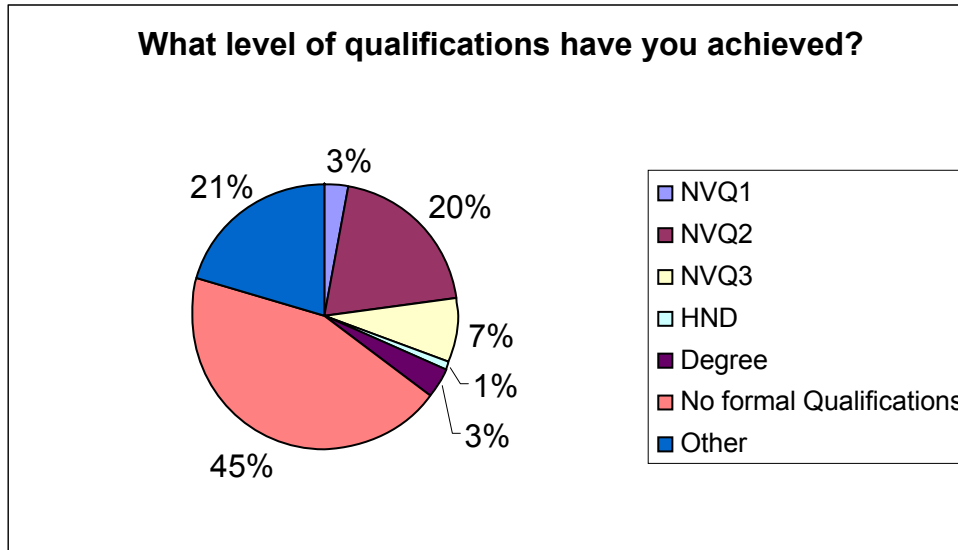
## Appendix 1

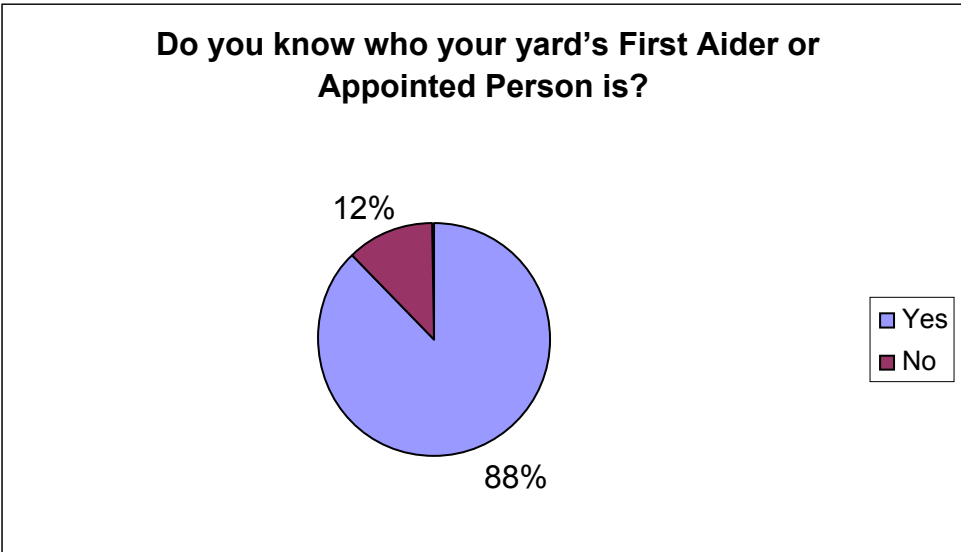
	Interviews	Visits to Trainers	Visits to Training Providers	Visits to Studs	Focus Groups with Staff
<b>Total</b>	28	20	3	5	3
<b>Details</b>	2. Bill Adams 3. Rupert Arnold 4. David Ashforth 5. Stephen Atkin 6. Keith Brown 7. Lady Hilary Burnham 8. Pippa Cuckson 9. Chris Deuters 10. Nigel Elwes 11. Christopher Foster 12. Tony Goodhew 13. Robin Gow 14. Joe Grimwade 15. Michael Harris 16. Brian Holmes 17. Sir John Kemball 18. Louise Kemble 19. Gill Lovell 20. Rhydian Morgan-Jones 21. Bill O’Gorman 22. Vanessa Peach 23. Gavin Pritchard-Gordon 24. Brough Scott 25. Colin Smith 26. Richard Smith 27. Malcolm Wallace 28. Raye Wilkinson 29. Mary Young	1. Andrew Balding 2. Ralph Beckett 3. James Bethell 4. Michael Blanshard (JCI)* 5. T. Buck Jones(JCI) 6. Roger Curtis (JCI) 7. Simon Dow 8. Charles Egerton 9. David Flood 10. Rae Guest 11. Mark Johnston 12. Henrietta Knight 13. Kate Milligan(JCI) 14. Ferdy Murphy (JCI) 15. Paul Nicholls 16. Richard Phillips 17. Martin Pipe 18. John Quinn 19. Mark Rimell 20. John Weymes *JCI: Jockey Club Inspection	1. British Racing School 2. National Stud 3. Northern Racing College	1. Deepwood 2. Kingwood 3. Kirtlington 4. National Stud 5. Shadwell	1. Lambourn 2. Middleham 3. Newmarket

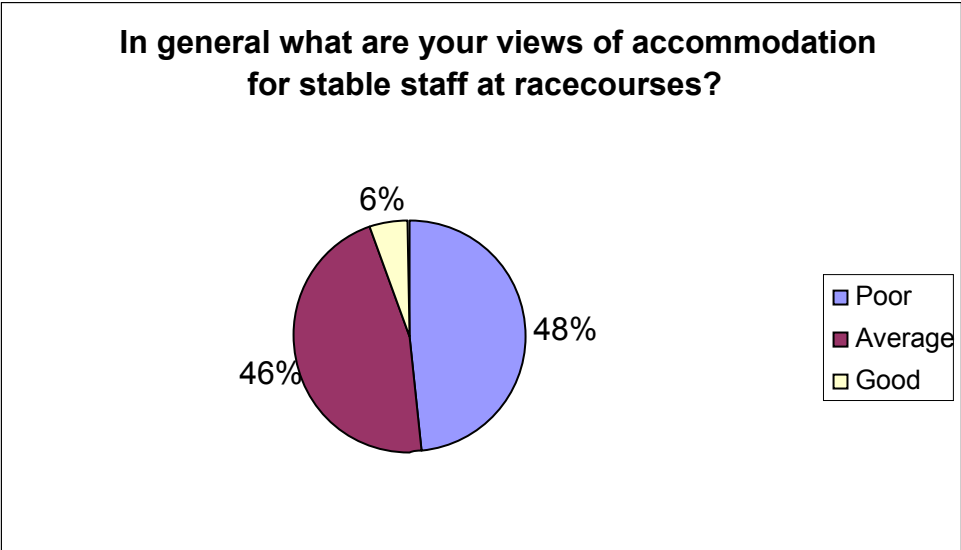
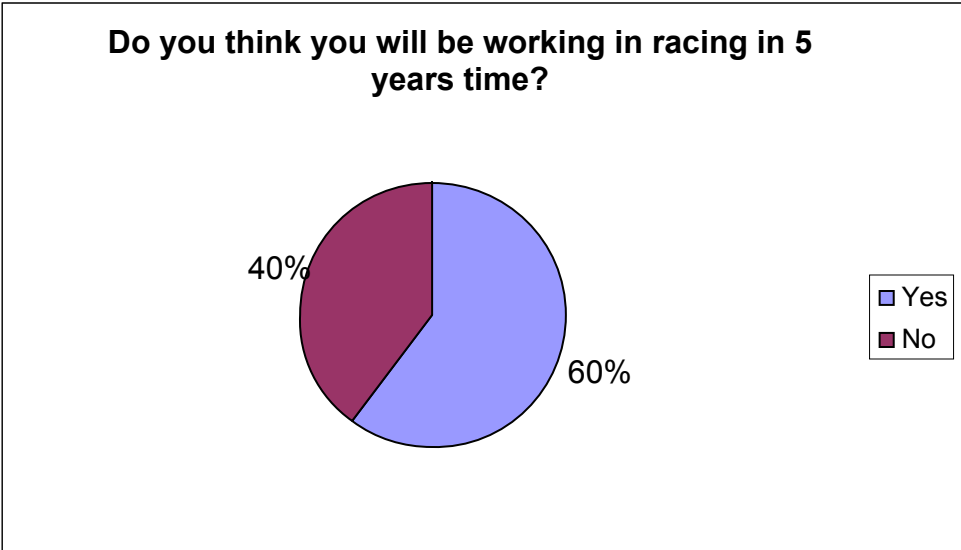
# Appendix 2

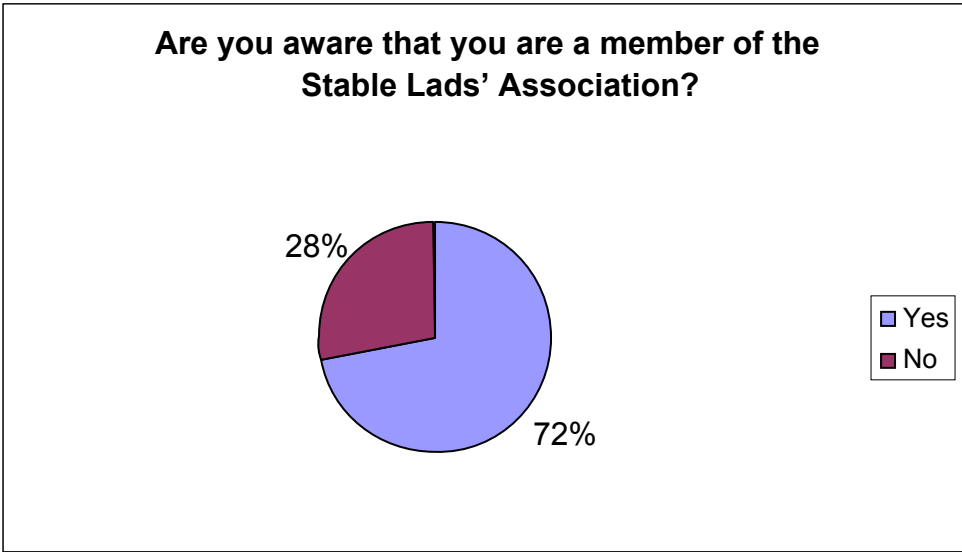
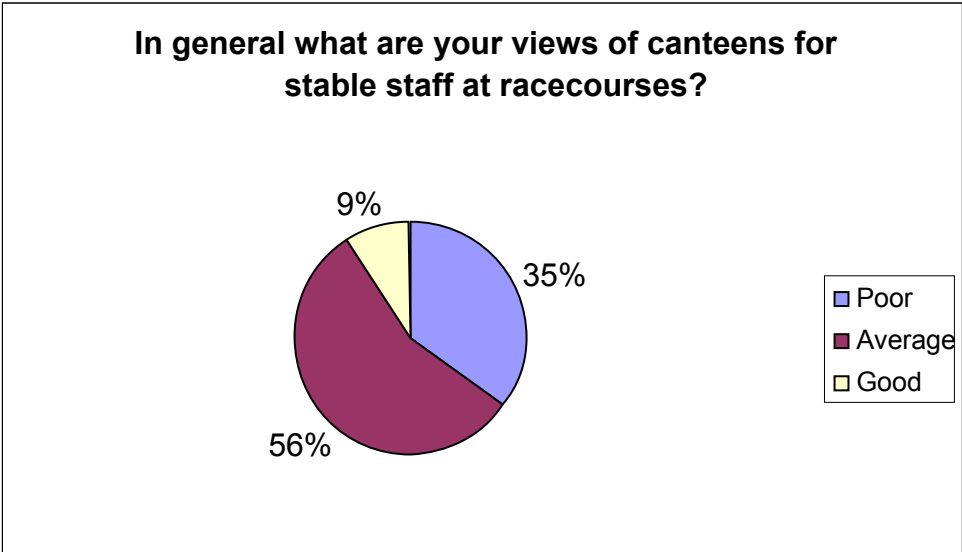
## Stable Staff Survey Results

