



**A GUIDE TO
THE BRITISH HORSERACING
AUTHORITY'S EQUINE
ANTI-DOPING RULES**

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BACKGROUND

In June 2014, the British Horseracing Authority (BHA) published its zero-tolerance policy towards the use of anabolic steroids. This marked the conclusion of a project initiated in 2013 to establish how British Racing would not only adhere to, but exceed where possible, the new international minimum standards on anabolic steroid use, as published by the International Federation of Horseracing Authorities (IFHA) in October 2013.

The enhanced policy has the objective of ensuring that British Racing remains at the forefront of tackling an issue that ranks amongst the biggest threats faced by any world sport.

The project included extensive scientific research and consultation across the global Racing industry and externally.

The headline elements of the policy, effective from 2 March 2015, are:

- A horse must not be administered an anabolic steroid at any point in its life.
- Any horse administered an anabolic steroid will face a mandatory stand down period from training for 12 months and be ineligible to start in any race in Great Britain for 14 months, from the time the breach occurred.
- All horses must be available for testing at any time, regardless of physical location and whose care the horse is under, from the time it is first registered with Weatherbys.
- All GB bred horses must be registered with Weatherbys within 12 months of birth, phased to six months in two years. This applies to the entire 2015 foal crop. Permanently imported horses must be registered with Weatherbys within three months of arrival in Great Britain accompanied by a sample that shows no evidence of anabolic steroid presence, or administration after the implementation of this policy.
- Due to their like policies, horses imported from Ireland, France and Germany which have spent 12 months under their equivalent policies will be exempt from this requirement. All runners from Ireland, France and Germany will still be exposed to testing as per the standard testing policy.
- All other foreign runners must be in Great Britain (and the BHA notified of their whereabouts) a minimum of 10 business days in advance of their intended race to facilitate post-arrival sampling and analysis, the results of which will be received prior to the horse running.

This document provides a guide to any connections of a racehorse which is either born in Great Britain or is intended to race or be imported into Great Britain, as to how to ensure that your horse adheres to the new Rules.

The information contained below is a summary only and is designed to be read in conjunction with the official Equine Anti-Doping Rules manual, which is available at www.britishhorseracing.com/resource-centre/anti-doping-medication-control/. The guide should not be considered a replacement to the Rules, which are the legally binding document and which shall prevail in the case of any inconsistency. Full details of the Policy can also be found here.

If you have any queries regarding these Rules or their application, please contact the BHA on 0207 152 0090 or anti-doping@britishhorseracing.com. Please note that the BHA website (www.britishhorseracing.com/resource-centre/anti-doping-medication-control/) will be updated with any additional questions we receive in the early stages of implementation, along with the answers.



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WHO DO THE RULES APPLY TO?

The BHA's Equine Anti-Doping Rules apply to:

- any horse which is:
 - foaled in Great Britain and registered with the General Stud Book;
 - foaled in Ireland and registered with the General Stud Book, and present in Great Britain;
 - permanently imported into Great Britain with the intention that they be trained in Great Britain;
 - trained outside of Great Britain and entered for a race in Great Britain under the Rules; or
 - otherwise present in Great Britain for training or racing purposes;
- any licensed or permitted trainer who has care or control of any of the above horses, and their support personnel*;
- any owner, where the above horse is not in the care or control of a licensed or permitted trainer and their support personnel*;
- any trainer from outside Great Britain who wishes to enter a horse to race in Great Britain and their support personnel*;
- any other person who agrees to be bound by the Equine Anti-Doping Rules (e.g. breeders – see page 9: Registration).

*Support personnel means any stable employee (whether full or part-time), consultant, volunteer, agent, veterinary surgeon, medical or other person assisting in any way the preparation of a horse for racing.

WHAT SUBSTANCES DO THE RULES COVER?

There are three categories of substances listed in the Prohibited List, which can be found in full under Schedule (G)1 of the Rules of Racing (<http://rules.britishhorseracing.com/>).

- **Prohibited at all times:** Substances that have no legitimate justification for use in racehorses under the BHA's zero-tolerance policy. They include:
 - Anabolic agents;
 - Substances not approved for veterinary use;
 - Peptide hormones, growth factors and related substances;
 - Hormone and metabolic modulators;
 - Manipulation of blood and blood components;
 - Blood transfusions;
 - Genetic and cellular manipulation;
 - Oxygen carriers.
- **Prohibited on raceday only:** This category covers any substance that could affect a horse's mammalian bodily systems, but which is not included in the list of substances which are prohibited at all times. They are permitted for use on a horse in training but cannot be present in a horse's system on raceday. This category of substances has not changed with the implementation of the new policy.
Please note: It is only permitted to give a horse feed and water on raceday.
- **Prohibited in relation to stalls tests:** This category covers substances that would affect a horse during its stalls test. It covers: sedatives, tranquilisers, hypnotics and anxiolytics (i.e. anti-anxiety agents). This category of substances has not changed with the implementation of the new policy.