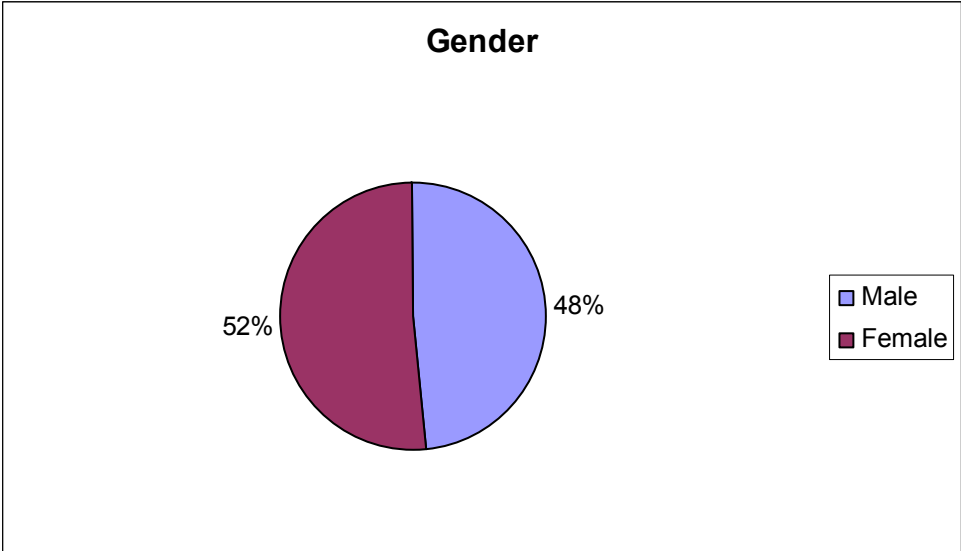
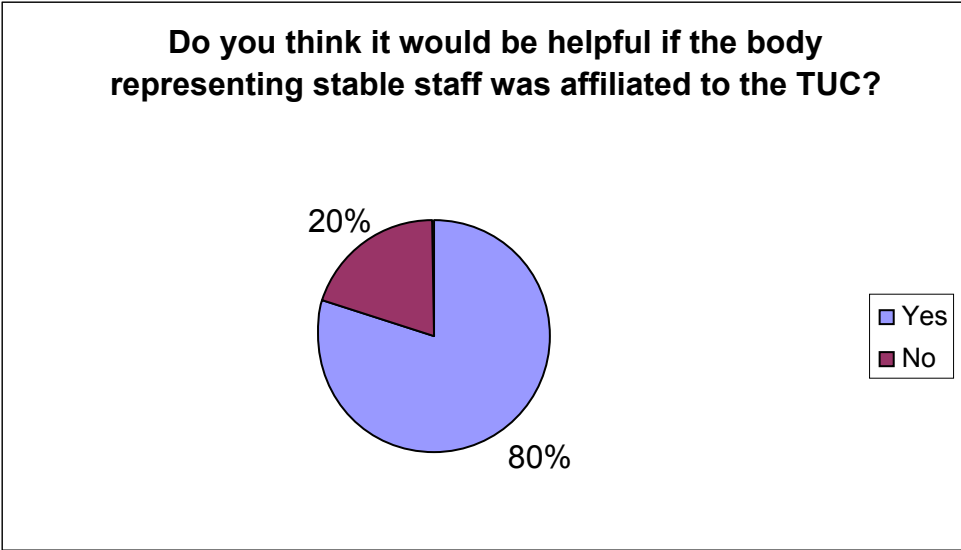


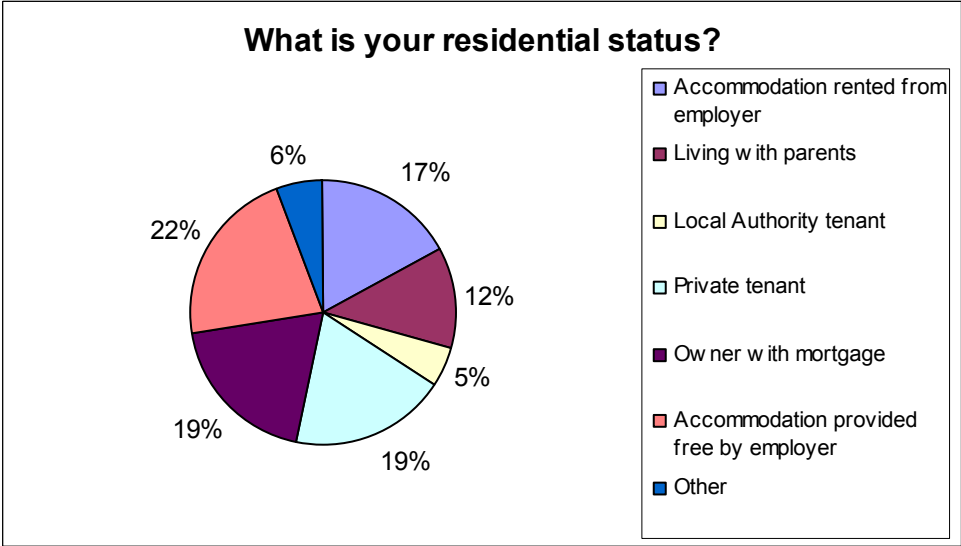
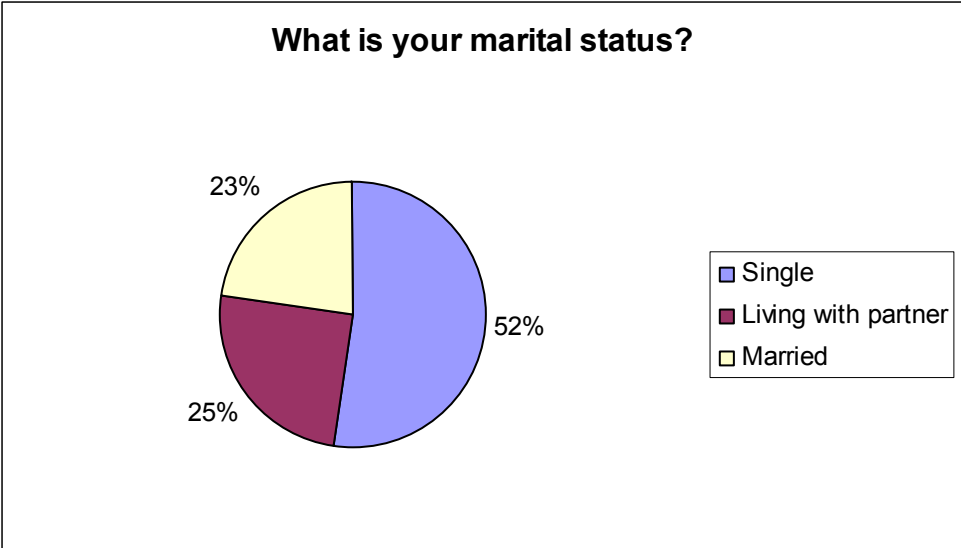


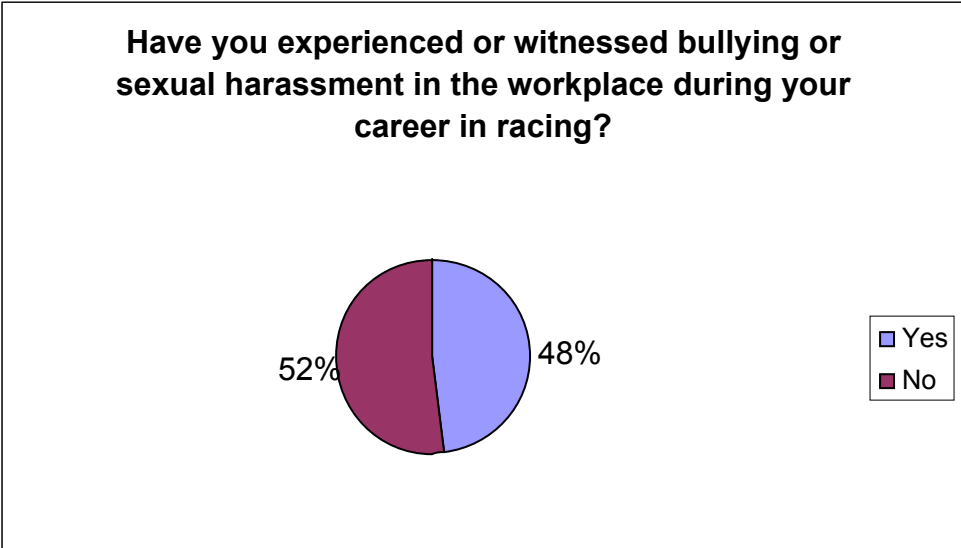


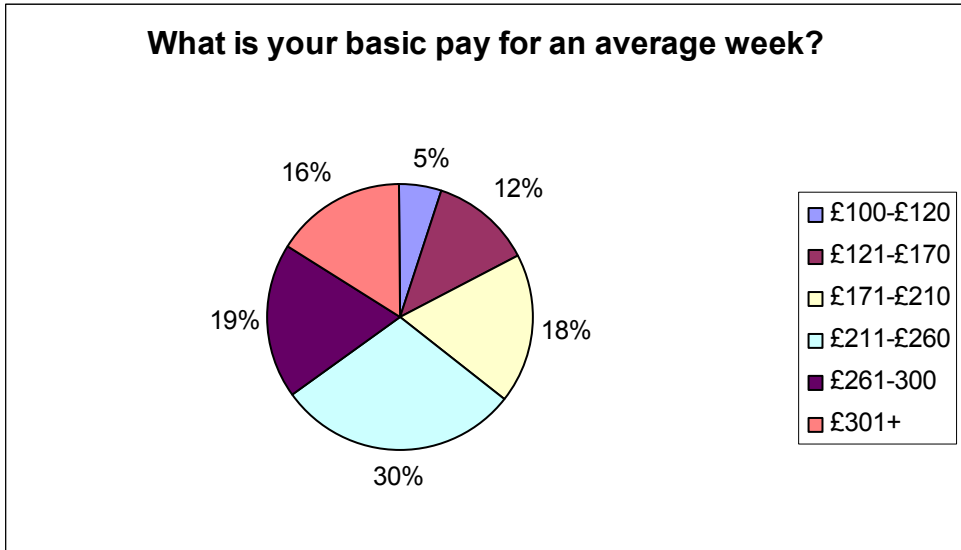
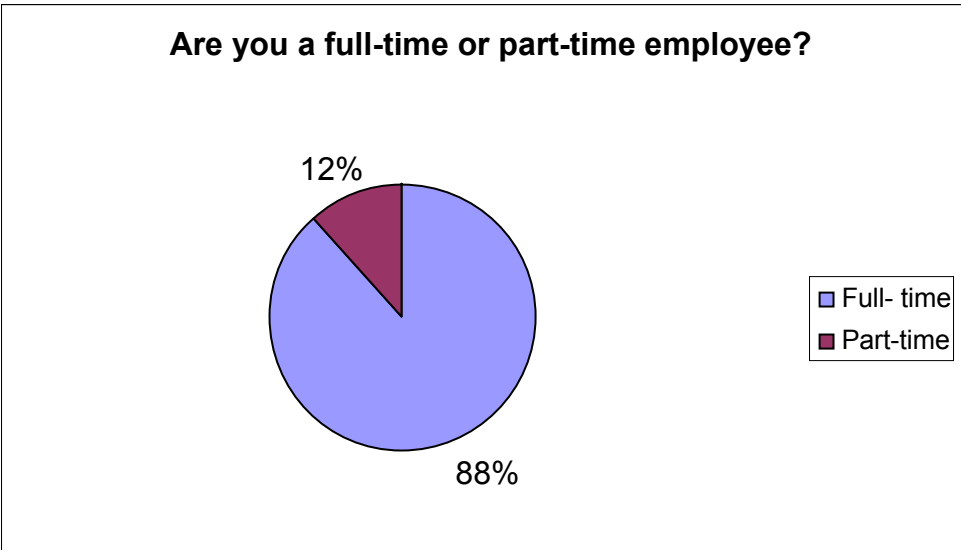


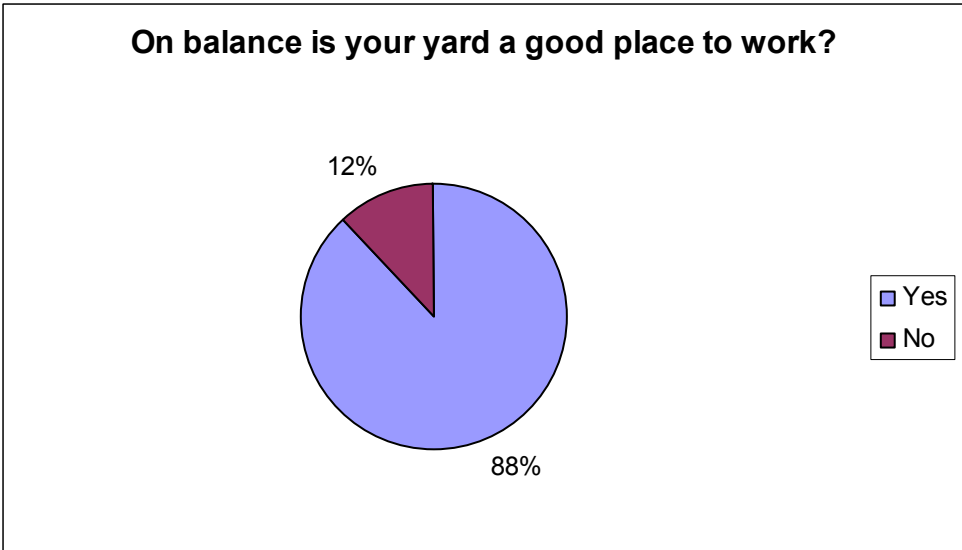
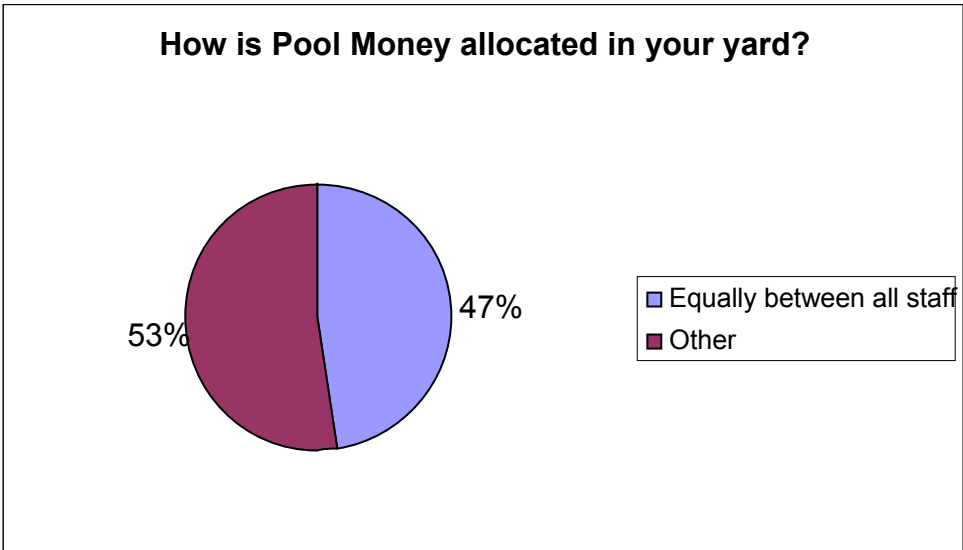


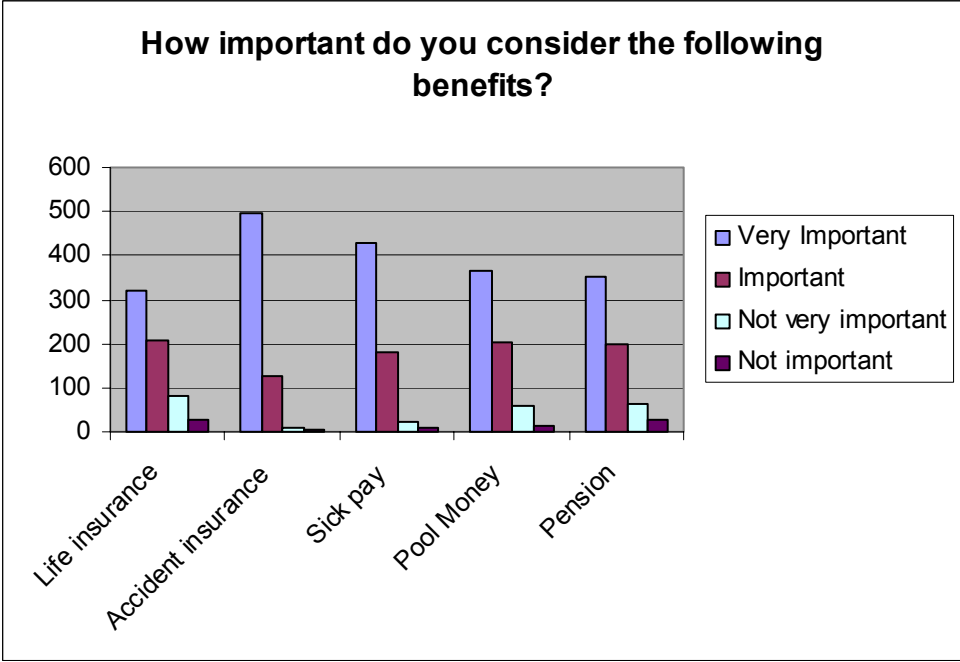
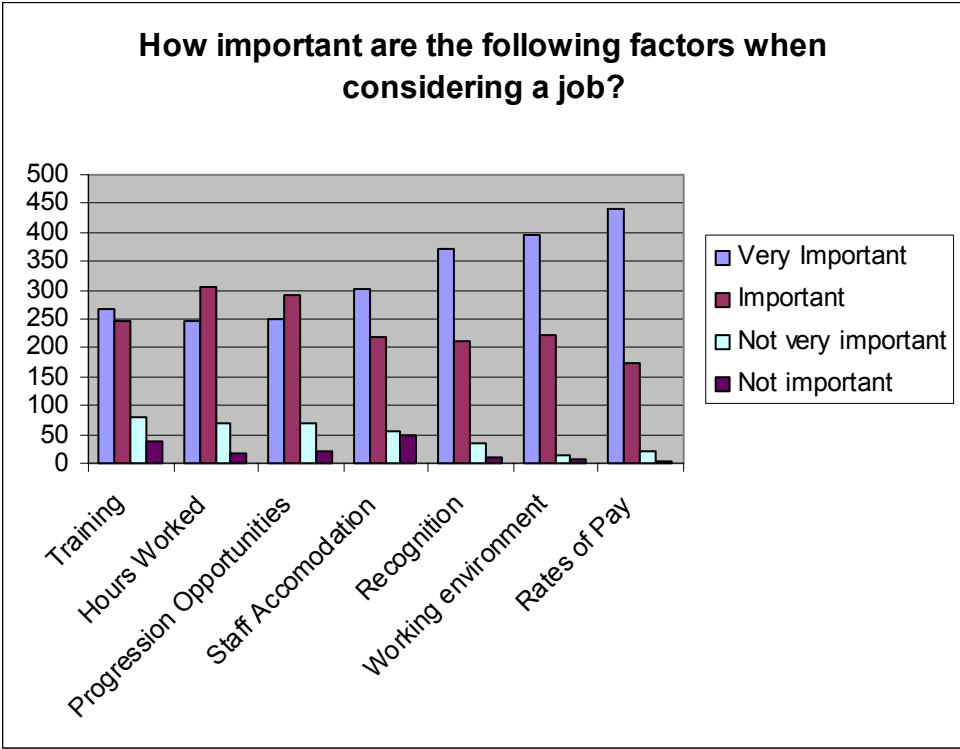


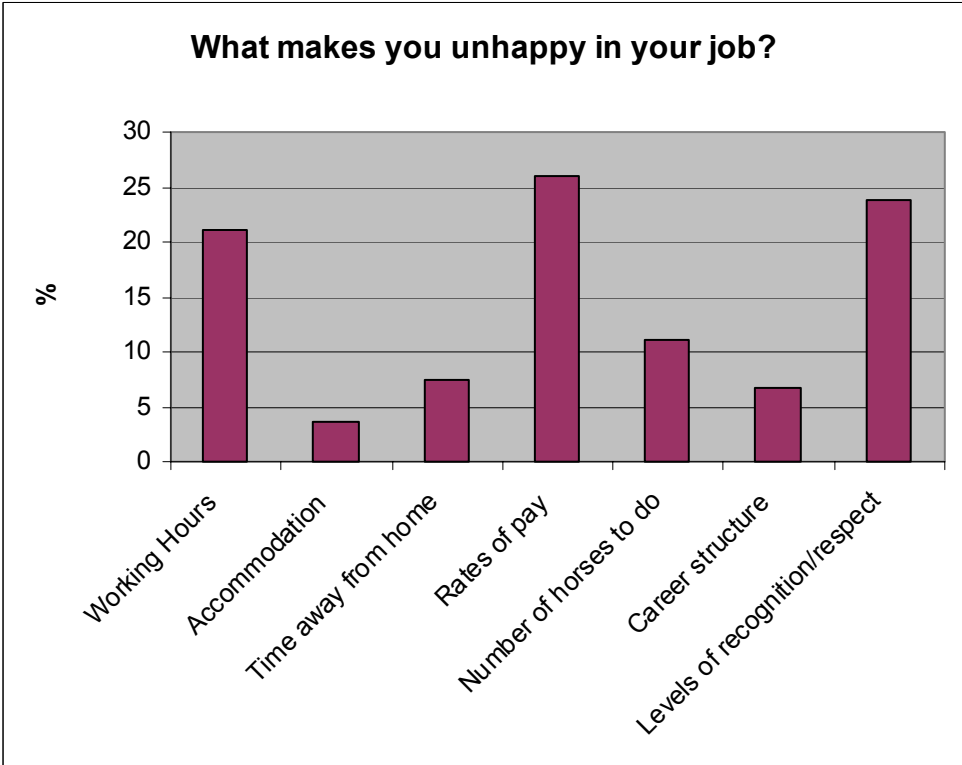
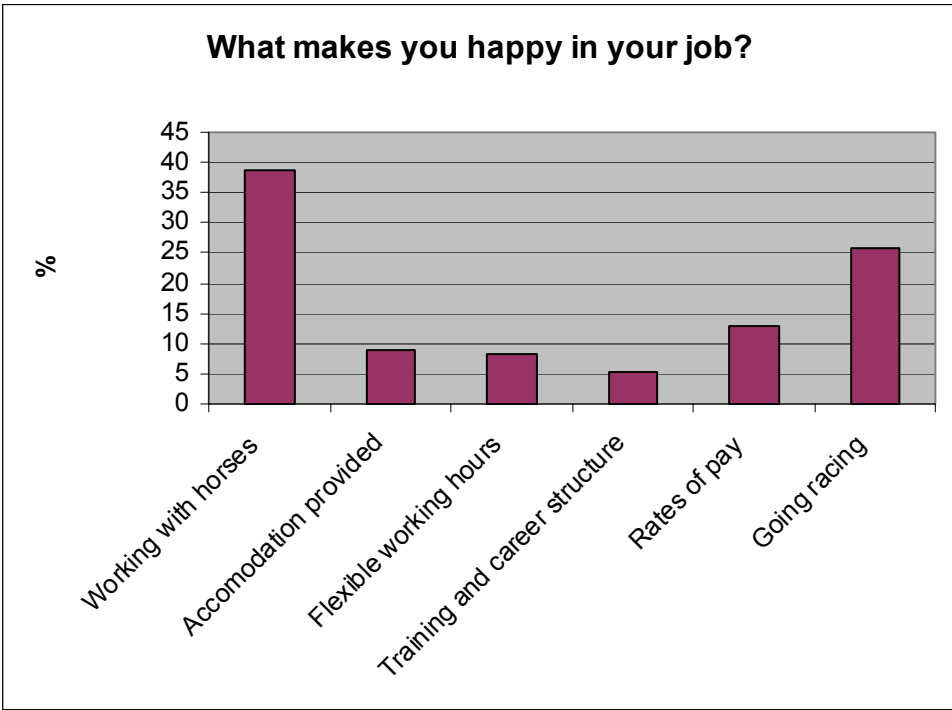




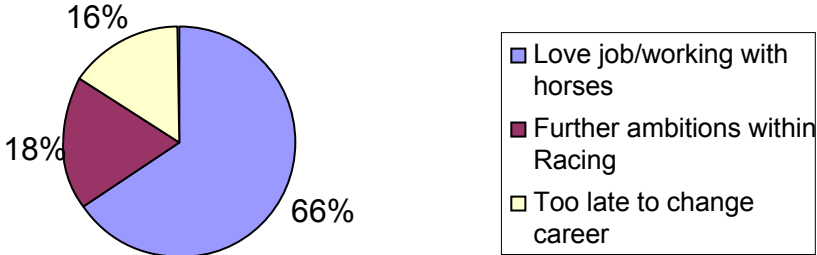




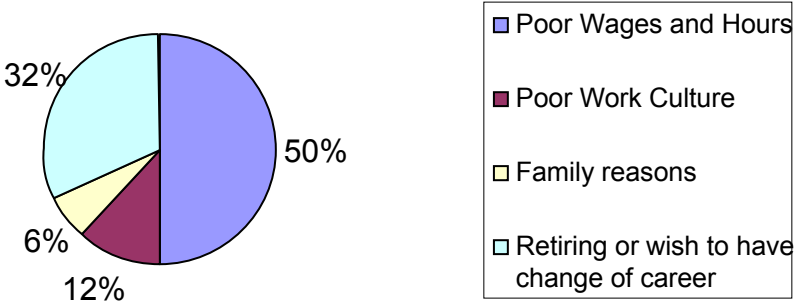




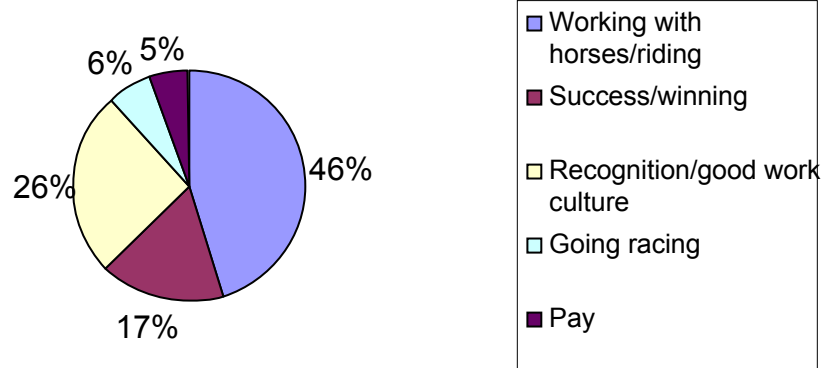
**Do you think you will be working in racing in 5 years time? (YES) Written responses**



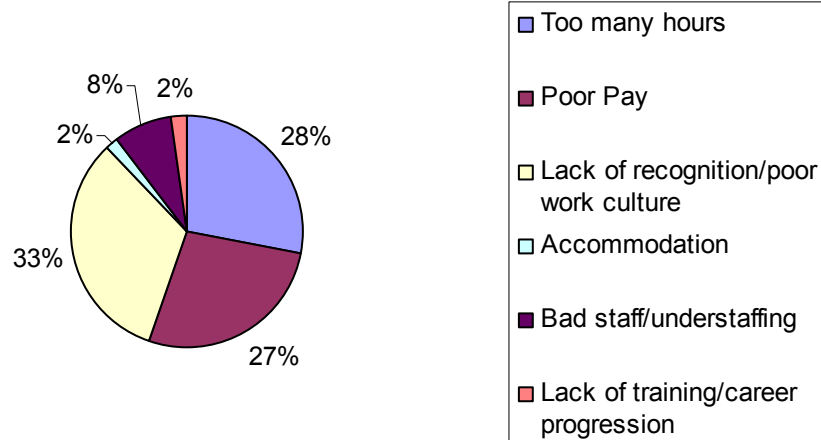
**Do you think you will be working in racing in 5 years time? (NO) Written Responses**



**What is the single most important factor to your job satisfaction? (Written responses)**



**What is the single key issue causing your job dissatisfaction? (Written responses)**



## Appendix 3

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### UK Demographics

The total population will rise by 10% (5m) to 65m over the next 25 years and the majority of that increase will be due to immigration, according to the latest figures released by the Office for National Statistics.