Please note: any reference to anabolic steroids in this guide should be read as a reference to all substances and methods which are prohibited at all times.

WHAT CONSTITUTES AN EQUINE ANTI-DOPING RULE VIOLATION?

The following scenarios may constitute a violation of the Equine Anti-Doping Rules.

The individual predominantly deemed responsible for compliance with these Rules is described as the “Responsible Person”. See page 6 for definitions of who the Responsible Person is at any given time. However, other participants such as stable staff are also subject to the rules, and may be prosecuted for breaches of some of the following violations (numbers 3-7, and 9).

- 1. The presence of a prohibited substance or its metabolites or markers in a horse’s sample.** This is a strict liability offence applicable to the Responsible Person only, and relates to blood and urine but not hair samples.
- 2. Use or attempted use of a prohibited substance or a prohibited method.** This is a strict liability offence applicable to the Responsible Person only.
- 3. Evading, refusing or failing to submit to sample collection.** This can apply to the Responsible Person irrespective of whether they were aware of, or in attendance at, the attempted test.
- 4. Tampering or attempted tampering with any part of doping control.**
- 5. Administration or attempted administration of any prohibited substance or a prohibited method.** This can apply to any person, and not just the Responsible Person - for example, trainers, owners, riders, stable staff or veterinary surgeons.
- 6. Possession of a prohibited substance without acceptable justification.** Possession of a substance which is prohibited at all times is only justified if it is possessed by a veterinary surgeon for the treatment of animals not subject to the Equine Anti-Doping Rules, or by an individual for his own personal use on justifiable medical grounds.

Possession of a substance which is prohibited on raceday shall only be prohibited if possessed on racecourse grounds without BHA Veterinary Officer approval, unless it is kept in a vehicle.
- 7. Trafficking or attempted trafficking in any substance or method which is prohibited at all times.**
- 8. Whereabouts failures.** Three “filing failures” within a 12 month period for a trainer or owner, or three missed tests for a horse within an 18 month period. See page 11 for more information on “filing failures” and missed tests.
- 9. Complicity.** This includes assisting, encouraging, aiding, abetting, conspiring, covering up or engaging in any other type of intentional complicity involving another violation.



THE “RESPONSIBLE PERSON”

The Equine Anti-Doping Rules place the burden for compliance with the rules in respect of each horse on the “Responsible Person”. This may be different people at different times in the horse’s life. The general principle is that it is either the registered owner or trainer of the horse, depending on who has care or control of the horse at the relevant time.

The Responsible Person is the person which the BHA would pursue for any violations that occur in respect of the horse. This includes:

- If the horse’s urine or blood sample tests positive;
- If the horse has been administered a prohibited substance (even if it was not the Responsible Person who administered it, or if they did not know about it);
- If they or anyone else refuses to allow the horse to be tested, or fails to comply with a request for testing;
- If the horse receives its third missed test (provided the Responsible Person was already aware of the first two missed tests);
- If they receive three “filing failures” in relation to any horses which are their responsibility (see page 11).

They are also responsible for providing whereabouts information in relation to the horse. (See information on “Whereabouts” on page 9).

Who is the Responsible Person?

The Responsible Person is either the trainer or registered owner of the horse, unless the horse is not yet registered on the BHA’s register of horse names. In the latter case, the Responsible Person is the legal owner of the horse. This is deemed to be the breeder unless they can establish otherwise.

When considering whether the trainer or the owner is the Responsible Person, the primary position is that the Responsible Person is the trainer who the horse is, or was last, registered in training with. This is unless the trainer can establish they have transferred the responsibility to the owner. (See page 7-8 for more details on transferring horses).

The following table sets out the common scenarios and who would be the Responsible Person.