Immigration will account for about two thirds of the increase, with natural increase accounting for the rest.

The table below details the forecasted population by age range over the period:

	2000	2001	2006	2011	2016	2021	2025
<b>0-14</b>	11,322	11,240	10,707	10,312	10,252	10,410	10,512
<b>15-29</b>	11,400	11,341	11,696	12,106	11,996	11,467	11,117
<b>30-44</b>	13,751	13,912	13,701	12,741	12,161	12,511	12,910
<b>45-59</b>	11,083	11,263	12,009	12,763	13,668	13,461	12,672
<b>75+</b>	4,300	4,452	4,590	4,749	5,034	5,602	6,392
<b>All ages</b>	59,756	59,987	60,946	61,965	63,038	64,105	64,836

As can be seen, the numbers in the 15-29 year old category are fairly flat and indeed start to decline post 2011 and those now aged 0-14 are already in decline. This combined with Government Policy to encourage 16 year olds into further education, indicates increasing competition amongst employers of young people. According to Government figures, from 1991 to 2000 the proportion of school leavers continuing their education increased to 71%.

A rise in life expectancy and the drop in fertility rates continue as long term trends. While in 2002 there were nearly 1.3 million more children aged under 16 than those of state pensionable age, in six years time the number of people of pensionable age is projected to have overtaken the number of children. By 2025 it is expected to exceed it by nearly 2 million.

## Appendix 4

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### Industry Training Programmes

#### Training for Stable Staff

The Stable Staff Training Programme is based around the Modern Apprenticeship system and is delivered by the BRS and NRC. Under Instruction A5 of the Orders and Rules of Racing it is mandatory for all stable employees under 19 years of age to join the Programme as trainees and attend a Foundation Course at either the BRS or the NRC.

Young people enter the Programme in one of the following ways:-

- a) by applying directly to a racehorse trainer
- b) by applying directly to the BRS or NRC

The Training Programme consists of four phases:

- Phase 1 – Foundation Course “Off-the-job” Training

These residential courses are normally of a 9-12 week duration and include instruction in accordance with the NVQ Level 1 or 2 syllabus and Key Skills Level 1 (in Communication, Numbers and IT).

- Phase 2 – “On-the-job” Training

After successfully completing Phase 1, a trainee is placed in a yard to continue training towards NVQ Level 2. Each trainee continues to be assessed by a “yard-based” or “roving” assessor from one of the two Schools. This phase of the training requires the racehorse trainer to appoint a mentor to help and support the trainee.

- Phase 3 – Completion of NVQ Level 2

Once all assessments and the Key Skills are completed, the required standard has been reached. The trainee is issued with an NVQ Level 2 certificate by BHEST and a Foundation Modern Apprenticeship certificate is applied for from LANTRA

- Phase 4 – Advanced Modern Apprenticeship (AMA)

Once NVQ Level 2 is completed, advice is given about the prospect of registering to join the AMA Scheme, culminating in an NVQ Level 3.

The NVQs currently available to racing and breeding are:

- Level 1 in Horse Care aimed at trainees who can undertake basic tasks under supervision.
- Level 2 in Racehorse Care aimed at a good junior member of staff competent in a range of stable management tasks and able to ride a variety of racehorses during routine exercise at the canter.

- Level 3 in Racehorse Care and Management aimed at a competent member of staff who can work unsupervised and take a degree of responsibility. A wider range of horsemanship, riding skills and supervisory skills are required.

Options:

Each of the above levels contains a breeding option for stud staff.

**Non-riding – this option is in place for yardmen at Level 2 and at Level 3 is sometimes taken by applicants for training licences.**

### **College Conversion Course**

This short course is delivered by the BRS and NRC to provide students pursuing equine courses with an introduction to racing and to the additional riding and horse care skills needed to take up employment in the industry.

### **Training for Stud Staff**

The British Stud Staff Training Scheme offers two qualifications; the Diploma Course for those who have had some experience of working with horses and the Foundation Modern Apprenticeship, both delivered by the National Stud. Learners have the opportunity to embark upon an AMA thereafter, although currently there are no learners registered.

#### *a) The National Stud Diploma Course*

This runs from February to July each year for people between 18 and 25. This includes practical yard work, a lecture programme and a series of visits to industry-specific places of interest. An NVQ Level 2 or 3 (Breeding Option) is an integral part of the course.

#### *b) Modern Apprenticeships*

The Foundation Modern Apprenticeship starts with an eight week Foundation Course at the National Stud, which is held once a year on successful completion of the course. Learners are placed on a stud to continue working towards NVQ Level 2.

### **Training for Senior Stud Staff**

The Thoroughbred Breeders' Association runs courses in Stud Farming and Sales Preparation.

### **Training for Potential Racehorse Trainers**

This consists of three modules: Racehorse Management, Business Skills for Racehorse Trainers and Staff Management.

#### **Module 1. Racehorse Management**

HORSE HEALTH, including:

- Lameness, modern treatments and therapy
- Diagnostic testing
- Respiratory problems

Viral conditions  
Ailments: cause, prevention and treatment

PURCHASE AND SELECTION OF BLOODSTOCK, including:  
Conformation

FEEDING AND NUTRITION  
Nutritional requirements of racehorses  
Anatomy and physiology of the digestive system  
Rationing

TRAINING AND FITNESS  
Horse behaviour  
Early training and education of the racehorse  
Fitness programmes  
Interval training

LICENSING AND RACECOURSE PROCEDURES, including:  
Rules of Racing  
Racing administration  
Licensing requirements  
Jockey Club disciplinary procedures  
Role of National Trainers Federation  
Handicapping  
Role of the Jockey Club Senior Veterinary Adviser

## **Module 2. Business Skills for Racehorse Trainers**

TYPES OF BUSINESS including:  
Different forms of business  
Advantages and disadvantages of being a sole trader  
Business partnerships  
Private limited companies

LAW RELATING TO BUSINESS including:  
Specialist legal advisers in racing  
Basic knowledge of British legal system  
Contracts  
Liability  
Property ownership  
Legal implications of different forms of training

INSURANCE including:  
Employers' liability insurance  
Public liability insurance  
Role of specialist insurance broker

BUSINESS ADMINISTRATION including:  
Financial records  
Role of accountants

Accounting systems  
Effect of VAT on business  
Taxation

FINANCE including:

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

BUSINESS PLANNING including:

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

MARKETING

Benefits of marketing  
Marketing plans  
Principles of acquiring and retaining owners

MEDIA SKILLS

Dealing with the media

**Module 3: Staff Management**

LEADERSHIP, including:

Leadership, the essential components  
Personal time management  
Management by objectives

EMPLOYING PEOPLE, including:

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

## NTF Employment Guide

## SELECTION AND RECRUITMENT OF STAFF, including:

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

## HEALTH AND SAFETY, including:

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

## STAFF TRAINING, including:

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

***Other Management Courses***

A course has been running since 1999 to give basic management skills to those at head lad /stud groom level and above. Run at the BRS, the syllabus covers Communication, Motivation and Team Building, Performance Management and Handling Conflict, Basics of Employment Legislation and Leadership Styles. The course, called Managing Staff, is run at two levels, Supervisory and Senior, over four-half days and two days respectively. The course is accredited by the Institute of Leadership and Management.

## Appendix 5

### Memorandum of Agreement

#### NATIONAL JOINT COUNCIL FOR STABLE STAFF

#### MEMORANDUM OF AGREEMENT BETWEEN THE NATIONAL TRAINERS FEDERATION & THE STABLE LADS ASSOCIATION

#### PREAMBLE

1. The Agreement provides for a Racing Industry Minimum Rates of Pay Structure and certain standard conditions of employment for stable staff employed by trainers in the racing industry. It covers a period of twelve months from 1<sup>st</sup> February 2004 to 31<sup>st</sup> January 2005.

#### RACING INDUSTRY MINIMUM RATES

2. The Grade A Racing Industry Minimum Rate for 40 hours for stable staff will be **£223.14** subject to the following conditions:-
  - a) staff have completed seven years continuous service in racing; or
  - b) staff have completed five years continuous service in racing and achieved NVQ Level 3.
3. The Grade B Racing Industry Minimum Rate for 40 hours for stable staff will be **£196.18** subject to the following conditions:-
  - a) payable at 19 years of age or over, with twelve months in the industry; or
  - b) achieved NVQ Level 2.
4. The Grade C Racing Industry Minimum Rate for 40 hours for stable staff aged 18 will be **£152.00\*** as set under the "Government National Minimum Wage" hereafter known as GNMW.  
  
Persons aged 22 and over, who do not qualify for Grade B, will be paid the GNMW rate for 40 hours of **£180.00\***.  
  
*GNMW regulations state that staff, who have attained the age of 18 but not the age of 22, must be paid not less than £3.80\* per hour and staff aged 22 and over must be paid not less than £4.50\* per hour.*
5. The Grade D Racing Industry Minimum Rate for 40 hours for stable staff aged 16 and 17 shall be **£122.49**.

#### HOURS OF WORK

6. The normal working week shall be 40 working hours (excluding meal breaks) starting on Monday morning and ending 12.45pm on Saturday, i.e., working 40 hours over a five and one half days period. (There is no set pattern on how a yard should work these hours, and provided that the 40 hours is spread over a five and one half day period the operation of these hours shall be accepted in contract form).
7. Having regard to the nature and requirements of the industry, stable staff shall work during weekends, subject to their right to one weekend in two free from duties on a rota basis and in the case of young workers (defined as those that have attained the age of 15 but not the age of 18) subject to the provisions of the Working Time Regulation 1998 as amended by the Working Time (Amendment) Regulations 2002. Variations of this arrangement can be made providing it is agreed domestically.
8. The Working Time Regulations 1998 sets out that an adult worker's maximum weekly working time should not exceed an average of 48 hours for each seven days applied over a 17 week reference period. The NTF and the SLA reached a

collective agreement that the 17 week reference period be replaced with a 52 week reference period, i.e. that the employee's total annual hours (including overtime and time worked away from the yard) should not exceed an average of 48 hours per week.

Individual employees whose working time is likely to exceed an average of 48 hours over 52 weeks can be excluded from the weekly limit provided they sign an opt out agreement.

**OVERTIME (IN THE YARD)**

- 9. Overtime for time worked in the yard will be paid at the rate of time and one half for each hour worked outside of the normal finishing times Monday to Friday inclusive, and for each hour worked after normal finishing time on Saturday. Overtime shall be paid at the rate of double time on Sunday (outside of the 3 hours allowed for within the Consolidated Wage).

**CONSOLIDATED WAGE**

- 10. Overtime worked on rota weekends **on** will be averaged so that stable staff receive the same wage each week whether working or not. This shall be called the Consolidated Wage.

- 11a. Where it is the custom and practice to work 5 hours overtime (this may vary but is calculated as 2 hours Saturday evening and 3 hours Sunday) on one weekend in two, stable staff will be paid a consolidated wage as follows:

Grade A	Grade B	Grade C GNMW 22 yrs +	Grade C GNMW 18-21 yrs	Grade D
£248.23	£218.25	£200.25	£169.10	see below

- 11b. The consolidated rate (5 hours as above) for Grade D staff is £136.26. Trainers should however be aware that there is legislation in force from 6<sup>th</sup> April 2003 limiting the maximum working week for 16 and 17 year old workers to 40 hours although there are exceptions whereby this limit can be exceeded. Further guidance on the legislation and the exceptions are available from the NTF office.

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\*Note: There are proposals for an increase in the Government National Minimum Wage on 1<sup>st</sup> October 2004, which would increase the figures from 1<sup>st</sup> October 2004 to:  
 £169.10 to £182.45  
 £200.25 to £215.83

Confirmation of increases in the GNMW will be published in the NTF newsletter at the relevant time.

- 12. Stable Staff who have been absent part of the week through sickness will not be required to work 40 hours before receiving overtime.

**PAYMENT FOR TIME WORKED AWAY FROM THE YARD**

- 13. The Government National Minimum Wage legislation states “time when a worker is travelling on the business of his employer in connection with duties carried out by the worker in the course of work time shall be treated as being work time whether or not the travelling takes place during his working hours”.

- 14. Therefore stable staff are to be paid for time worked away from the yard. Time worked away from the yard in excess of the normal daily working hours should be paid at the GNMW rate (see paragraph 4 *italics* page 1). These payments are liable for tax and National Insurance deductions and should be put through the payroll.

- 15. Stable staff will receive an **£12.00** overnight allowance.

16. Stable staff returning from racing after midnight shall not be required to start work until 9.30 am; if staff are asked to start before 9.30am it is agreed that they will be paid at the rate of time and one half for each hour worked before that time.
17. Stable staff, who are off-rota, travelling on Sunday to race on a weekday shall be entitled to receive a day in lieu.

#### PENSIONS

18. The employer is required to contribute towards a pension scheme in respect of each full time paid employee who is 18 years of age or over and is under 65 on the annual renewal date of the scheme. The total employers' contribution for the period of this Memorandum of Agreement will be £400.00. This sum will be paid in quarterly payments of £100.00 payable for employees in employment on four dates throughout the year; namely; 1 March, 1 June, 1 September and 1 December. Arrangements are available for any employee to set up a personal Stakeholder pension and this can be used for the purpose of contracting-out of the State Earnings Related Pension Scheme (SERPS). For any employee qualifying for an employer's contribution for the first time after 1 June 2001, a 9 month waiting period will apply.

#### SUNDAY RACING PAYMENT

19. The deployment of stable staff to cover designated Sunday racing fixtures and work in the yard will be determined by the trainer in consultation with the stable staff. However, where off-rota staff are asked to go racing or to cover work in the yard, it will be on a voluntary basis.
20. The payment for time worked away from the yard over and above the consolidated rate shall be paid at the GNMW rate see paragraph 4 *Italics* page 1.
21. It is recognised that racing on a Sunday involves some disruption of free time. To compensate for this, all stable staff who go racing on a Sunday fixture in the Great Britain will receive a Sunday Racing Payment (SRP) of **£28.00**.
22. Stable staff required to come in on their off-rota day to cover work in the yard will be paid double time over and above the consolidated wage.
23. Stable staff who travel on a week day or Saturday in order to race on a Sunday in the Great Britain will receive the appropriate payment for time spent away from the yard (as detailed in paragraphs 13-17) plus a Sunday Racing Payment (as detailed in paragraph 21).
24. It is accepted that stable staff should not be expected to work extended periods without time off. Therefore, when stable staff volunteer to go racing on an off-rota Sunday or are racing abroad on an off-rota Sunday, an alternative day off with pay at the relevant rate will be provided. The arrangement of this day off will be at the discretion of the trainer in consultation with the stable staff so that the day is taken within a rolling reference period of twelve months.

#### RACING ABROAD

25. Stable staff who race abroad will receive the appropriate hourly payment for time worked away from the yard in excess of their normal daily working hours and shall be paid at the GNMW rate (see paragraph 4 *Italics* page 1.) These payments are liable for tax and National Insurance deductions and should be put through the payroll.
26. In addition, stable staff will also receive a Racing Abroad Payment of **£25.00** per day up to a maximum stay of seven days. After seven days, this is to be a domestic matter.
27. The Inland Revenue does not set a tax-free amount for payment to staff who go abroad with their horses because expenses can vary significantly according to the country visited. However, it is agreed that, provided staff are asked to make some sort of basic written claim stating the amounts they have spent, those amounts can be paid tax free by the employer if the employer considers them to be reasonable. Receipts should support the larger amounts.

**HOLIDAYS**

28. Due to the impact of The Working Time Regulations 1998 the following conditions will apply:
29. The holiday year will be either 1 January to 31 December or 1 July to 30 June. The trainer will determine which is the most appropriate for the yard. Each year will stand on its own.
30. Subject to paragraph 31 below, stable staff are entitled to 22 days holiday per year irrespective of time worked.
31. This entitlement is set at 1.83 days per completed month pro-rata from the date of starting to the end of the holiday year.
32. In respect of statutory and public holidays stable staff required to work on these days will be granted an alternative day which will be mutually agreed. If the holiday is not taken then a day's pay should be paid at the consolidated rate if requested, under the Working Time Regulations 1998.
33. Holidays will be taken at times to be mutually agreed and will have regard to what is practical in the local circumstances.
34. Employees who have been given notice, or who have given notice, can be required to take their holiday entitlement during the period of notice. In the case where stable staff have holiday entitlement which exceeds the period of notice, they will be paid for the balance of their entitlement.
35. On termination of employment, stable staff should be paid for any statutory or public holidays not taken. Any part of the annual holiday entitlement that has already been taken at the point of termination of service shall be deducted when calculating the holiday pay entitlement as referred to in paragraph 31.
36. Annual holiday pay will be calculated on the consolidated wage.
37. Under legislation part-timers cannot be discriminated against, therefore part-timers holiday entitlement will be the same as full time workers and paid at their usual rate (part-timers are described as persons who work less than 40 hours per week).

**BEREAVEMENT LEAVE**

38. The purpose of bereavement leave is to ensure that stable staff who suffer bereavement in their family are able to attend the funeral and deal with family and legal matters without the additional hardship of losing money. Stable staff shall be granted up to a maximum of three working days absence payable at the relevant consolidated wage in the event of the death of a spouse, son, daughter, brother, sister or parent or other relations for whom they have a responsibility at the discretion of the employer.

**ABSENCE DURING SICKNESS OR ACCIDENT**

39. Stable staff who are off work as a result of sickness or accident (except where an accident outside of work has been caused in the employer's reasonable opinion by the employee being involved in fighting, drunken behaviour or abuse of drugs) and who have been with the current employer for six months or more will receive from their employer their usual weekly wage (to include statutory sick pay if eligible) for a period of one month in any one year. Stable staff with less than six months service will receive SSP only, if eligible.

The six month qualification period shall not apply to an employee sustaining an accident at work.

**RACING INDUSTRY ACCIDENT BENEFIT SCHEME (RIABS)**

40. Stable staff who are off work as a result of accidental injury arising out of and in the course of their employment including bone fide journeys between normal place of residence and place of work excluding accidents whilst riding motorcycles shall receive from their employer their usual weekly wage pro rata for a period of one month's injury absence in any one year including the first three days of absence. A claim for benefit should be made to the Racing Industry Accident Benefit Scheme (RIABS) within three months of the accident.

41. Paid full or part-time stable staff of licensed and permitted trainers who are aged between 16 and 65 years and registered with the Jockey Club will have deducted £1.50 from their net wage per week of employment as a contribution to RIABS. For trainees at the BRS or NRC who were pre-employed by a trainer, the trainer will pay both the trainer's and employee's RIABS premium whilst the employee is attending the BRS or NRC.
42. Injury Benefit is payable for a period of up to 104 weeks from the established date of the accident, if the accident has been declared by the claimant's employer. The amount of benefit (subject to an overall maximum of £144 per week) is the difference between the claimant's pre-accident net wage and all statutory benefits receivable by the claimant as a result of the accident.
43. The sum insured for death/capital benefits is £20,000. The cover is extended to include dental expenses to a limit of £500.00 arising out of accidental injury to sound, natural teeth as a direct consequence of duties involving horses.

### **HORSE/LAD RATIO**

44. Because of the changing circumstances in the way racing stables are run, it has not been possible to agree on a mandatory horse/lad ratio. This Agreement recommends a ratio of one lad to three horses.
45. The NTF and SLA, acting together, in the National Joint Council (NJC), will investigate any evidence of abuse and, where necessary, submit it to the Jockey Club Disciplinary Panel under the relevant Rules of Racing.

### **CLOTHING**

46. Trainers are recommended to assist stable staff in the purchase of working clothes such as jodhpurs and jodhpur boots if requested to do so and to arrange repayment in weekly instalments.

### **PROCEDURE IN THE CASE OF DISPUTES**

47. The procedures to be adopted for the resolution of disputes at yard level and disciplinary and appeal procedures are set out in the Memorandum of Agreement between the NTF and the SLA on the Resolution of Disputes and the Agreement between the NTF and the SLA on Discipline and Appeal Procedures.

### **GENERAL**

48. Where stable staff are already in receipt of a wage or pension in excess of the relevant minimum rates established by this Agreement, it is a matter for the trainer's discretion whether to maintain existing differentials. This Agreement recommends that the trainer does use his/her discretion to maintain them. Where better conditions exist and stable staff are in receipt of higher wages and/or conditions, then these particular stable staff will not have their wages and/or conditions reduced to the minimum rates which are shown above.

### **OPERATION**

49. This Agreement is to operate as from 1<sup>st</sup> February 2004 and will last until 31<sup>st</sup> January 2005.
50. Disputes on the interpretation of this Agreement will be determined in the NJC.

## Appendix 6

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Proposal for a Housing Trust for the Racing Industry: Submitted by Mary Young

### Introduction – Concept

No body is recognised as having responsibility for co-coordinating efforts to address the Racing Industry's housing issue. Recent research indicates that this is a major obstacle to progress in dealing with accommodation problems. The formation of a Housing Trust, which should involve or represent all interested parties, could provide a focus for all discussion and action regarding staff accommodation. Specifically, the Trust could

- Support employers in their attempts to provide tied accommodation
- Encourage the supply of rented accommodation by offering a point of contact for concerned landlords/tenants
- Maintain a register of available accommodation
- Provide a forum for debate on the housing issue
- Liaise with planners and land-owners
- Provide financial advice to Racing's staff
- Encourage supply of rented accommodation by underwriting payment of rent
- By its activities protect the Racing Centres from degradation
- Support and encourage the move into owner-occupation by staff

### Scope – National/Regional

There are arguments in favour of using regional organisations to increase the provision of affordable housing. Each Racing Centre faces its own problems, which may be caused and manifest in ways not encountered elsewhere. Furthermore, some trainers and other individuals are already acting to provide affordable housing for employees, often with success. The Lambourn Valley Housing Trust is one example of a Centre's demonstration that it can and will make a difference.

Nevertheless it is recommended that the Housing Trust should have a nation-wide scope. This is for a number of reasons:

1. A nation-wide organisation should be able to work alongside the particular measures effective in a certain area, complementing the work already underway rather than replacing or discouraging it. The envisaged Housing Trust would work in the 'gaps' remaining: attention must be paid, therefore, to engendering effective liaison with those people active in each region.
2. Interviews in each of the major Racing Centres reveal that many of the accommodation problems are indeed in evidence throughout the UK. Dissemination of information regarding innovative approaches, best practice and national legislation will reduce duplication of effort and will work efficiently to raise the standard of industry housing.
3. A nation-wide organisation will be able to consider the problems of those industry employees working outside the main Racing Centres. Under a regional structure, such employees may be beyond the remit of any organisation.

4. A nation-wide organisation working well with regional representatives will have maximum influence: this structure will maximise not only the Trust's ability to negotiate with money-lenders but also its access to human resources and its effective marketing.

### **Aims: Two-Tier**

Although the measures proposed could be implemented in almost any combination, there are two distinct levels at which the Trust could operate, depending largely on the availability of funding and the appetite for pro-active involvement in the housing market.

#### **1 – As Facilitator**

Without significant funding, the Trust could be a receiver and transmitter of information about accommodation issues. Specifically, it could:

- Maintain a register of available accommodation (see below)
- Support employers in their attempts to provide tied accommodation (see below)
- Encourage the supply of rented accommodation by offering a point of contact for concerned landlords/tenants (see below)
- Provide a forum for debate on the housing issue
- Liaise with planners and land-owners
- Provide financial advice to Racing's staff (see below)

#### *Accommodation Register*

It would be efficient for a central register of available rental units to be maintained by the Trust, so that individual workers and trainers need not spend time competing for the same units. This competition is in evidence currently and could be expected to be holding rents above their necessary level.

For this scheme to work successfully, it would need to benefit from the co-operation of trainers and landlords alike. An initial burst of publicity should alert existing and potential suppliers of rental units that the register is being established, and that it will save them time and money if they make use of it. At the same time, trainers should be informed of the service to be offered to them and the advantages it will bring. Over time, a more efficient allocation of housing resources should be achieved by this centralisation of the market in rental accommodation.

#### *Open Market Rental Property*

The Trust can encourage the release of rental units onto the market by addressing the problem that landlords are reluctant to let to stable staff. There is a purely administrative role to be carried out, in terms of providing an official point of contact to landlords and staff alike. Issues such as maintenance, cleanliness and over-occupation, revealed as problems by the survey already conducted in Middleham, would be addressed by the Trust. Such mediation can improve the landlord/tenant relationship and give confidence to prospective suppliers of rental units.

Guaranteeing rent payments requires significant underwriting and the Trust would, in initial stages, be able merely to increase pressure on the tenant and his employer to fulfil financial obligations.

*Tied Accommodation*

It is crucial that the creation of the Trust does not have the effect of removing existing tied accommodation from the industry. There are many units within and adjoining yards which are ideal for staff accommodation: these should not be lost to the industry. The proposed accreditation scheme recognising the efforts of trainers to address their workers' accommodation problems will help to achieve this.

The Trust should offer support to employers who are unsure of the technical risks of offering accommodation to staff. A simple guide could be compiled and issued upon request.

Typically, tied accommodation in the industry is in multiple occupation and therefore unsuitable for families. The Trust should recognise this and seek to liaise with employers over the need for exclusive accommodation.

*Financial Advice*

The Trust should identify and liaise with a trusted financial advisor who would provide sound guidance to staff seeking to investigate the move into owner-occupation, particularly those who are encountering shared ownership schemes for the first time. There need be little or no financial outlay for the Trust in arranging this service – the 'value added' can be in creating expertise in the particular problems facing the industry's employees; in encouraging staff to take the advice of the selected advisors; and in monitoring and analysing the results of that advice.

**2 – As Landlord**

Were significant funding available, the Trust could become involved in ownership of industry housing. The transition to becoming a provider of accommodation brings with it a material change of scale, responsibility and risk. Furthermore, the construction or purchase of rental accommodation is an expensive means of assisting a small number of beneficiaries. There are two specific areas, however, in which the Trust may be able, by taking control of the supply of accommodation, to deal with the industry's housing problems in a way that the open market will never manage to do:

***Types Of Housing****Hostel Accommodation*

There is a shortage of suitable accommodation for young workers just graduated from the Racing Schools, which means that this vulnerable group may not encounter the environment and support it needs in order to establish a good footing in the workplace.

There is widespread support for the creation of managed hostel accommodation, aimed at Racing School graduates in their first one or two years in the workplace. It would be the intention to give these youngsters clean, safe housing among their peers, with cooked meals provided to encourage good habits and health. It is felt that support at this time would improve satisfaction and self-esteem, and thus encourage young workers to remain in the industry. Hostels would be appropriate only in the main Racing Centres.

The creation of a hostel would be made significantly easier by the supply of land at sub-market price - this would involve the benevolent involvement of a land-holding individual or institution.

The building itself would then have to be financed by donations and by the involvement of trainers who would 'purchase' a room in return for nomination rights (the right to place a tenant in the room). In times of rising rents, this will be a good investment for the trainer. The involvement of a commercial investor is unlikely because of the restricted market for the units and the whole building.

### *Shared Ownership (especially of family housing)*

It is suggested that the difficulty of finding family accommodation is causing experienced staff to leave the industry at the point in their lives when they begin to have children.

Shared ownership schemes can offer employees the opportunity to enter the owner-occupier market. A body such as the Trust could co-own dwellings with staff who wish to purchase but who cannot afford the mortgage on a whole property. It could be a condition of the agreement that the individual's share of the property must be sold at market price back to the relevant body on departure, in order to ensure that the housing continues to be occupied by racing staff. This may not always be necessary, if there are other units suitable to have the same scheme operated over them. In this case, where the Trust provided a certain percentage of the purchase price it would simply receive the same percentage of the sale price of the house.

Funds invested in shared ownership can be expected to give a commercial return, and therefore the involvement of commercial lenders could be achieved.

### **Targeting And Extinguishing Benefit**

The decision of whether to allocate resources according to merit or according to need is a political one: either policy or a combination of the two can contribute to the central objective of staff retention.

Any subsidy that is incorrectly targeted, however, will fail to achieve its objectives. Providing accommodation to those who are already suitably housed will not begin to address Racing's staff retention problem. Means-testing is an attractive method of ensuring that only those in need receive subsidy, but an undesirable incentive operates if every increase in wages is met by a corresponding increase in living costs as subsidy is withdrawn.

Targeting young employees is easy to do because it makes use of information already held by employers. Extinguishing such benefit appropriately is also relatively simple in most cases, since after a few years the individual's income could be expected to have risen to the point at which he could afford market rates for single accommodation.

Recycling family housing is more difficult and must be dealt with sensitively. Allowing one family to live in industry housing for 60 years does little to alleviate the industry's problems: conversely, to remove that family from the housing after a specified period may simply revive the affordability problem and return the family (and the industry) to its initial position. The use of a shared ownership scheme links the family's wealth to the housing market, offering a route into conventional home ownership. This scheme could be coupled with a subsidy that reduces costs only while the mother is unable to work; after this period, therefore, the dwelling offers a commercial return and subsidy can be directed elsewhere.

Where industry housing is administered on land that has been made available specifically to provide accommodation for Racing's staff, it may be necessary to ensure that units are occupied by current employees of the industry. The terms of tenancies, however, may not allow eviction. The objective can be achieved nonetheless by setting rents above market level, and discounting them to Racing staff. There would be little incentive for the families to remain once the discount is withdrawn, yet the timing of the move would be within their control.

### Structure Of The Trust

- *THE FOLLOWING IS A GUIDE. PROFESSIONAL LEGAL ADVICE MUST BE OBTAINED BEFORE PROCEEDING*
- *Charitable Status* It is likely to be beneficial for the Trust to be a registered Charity. Although this will mean scrutiny by the Charity Commission, alternative formations would entail equivalent attention from other institutions and there is no suspicion that the Trust will be carrying out activities that would not bear scrutiny. Charitable status will attract donations and will ensure the avoidance of tenants acquiring any 'right to buy' should the Trust enter the housing market.
- *RSL involvement* The Trust should not register as a Registered Social Landlord (RSL). RSLs are the main providers of social housing in the UK. Although registration may attract public grant as well as private loan finance (lenders taking security from the process of registration), it is unlikely that the Trust will operate on a large enough scale to be a commercial venture as a RSL. 'Small' RSLs are categorised as those with fewer than 100 units, and they have low profitability and high turnover:assets ratios as compared to the large organisations. Should the advantages of RSL status be sought, it would be preferable for the Trust to form an alliance with an existing RSL in the area.
- *Private Sector Developer Involvement* It may be preferable to remain in the private sector. The Government has made it possible for private developers to apply for subsidy if they provide affordable housing, and therefore the Trust could be well-advised to go into partnership with a developer, attracting funds but avoiding the tenure restrictions applicable in the public sector.

### Funding Possibilities for Ownership of Property

#### *Open Day*

An obvious fund-raiser is an annual Newmarket Open Day, which would not only be high-profile but would also show the trainers to be addressing the accommodation problem. There should be a need for only some yards to open in any one year: this will avoid fatigue among the public as well as in trainers. Trainers involving themselves in fund-raising should be preferentially treated when they need the Trust's help in finding accommodation. It has been suggested that an Open Day could be expected to raise up to £40,000, which could assist considerably in the funding of the everyday operations of the Trust.

#### *Donations*

Benevolent funding is well-established in the industry and the formation of a Housing Trust could create an attractive focus for donated funds. Racing Welfare and The Lambourn Valley Housing Trust have long and successful experience in raising funds earmarked for

accommodation issues. Were the Trust established as a charity, gifts would receive favourable tax treatment.

#### *Benevolent Involvement Of Racing's Institutions*

Certain of the industry's governing bodies may be in a position to invest funds in the Trust despite the sub-optimal return expected from such an investment. In particular, the catalytic potential of the release of land at below market value cannot be overstated. Availability of suitable land at an affordable price is reported to be the most significant barrier to the provision of affordable housing.

#### *Bank Loans*

Borrowing against its assets, the Trust should be able to attract low rates for loan finance, because of its size and because of the security offered by its backers.

#### Housing Corporation Funds

Were it to go into partnership with a private developer, the Trust would be able to attract public funds for the provision of its affordable housing.

### **First Steps**

1. Appoint Chief Executive
2. Chief Executive arranges meeting with prospective Trustees, to discuss the concept of the Trust and to pool any ideas developed so far. At this meeting the following issues should be addressed:
  - a. The central aims of the Trust
  - b. The responsibilities of the Trustees
  - c. The willingness of the delegates to become Trustees
  - d. The possible availability of funding
  - e. The means of co-ordination with existing structures
  - f. Short-term and long-term activities envisaged

The Board of Trustees should include representatives of:

- a. THE BHB
  - b. THE JOCKEY CLUB/ JC ESTATES
  - c. RACING WELFARE
  - d. THE BRITISH RACING SCHOOL
  - e. TRAINERS / BREEDERS
3. Appoint administrator
  4. Administrator informs the following of the creation, aims and function of the Trust
    - g. TRAINERS ASSOCIATIONS
    - h. RACING WELFARE REPS
    - i. OTHER INTERESTED PARTIES AND MEDIA
    - j. LOCAL COUNCILS

## Appendix 7

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### Stable Inspection Report

#### STABLE INSPECTION REPORT

SD FORM 11 Revised 9/02
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**TYPE OF APPLICATION:**  
**REPORTING OFFICER:**  
**INSPECTION DATE:**

1. **APPLICANT DETAILS**

- (a) Full Name:
- (b) DOB:
- (c) Identification: PASSPORT / BIRTH CERTIFICATE / OTHER (State)
- (d) Current Home Address:  
Postcode:
- (e) Telephone, Fax and other contact Numbers:
- (f) Previous address (if different from above in last 5 years):

Postcode:

2. **PREMISES**

- (a) Address:  
Postcode:
- (b) Telephone and Fax Numbers:
- (c) Details of ownership of premises (state whether freehold/lease or other occupancy agreement and details of any joint-ownership arrangements):
- (d) Location of premises:

3. **STABLING**

- (a) Total number of boxes available:
- (b) Total number suitable for horses in training:
- (c) Description, condition and cleanliness of boxes:
- (d) Ventilation:
- (e) Drainage:
- (f) Water supply:
- (g) Bedding used:
- (h) Isolation stalls:

4. **DETAILS OF OTHER BUILDINGS**

- (a) Tack Room (condition of tack, skull caps)
- (b) Feed Room (feed on premises):
- (c) Security of medication:
- (d) Records of treatment (Instruction C8):

5. **YARD VETERINARY DETAILS**

Name of Yard Vet, address and telephone number:

6. **SECURITY**

- (a) Access to yard and buildings:
- (b) Fencing, lighting, alarms, CCTV (if installed):
- (c) Details of proposed manning of premises during night:

7. **TRAINING FACILITIES**

- (a) Gallops and work areas:

- (b) Starting stalls:  
Serial Number:
- (c) Schooling facilities:
- (d) Nursery Facilities:
- (e) Motorhorse box/trailer (including registration number)
- (f) Equine pool:
- (g) Other facilities (indoor schools, loose schools, horse walkers, etc):

8. **USE OF FACILITIES**

- (a) Are the yard and training facilities in the sole use of the applicant?
- (b) List additions/deletions to last return of horses in training:
- (c) List any other horses/ponies stabled or at grass at the facility, denoting ownership:

9. **HEALTH AND SAFETY**

Name of appointed H & S representative (if not trainer) .....

Has trainer appointed one or more H & S assistant(s) who are trained or knowledgeable about H & S issues? .....

Name of current appointed H & S assistant(s)

(i) ..... (ii) .....

Does trainer have Employer's Liability Insurance?

Is a copy of the current Insurance Certificate on display?

Name of Insurance Company .....

Policy Number .....

Date of Expiry .....

Does trainer have Public Liability Insurance? .....

If trainer has 5 or more employees, is there a written H & S Policy which is signed and dated?  
.....

Where is Health and Safety Policy displayed? .....

Where is Health and Safety Poster 'What you should know' displayed? .....

Has trainer identified the H & S hazards and assessed the risks to H & S e.g. care of horses, racehorse exercise and handling, manual handling, equipment and machinery, hazardous substances, etc. ....

Has trainer recorded the significant findings of the risk assessment? .....  
(If 5 or more employees, significant risk must be recorded and brought to the notice of employees)

Have employees been given a full and detailed H & S induction? .....

Is suitable Personal Protective Equipment e.g. skull caps (as defined in the risk assessment) provided free of charge? .....

Are there adequately stocked First Aid Kits? .....

Is there at least one qualified First Aider (cover for all times when anyone is working)?  
.....

Name(s) of qualified First Aider(s)

(i) ..... (ii) .....

Is there an Accident Book available in the yard? .....

Is trainer aware of the need to make reports to the HSE under RIDDOR?.....

Is trainer aware of the need to also make reports to the relevant Racing School in respect of Trainees? .....

Does trainer have emergency arrangements in the event that a person needs hospitalisation, including arrangements for accidents that occur whilst on the training gallops?  
.....

Has trainer carried out a Fire Risk Assessment? .....

Is a Fire Notice with Instructions in case of fire displayed?.....

Are 'NO SMOKING' signs displayed in appropriate places? .....

Does trainer conduct and record fire drills? .....

Date of last Fire Equipment Inspection .....

Date of last visit by Fire Brigade Adviser .....

Is trainer aware of the location of local HSE representatives? .....

Date of last visit by HSE representative .....

10. **STAFF**

- (a) Does the applicant live on the premises?
- (b) If NO, who is responsible for security and safety when applicant is not present?
- (c) Will a licensed/registered person always be on the premises?
- (d) List any additions/deletions to most recent Stable Employees Return:
- (e) Wages and conditions (check against conditions of National Agreement):
- (f) Wages book and PAYE worksheets:  
 Who maintains the wages records?  
 Are staff issued with written statements of Employment Particulars?  
 Place where Stable Percentage Return is displayed?
- (g) Accommodation arrangements for employees:
- (h) Amenities/facilities for staff:

11. **INSPECTOR'S GENERAL OBSERVATIONS / COMMENTS / RECOMMENDATION**

12. **RE-INSPECTION RECOMMENDED**

Yes/No

Reasons

Recommended Date:

Signed:

Dated:

13. **VETERINARY REPORT**

14. **RE-INSPECTION RECOMMENDED**

YES/NO

Recommended date:

**Reasons:**

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## Appendix 8

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### Industry Responsibilities for Health and Safety

The responsibilities for health and safety can be defined as follows:

- BHB:** The Recruitment and Training Director is responsible for Health and Safety Policy, maintenance of the manual and the provision of Health and Safety training.
- Training Providers:** Delivery of instruction to learners  
Vetting of learners' workplaces  
Recording of accidents involving their learners  
Providing industry training courses.
- Jockey Club:** Implement the agreed Health and Safety Policy via licensing/inspection procedures  
Give guidance to trainers on issues when conducting inspections.
- NTF:** Provide advice to trainers on healthy and safety issues and disseminate information to members.
- Employers:** Ultimate responsibility for ensuring the health and safety of their staff, learners, and others such as contractors and members of the public on their premises through the practical implementation of a written Health and Safety Policy.

## Appendix 9

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### Jockey Club Requirements for Racecourse Facilities (Staff)

*Under Jockey Club General Instruction 7.4 all racecourses are required to provide the following:*

#### Canteen

1. A canteen is to be provided for the use of stable lads, stable girls and horsebox drivers with convenient access to the secure stable yard. A sign stating 'authorised personnel only' and notices showing who is eligible to use the facilities, the normal times of service and the location of the nearest telephone point are to be displayed.
2. The canteen should be open from 7.30 am on the day of racing (except evening meetings when it should be open no less than 4 hours before the first race) until a minimum of 45 minutes after the last race (including evening meetings).
3. The size of the canteen must be adequate for peak usage with cooking and washing facilities that meet current applicable legislation. There must be a sufficient number of staff to ensure prompt service.
4. Hot and cold meals (the availability dependent on the time of year) of adequate variety and quality must be provided and prices must be displayed. There should be a selection of non-alcoholic drinks.

#### Overnight Accommodation

1. A hostel should be provided, unless alternative suitable overnight accommodation is available locally and should, where possible, be adjacent to the stable complex. The accommodation must be warm and comfortable and all facilities should be cleaned before and after each raceday.
2. All entrances and passageways should be illuminated during the hours of darkness and all fire protection must meet current applicable legislation.
3. When provided on a racecourse, the hostel must have the following:
  - a. A person with direct responsibilities for the hostel and canteen
  - b. Segregated accommodation for male and female horse attendants
  - c. Dry storage area for bed linen, blankets and pillows
  - d. Freshly aired bed linen for each occupant
  - e. Lockers with keys or the ability to fix padlocks
  - f. Bedrooms and/or dormitories fitted with power points, mirrors, coat pegs, waste containers
  - g. Sufficient number of beds to meet normal requirements with additional alternative arrangements available if required
  - h. Toilet and washing facilities with showers and/or baths and razor points (hot and cold water to be available at all times).

## Appendix 10

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### Investors in People

Investors in People is a national Standard, which sets out a level of good practice for the training and development of people to achieve business goals. The Standard was developed during 1990 by the National Training Task Force in partnership with leading national businesses, personnel, professional and employee organisations such as the Confederation of British Industry (CBI), Trades Union Congress (TUC) and the Institute of Personnel and Development (IPD). The work was supported by the Employment Department. The experiences of the UK's most successful organisations, large and small, representing all sectors of the UK economy, were very positive and the Standard received the full endorsement of a wide range of interested parties.

The Standard provides a national framework for improving business performance and competitiveness, through a planned approach to setting and communicating business objectives and developing people to meet these objectives. The result is - what people can and are motivated to do matches what the organisation needs them to do. Investors in People is cyclical and should engender a culture of continuous improvement.

#### **The Investors in People Standard is based on four key principles:**

##### **Commitment**

Commitment to invest in people to achieve business goals

##### **Planning**

Planning how skills, individuals and teams are to be developed to achieve these goals

##### **Action**

Taking action to develop and use necessary skills in a well defined and continuing programme directly tied to business objectives.

##### **Evaluating**

Evaluating outcomes of training and development for individuals' progress towards goals, the value achieved and future needs.

#### **Achieving the Standard**

Being recognised as an "Investor in People" involves a number of steps:

- Understanding the Standard and its strategic implications for the organisation
- Undertaking a review against the Standard to identify any gaps in current practice
- Making the commitment to meet the Standard and communicating that commitment to all members of staff
- Planning and taking action to bring about change
- Bringing together the evidence for assessment against the Standard
- Achievement or recognition as an Investor in People

## The Investors in People Standard

Principles	Indicators	Evidence
<p><b>Commitment</b> An Investor in People is fully committed to developing its people in order to achieve its aims and objectives</p>	<p><b>1 The organisation is committed to supporting the development of its people</b></p>	<p>Top management can describe strategies that they have put in place to support the development of people in order to improve the organisation's performance Managers can describe specific actions that they have taken and are currently taking to support the development of people People can confirm that the specific strategies and actions described by top management and managers take place People believe the organisation is genuinely committed to supporting their development</p>
	<p><b>2 People are encouraged to improve their own and other people's performance</b></p>	<p>People can give examples of how they have been encouraged to improve their own performance People can give examples of how they have been encouraged to improve other people's performance</p>
	<p><b>3 People believe their contribution to the organisation is recognised</b></p>	<p>People can describe how their contribution to the organisation is recognised People believe that their contribution to the organisation is recognised People receive appropriate and constructive feedback on a timely and regular basis</p>
	<p><b>4 The organisation is committed to ensuring equality of opportunity in the development of its people</b></p>	<p>Top management can describe strategies that they have put in place to ensure equality of opportunity in the development of people Managers can describe specific actions that they have taken and are currently taking to ensure equality of opportunity in the development of people People confirm that the specific strategies and actions described by top management and managers take place and recognise the needs of different groups</p>

		People believe the organisation is genuinely committed to ensuring equality of opportunity in the development of people
<b>Planning</b> An Investor in People is clear about its aims and its objectives and what its people need to do to achieve them	<b>5 The organisation has a plan with clear aims and objectives which are understood by everyone</b>	The organisation has a plan with clear aims and objectives People can consistently explain the aims and objectives of the organisation at a level appropriate to their role Representative groups are consulted about the organisation's aims and objectives
	<b>6 The development of people is in line with the organisation's aims and objectives</b>	The organisation has clear priorities which link the development of people to its aims and objectives at organisation, team and individual level People clearly understand what their development activities should achieve, both for them and the organisation
	<b>7 People understand how they contribute to achieving the organisation's aims and objectives</b>	People can explain how they contribute to achieving the organisation's aims and objectives
<b>Action</b> An Investor in People develops its people effectively in order to improve its performance	<b>8 Managers are effective in supporting the development of people</b>	The organisation makes sure that managers have the knowledge and skills they need to develop their people Managers at all levels understand what they need to do to support the development of people People understand what their manager should be doing to support their development Managers at all levels can give examples of actions that they have

		taken and are currently taking to support the development of people People can describe how their managers are effective in supporting their development
	<b>9 People learn and develop effectively</b>	People who are new to the organisation, and those new to a job, can confirm that they have received an effective induction The organisation can show that people learn and develop effectively People understand why they have undertaken development activities and what they are expected to do as a result People can give examples of what they have learnt (knowledge, skills and attitude) from development activities Development is linked to relevant external qualifications or standards (or both), where appropriate
<b>Evaluation</b> An Investor in People understands the impact of its investment in people on its performance	<b>10 The development of people improves the performance of the organisation, teams and individuals</b>	The organisation can show that the development of people has improved the performance of the organisation, teams and individuals
	<b>11 People understand the impact of the development of people on the performance of the organisation, teams and individuals</b>	Top management understands the overall costs and benefits of the development of people and its impact on performance People can explain the impact of their development on their performance, and the performance of their team and the organisation as a whole
	<b>12 The organisation gets better at developing its people</b>	People can give examples of relevant and timely improvements that have been made to development activities

The government has set aside £30 million to help small firms (50 or less staff) to improve the skills of their workforce using the liP Standard. Known as the Small Firms Initiative, this is running until March 2005 and provides up to £1,250 per employer; £500 for a Business Link consultant to carry out an assessment of the organisation, a further £500 is available for training and/or support towards meeting the Standard and lastly £250 is available against the cost of assessment.

## Appendix 11

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### Improving Working Lives - The National Health Service

The Improving Working Lives Standard set staged targets for all NHS employers to demonstrate they are improving the working lives of their staff, investing in diversity and tackling discrimination and harassment.

The standard looks at the areas of:

- Human Resources Strategy and Management
- Equality and Diversity
- Communication and Staff Involvement
- Flexible working
- Healthy working
- Training and Development
- Staff benefits and childcare
- Staff Attitude

Within these areas assessors look at reports and records such as absenteeism, accidents, ethnicity, equal opportunities, recruitment/selection, staff turnover/retention, occupational health/healthy workplace, childcare, greivances/disputes, disciplinary action, harrassment/bullying and discrimination, racial discrimination and violence.

#### ***Targets for IWL accreditation***

The NHS Plan stated all NHS employers would be assessed against performance targets including the Improving Working Lives Standard, and that by April 2003 NHS organisations would be expected to be accredited for putting the Standard into practice.

There are three stages to achieving the Standard:

Pledge, which requires organisations to put in place the policies, procedures and plans to achieve accreditation.

Practice stage requires organisations to provide a portfolio of evidence over a wide range of policies and procedures that show they are improving the working lives of staff. This stage does allow some leeway, and organisations can be accredited even if they do not have these policies and procedures in place for all staff, as long as they have action plans to continue to make improvements in all aspects of HR practices.

Practice Plus means achievement in all staff groups across the whole organisation and is awarded once all the gaps have been remedied.

#### ***National Audit Instrument***

A kitemarking system was developed in 2001 to accredit NHS organisations against the Standard. Organisations have to demonstrate that the Standard is being achieved and how it is making a difference to staff. Trained assessors drawn from the service and the Department and including staff representatives visit organisations, take feedback from staff and assess the evidence provided across a range of common criteria.

## Appendix 12

### Trainers Licence Application Form

#### APPLICATION FORM FOR A TRAINER'S LICENCE

#### UNDER RULE 50(i)(a) OF THE JOCKEY CLUB RULES OF RACING

**2004/2005**

(For the period to 31 January 2005)

OFFICE USE ONLY	
Rec:	
Fees:	
Wthbys/NTF:	
G:	No:
Key:	

**(BLOCK CAPITALS AND BLACK INK PLEASE)**

Surname: ..... All Forenames:  
.....

Age: ..... Date of Birth: ..... Mr/Mrs/Miss/Ms: ..... Nationality:  
.....

Any previous surnames e.g. maiden name:  
.....

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

Permanent Home Address:  
.....  
.....

Postcode: ..... Home Tel No: ..... Mobile Tel No:  
.....

Fax No: ..... E-mail address:  
.....

Address to which correspondence regarding this application should be sent if different from home address:  
.....

#### **EXPERIENCE AND QUALIFICATIONS**

Summary of experience and qualifications including past employment, names and addresses of employers, dates, etc:  
(Please also enclose your C.V.)  
.....  
.....

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

Names of any racehorses you have owned including the approximate dates and names of the Trainers:

.....  
 .....

**REFERENCES**

FINANCIAL

Give name and full address of your Bankers who can be approached:  
 (If you wish to train as an employee give name and address of your employer's Bankers)

.....  
 .....

Postcode:.....

COMPETENCE AND EXPERIENCE OF TRAINING RACEHORSES

Give names and addresses of at least two Licensed Trainers who can be approached:

(1)

.....  
 .....

(2)

.....  
 .....

CHARACTER

Give names and addresses of at least two persons holding professional qualifications or of professional standing, who can be approached:

(1)

.....  
 .....

Postcode:.....

(2)

.....  
 .....

Postcode:.....

*QUALIFICATIONS*

Have you attained the National Vocational Qualification (NVQ) Level 3 in Racehorse Care and Management?

Yes  No

Have you completed Modules 1, 2 and 3 of the mandatory training programme held at the British Racing School?

Yes  No

Dates attended (or to be attended):

Module 1 : Racehorse Management .....

Module 2 : Business Skills .....

Module 3 : Staff Management .....

Have you attended a one day training seminar for potential trainers at Weatherbys, Wellingborough?

Yes  No  Date attended: .....

**PROPOSED TRAINING ESTABLISHMENT**

Name and address of PRINCIPAL STABLE YARD:

.....

Postcode: ..... Tel. No: .....

Number of boxes available in this yard:

Is the Principal Stable Yard in your sole ownership? Yes  No

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

.....

.....

Who will be in overall charge in your absence?

Name: .....  
 Position held:.....

If your residence and the stable yard are separate, give name and position held by employee living at this yard:

.....

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

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

.....

.....

Accommodation for Stable Staff:

.....

.....

**ADDITIONAL YARDS YOU REQUIRE TO BE INCLUDED ON THE LICENCE**

Details of any additional yards where you may wish to stable horses in training under your licence

Name and address of Additional Yard:

.....

.....

No. of boxes available:

Distance from Principal Yard: .....

Is the Additional Yard in your sole ownership? Yes  No

If no, please state who owns the yard and enclose a copy of the lease or agreement to occupy:

.....

Name and position of employee living at/in charge of Additional Yard:

.....

**OTHER YARDS NOT FOR INCLUSION ON LICENCE**

Details of any other yards under your control that are used for horses not in training, young stock, etc.

Name and address by which the yard is known:

.....  
 .....

Number of boxes available:

**PLANNING PERMISSION**

Has planning permission been obtained for the construction of the Principal Yard and (if applicable) the Additional Yard?

Yes  No

If no, please state current position:

.....  
 .....

**TRAINING FACILITIES**

**FULL DETAILS REGARDING YOUR GALLOPS**

GALLOPS - give their situation and a brief description with length, width, type of surface, etc:

.....  
 .....

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

.....

Do you own the main gallops? Yes  No

If no, please state the name of the owner and arrangements under which they are available to you, e.g. leased, central facilities: (A copy of any lease or agreement should accompany this application)

.....

If applicable, please state the names of gallops used:

.....

**APPLICANTS WISHING TO TRAIN FOR FLAT RACING**

**PRACTICE STARTING STALLS**

Description of the type of stalls to be used and the number of bays:

.....  
 .....

In the case of a static unit, please indicate where it is sited:

.....

Approximate distance to be travelled from the principal yard to where the stalls unit is normally sited:

.....

Owner of the starting stalls used:

.....

When stalls used are owned by another trainer or used under other arrangements, written confirmation as to your use of them must accompany this application.

## HEALTH AND SAFETY

### APPLICANTS WISHING TO TRAIN FOR STEEPLE CHASES AND HURDLE RACES

#### SCHOOLING FENCES, HURDLES AND NURSERY FACILITIES

Situation of schooling facilities and approximate distance from your principal yard:

.....  
 .....

Number and type of fences available to you:

.....  
 .....

Number of flights of hurdles:

.....

Do you own your own fences and hurdles?      Yes         No  

If not, under what arrangement are they used?

.....  
 .....

Please state what nursery facilities are available to you e.g. poles, logs, tyres, etc., where they are sited and on which type of surface:

.....  
 .....

Name of appointed Health and Safety representative (if not you): .....

	Yes	Not at present
Have you appointed one or more Health and Safety assistant(s) from your yard (or from outside) who are trained or knowledgeable about Health and Safety issues?	<input type="checkbox"/>	<input type="checkbox"/>

Name of current appointed Health and Safety assistant(s):

(i) ..... (ii) .....

Do you have Employer's Liability Insurance?	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------

Is a copy of the current Insurance Certificate on display?	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------

Name of Insurance Company: .....

Policy Number: ..... Date of Expiry: .....

Do you have Public Liability Insurance?	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------

If you have 5 or more employees, do you have a written Health and Safety Policy which is signed, dated and displayed?	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------

Have you identified the Health and Safety hazards and assessed the risks to Health and Safety, E.g. care of horses, racehorse exercise and handling, manual handling, equipment and machinery, hazardous substances, etc?	<input type="checkbox"/>	<input type="checkbox"/>
---	--------------------------	--------------------------

Have you recorded the significant findings of the risk assessment?    
 (If you have 5 or more employees, significant risk must be recorded and brought to the notice of your employees)

Have your employees been given a full and detailed Health and Safety induction?

Do you provide suitable Personal Protective Equipment, e.g. skull caps (as defined in your risk assessment) free of charge?

Do you have adequately stocked First Aid kits?

Do you have at least one qualified First Aider to provide cover for all times when anyone is working?

Name(s) of qualified First Aider(s) (i) ..... (ii) .....

Is there an Accident Book available in the yard?

Are you aware of the need to make reports to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)?    
 (Reports should also be made to the relevant Racing School in cases involving Trainees)

Do you have emergency arrangements in the event that a person needs hospitalisation, including arrangements for accidents that occur whilst on the training gallops?

Have you carried out a Fire Risk Assessment?

Do you display a Fire Notice with Instructions in case of fire?

Do you display 'NO SMOKING' signs in appropriate places?

Will you conduct and record fire drills?

**VARIOUS**

Have you ever had any disqualification or restriction imposed on you by a Turf Authority?

Yes  No

Have you ever been declared bankrupt, been the subject of an Individual Voluntary Arrangement or other statutory based composition with creditors alone or with others or had a criminal conviction (other than a minor motoring offence) recorded against you?

Yes  No

Have you been the director of any company (either at the time of or within the preceding 12 months) which has gone into receivership, compulsory liquidation, administration, company voluntary arrangement or arrangement with its creditors generally within the last 10 years?

Yes  No

Have you been a partner in any partnership which has gone into compulsory liquidation, administration or partnership voluntary arrangement within the last 10 years?

Yes  No

Have you been disqualified by a court from acting as a director of a company or from acting in the management or conduct of the affairs of any company within the last 10 years?

Yes  No

(If 'yes' to any of the above questions, please give details here or enclose a separate letter):

.....  
 .....  
 .....

(An affirmative answer to these questions is not a bar to obtaining a licence)

Are you actively engaged as a Bookmaker or do you have any financial interest in any betting businesses including spread betting businesses, e.g. as a shareholder or director? If yes, please provide full details in a separate letter for consideration by the Licensing Committee to include the size of your shareholding (if applicable) and the degree of your involvement with the management of the business.

Yes  No

Are you engaged in any profession, business or occupation other than that of training horses? If so, give details including title of business and address.

.....  
 .....  
 .....

Please state type of licence for which you are applying, i.e. Combined Licence for Flat and Jumping, or a Restricted Licence for Flat racing only or for Jumping only:

.....

**ARRANGEMENTS UNDER WHICH YOU INTEND TO TRAIN**

Do you intend to train as a self-employed person or as an employee?

.....

If the answer to the above question is "as an employee", please state by whom you will be employed:

.....

Names of any staff whom you employ at present and who will be assisting you in the running of your stable: (Members of your family should be included)

<u>Surname</u>	<u>Forenames</u>	<u>Age</u>	<u>Position, e.g. Head Lad</u>
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

Do you undertake to employ your staff in accordance with the Terms and Conditions of Service established by the National Joint Council for Stable Staff, for the duration of the Licence for which you are applying?

Yes  No

**NB** Your attention is drawn to the following extract from the Instructions by the Stewards of the Jockey Club published in the Rules of Racing:

“The attention of all applicants for Licences or Permits to train is drawn to the following notice:

The Stewards of the Jockey Club are satisfied that it is in the interest of horse racing that the terms and conditions of service of employees or those engaged in training racehorses should be fair and reasonable. Before granting or renewing licences or permits to train, the Stewards of the Jockey Club will wish to be satisfied that the terms and conditions of service offered by the applicant to his employees are fair and reasonable. In considering that question the Stewards of the Jockey Club will have regard to the Terms and Conditions of Service established by the National Joint Council for Stable Staff (set up by agreement between the National Trainers Federation and the Stable Lads

Association), and terms and conditions of service which comply with, or which taken as a whole are no less favourable than those Terms and Conditions, will be presumed by the Stewards of the Jockey Club to be fair and reasonable.

**Full details of the current Terms and Conditions of Service are given on the enclosed sheet entitled “Terms and Conditions of Service in Stables”.**

### DECLARATION

I confirm that all the information given above is correct and hereby request that this, my application for a Trainer’s Licence, will receive the consideration of the Stewards of the Jockey Club and I declare that, should a licence be granted to me:

- (a) I agree to be bound in all respects by the Orders of the British Horseracing Board and Jockey Club Rules of Racing in force from time to time, and the Rules of the recognised Turf Authority concerned when racing horses abroad.
- (b) I acknowledge that the Jockey Club carries out its inspection of my training establishment for the purposes of assessing the adequacy of the training establishment and its facilities for the activity of training racehorses and that the granting of a licence by the Jockey Club does not constitute any acknowledgment or indication by the Jockey Club that it considers I have complied with the requirements of Health and Safety legislation or any other statutory requirements. I acknowledge that compliance with such legislation is a matter wholly within my own responsibility.
- (c) I agree that in addition to my statutory PAYE records, I will be prepared to maintain and keep a wages book or other record in which is set out the gross amount earned and net amount paid (with details of all deductions) each week to each member of my stable staff during the term of my licence and to produce such records for inspection when required by the Stewards of the Jockey Club or their authorised representative.
- (d) I undertake that when my employees are required to attend Apprentice and Conditional Jockeys Licence Courses, Continuation Training Courses or Advanced Courses in accordance with Jockey Club Instruction A4, they will be paid their normal wages when attending such Courses.
- (e) I agree that employees under 19 years of age joining my employment will participate in the industry’s Stable Staff Training Programme in accordance with Jockey Club Instruction A5 ‘Stable Employee Training’.
- (f) I declare in accordance with Order 55 (i), in respect of each of my employees that where I or my employees take out a pension scheme or personal pension plan other than that established by the National Trainers Federation, contributions at no less a level than the rate established by the National Trainers Federation will be paid.
- (g) I agree to wear a skull cap or riding hat conforming to the current standard as laid down by the Jockey Club under Instruction F1 whenever riding in the course of my work as a trainer.
- (h) I undertake to advise the Licensing Committee if I propose to enter into any betting business including spread betting business after my licence is granted.
- (i) I undertake to notify the Stewards of the Jockey Club if I am convicted of any criminal offence (other than motoring offences), or I become bankrupt or a proposal for an Individual Voluntary Agreement is made after my licence is granted.

### DATA PROTECTION

The Jockey Club may make searches with a credit reference agency which will keep a record of those searches. The Jockey Club may also make enquiries about the principal directors associated with your business with a credit reference agency. This information will only be used in connection with the regulation of horseracing and not disseminated to anyone else without your approval.

It is agreed that any information provided by me may be held by The Jockey Club, the British Horseracing Board or Weatherbys Group Ltd in their computer records, and that it may be properly disclosed to other agencies registered to receive such information in connection with the management, regulation and integrity of horseracing.

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

**Signature of Applicant:** .....  
**Date:**.....

**PLEASE SEE CHECKLIST IN COVERING LETTER AND ENSURE THAT ALL RELEVANT DOCUMENTS ACCOMPANY THIS APPLICATION.**

The Jockey Club undertakes to consider this application in accordance with and subject to the Rules of Racing and criteria and procedures approved from time to time by the Stewards of the Jockey Club.

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

## Appendix 13

### Racecourse Inspection Report

#### The Jockey Club INSPECTORS PRELIMINARY REPORT

RACECOURSE \_\_\_\_\_ FLAT/NH/AWT \_\_\_\_\_ DATE \_\_\_\_\_

#### J.C.G.I

- 3.2 TRACK:** RACING SURFACE  CONSULTANT RETAINED  RECORDS  GROUNDSMEN  EQUIPMENT  COURSE REPAIRS   
DRAINAGE PLANS  NOTIFICATION OF WORKS  CROSSINGS  CANTER DOWNS  SERVICE TRACK  CONSULTANTS REPORT
- 3.3 TRACKS AND BUILDINGS:** (CHANGES) TRACK  STEWARDS OFFICIAL REPORTS
- 3.4 MARKING OF COURSES:** PLAN  STARTING POSITIONS  FURLONG MAKERS  MARKER POLES  SCREENS AND NUMBER  
BOARDS  DISPLAY BOARDS  RUNNING RAILS/BLACKBOARDS  LOOSE HORSES  PADDING  CROSSING PLACES  PAINTING  
 SECURITY  WINNING LINE MARKER  FINISHING LINE/MOWN STRIP
- 3.5 FENCES:** NUMBER  DIMENSIONS  WINGS  LEAD – INS  ADVERTISING HOARDINGS
- 3.6 HURDLES:** NUMBER  MAINTENANCE  WINGS  LEAD –INS  TEMPLATES
- 3.7 WARNING MARKERS/ BY PASSING:** HAZARD MARKINGS  TRAINING  EQUIPMENT  NOTICE
- 3.9 RACETRACK FLOODLIGHTING:** MEETS REQUIREMENTS  EMERGENCY POWER SUPPLY  ILLUMINATION OF  
WALKING AREAS
- 4.4 INTEGRITY SERVICES/FIXED FACILITIES:** PHOTOFINISH ROOM  BROADCAST OFFICE  SIDE ON CAMERA  
POSITION  ACCESS STAIRS  TRACK SIDE ROAD  RUNNING RAIL GAPS
- 7.1 STABLE YARD AND HORSEBOX PARK:** PERIMETER FENCE  SECURITY ACCOMMODATION/EQUIPMENT  EXTERNAL  
NOTICES  STABLING  KIT LOCKERS  ILLUMINATION  CCTV  WATER  BEDDING  TOILETS  FIRST AID  HORSEBOX PARK  
 SURFACE  LIGHTING  LOADING RAMP
- 7.2 RACECOURSE STABLES:** HYGIENE/DOCUMENTATION  BEDDING  DISENFECTION/CERT OF COMPLIANCE  USE OF
- 7.4 CANTEN AND OVERNIGHT ACCOMMODATION:** CANTEN  OVERNIGHT ACCOMMODATION
- 8.1 STEWARDS BOXES & ROOM:** MAIN BOX  HEAD-ON BOX  STEWARDS BOX
- 8.3 JUDGES BOX:** MAINTENANCE  ACCESS  SECURITY
- 8.4 PADDOCK AREA/WINNERS ENCLOSURE/HORSEWALKS/SADDLING BOXES:** PARADE RING  PRE PARADE  
RING  WINNERS ENCLOSURE - SIZE  RAILING  HORSEWALKS  SADDLING BOXES  WATER SUPPLY
- 10.1 STARTING ARRANGEMENTS:** POSITIONING OF STARTS  STALLS ROUTES/HARD STANDING  ROSTRUMS
- 11.1 MEDICAL FACILITIES:** JOCKEYS MEDICAL ROOM  STANDING ORDERS
- 12.1 RACECOURSE VETERINARY DUTIES:** SENIOR VETERINARY SURGEONS  STANDING ORDERS
- 12.2 RACECOURSE VETERINARY FACILITIES AND EQUIPMENT:** HORSE AMBULANCE  4 WHEEL TOWING  
VEHICLE  RECOVERY VEHICLE  TREATMENT BOX  SCREENS & NO
- 12.3 SAMPLING UNIT:** LOOSE BOXES  OFFICE & SERVICE AREA  EQUIPMENT  MAINTENANCE  DISENFECTION  SECURITY

**WORK TO BE COMPLETED BEFORE FIRST MEETING/BY AGREED DATE (N.B. NON COMPLIANCE OF  
ANY J.C.G.I. ITEMS UNDER RULE 80 (ii) (a) AND BY THE SPECIFIED DATE WILL RESULT IN A FINE OF  
NOT LESS THAT £200 PAYABLE BY THE RACECOURSE MANAGEING EXECUTIVE)**

SIGNED: CLERK OF THE COURSE: \_\_\_\_\_

INSPECTOR OF COURSES: \_\_\_\_\_

PRINT: \_\_\_\_\_

PRINT: \_\_\_\_\_

## Appendix 14

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### Racing Industry Human Resources Kitemark

The human resources kitemark would set an industry standard to be achieved by employers and seek to improve retention by making the racing and breeding industry a more accessible, fulfilling and enjoyable industry in which to work.

The kitemark would indicate the expectations placed on employers to support staff, respect their welfare and development, and their desire to have a healthy balance between work and their own personal lives. It would recognise that modern employment practices are required in order to improve the working lives of stable and stud staff.

To obtain the kitemark a portfolio of evidence would be required for submission – requiring an element of self assessment by the employer - in order to register as being a member of the kitemark scheme. An independent kitemark assessor would then validate the evidence through a site visit and the kitemark grading given via a points rating system. Yards would then be given an overall rating within the kitemark via a star system.

#### Suggested Areas of Good Practice

- 1. Human Resources Management**
  - a. Employment Contracts
  - b. Written procedures
  - c. Induction process
  - d. Committed to or recognised as Investor in People (IIP)
  - e. Staff pay and benefits, including accommodation
- 2. Equality**
  - a. Equal opportunity policies
  - b. Anti bullying policies
- 3. Communication and Staff Involvement**
  - a. Appraisals
  - b. Team meetings
- 4. Flexible and Healthy working**
  - a. Working patterns
  - b. Flexible working
  - c. Health and Safety practices
- 5. Training and Development**
  - a. Career Development
  - b. Training
  - c. Qualification levels of staff
- 6. Performance Indicators**
  - a. Staff turnover rates
  - b. Regulatory checks