Scenario	Responsible Person
Foal which has registered with the General Stud Book but is not yet in training	Legal owner of the horse. This is presumed to be the breeder who registered the foal with the Stud Book unless they can establish otherwise. If the horse has been registered on the BHA’s register of horse names, the BHA will take into account the owner who has registered that horse.
Horse in training with trainer	Trainer
Horse at trainer’s yard but not in training	Trainer
Horse with owner	Owner (see notes below on page 7 on transferring responsibility from trainer to owner)
Horse at a third party location (not trainer’s yard or owner’s property)	The trainer or owner who has directed that the horse go to that location (see transfer of responsibility below)



Horse is in Great Britain for less than three months before race	Foreign trainer (if he has care or control of the horse); otherwise it is the owner
Horse is in Great Britain and intended for permanent import but is not yet on the BHA register of horse names	Trainer who has care or control of the horse; if not with a trainer, then it is the owner
Horse has been permanently imported into Great Britain and is on the BHA register of horse names	Same as the Responsible Person for GB foaled horses on the BHA register

Breeders

Because of the obligation on a breeder to be able to demonstrate who the true, legal owner is if it is not them, breeders are advised to keep accurate and contemporaneous records of ownership of horses in their care.

Transferring responsibility between trainer and owner

The guiding principle is that the Responsible Person is the person who has care or control of the horse. If a horse is physically located at the trainer's or owner's property, then the horse is in that individual's care or control. Where a horse is at a third party's property, then the horse will be in the care or control of whoever chose to send the horse to that location.

Where a horse which has been in training is leaving a trainer's care or control, the trainer has to comply with certain obligations. These are:

1. Notify the owner of the transfer of responsibility by first-class post, hand delivery to their address, fax, or email. The BHA has created a template document which should be used for this purpose, and which can be found at www.britishhorseracing.com/resource-centre/anti-doping-medication-control/.
2. Obtain written acceptance by the owner to the transfer (e.g. by email, fax or letter).
3. Update the BHA Racing Admin website, www.racingadmin.co.uk, indicating the horse has been "transferred to owner".

The owner should promptly respond to the trainer consenting to the transfer of responsibility, where the horse has been moved to a location on their instruction. This can be done via email, fax or otherwise in writing.

If the owner does not respond to the trainer and accept the transfer, but the trainer can establish that he took reasonable steps to obtain the owner's acceptance, then the responsibility will shift to the owner (i.e. the owner will be the "Responsible Person"). What steps are considered "reasonable" will depend on the specific circumstances, but in most situations, the following would be considered to be reasonable:

- Sending the BHA template for a transfer of responsibility, indicating the date from which the responsibility will be transferred (as above, this can be by a number of methods including email);
- If no response is received, contacting the owner a second time on the owner's contact number or email, and leaving messages;
- Keeping a record of those attempts to contact the owner (e.g. keeping emails, keeping a note of time(s) called);
- Keeping a record of the owner's instructions in relation to the horse (e.g. keeping emails from the owner indicating they will be collecting the horse, or instructing the trainer to send the horse somewhere; or if such instructions are made over the phone or in person, then the trainer could include this in the notification to the owner).



When a horse which is in the owner's care or control is returned to the trainer, the trainer must update the Racing Admin site to reflect that the horse has returned.

When a horse is with a third party, trainers and owners should take the following reasonable precautions:

- The third party who has day to day care of the horse (e.g. livery yard management) should be aware the horse is a racehorse and subject to strict regulations in relation to treatment;
- The third party should be instructed to only take instructions from the Responsible Person. This is particularly important in situations where the responsibility has transferred to the owner but the trainer continues to have contact with the third party, which could cause confusion for the third party as to who is able to make decisions in respect of the horse;
- Detailed contact information should be provided, including alternatives in the event the Responsible Person is not contactable. This is to ensure that in all but the most exceptional circumstances the Responsible Person can be consulted prior to administering treatment;
- All treatments administered to the horse should be:
 - Only administered following prescription by a veterinary surgeon aware of the Equine Anti-Doping Rules, unless the Responsible Person and the third party have agreed a specific list of treatments which can be administered without reference to a veterinary surgeon and/or the Responsible Person;
 - Has the consent of the Responsible Person, either in that specific instance or where in accordance with a predetermined list as above (except in an exceptional case where there is a life threatening situation and the Responsible Person is not contactable – the horse's welfare must come first in such a situation);
 - Is recorded to the same standards as required by trainers (see Rule (C)13 for more detail);
- Satisfactory practices are in place, and known by all staff, to guard against contamination from other horses' treatments – e.g. proper records kept of medications given to all horses in the yard, appropriate cleaning in place to ensure feed buckets and other equipment aren't contaminated, identifying whether any substances which are prohibited at all times (e.g. anabolic steroids) are ever present on the yard for administration to non-racehorses, record made of movement between boxes.

Transferring responsibility from trainer to trainer

When a horse is moving from one licensed yard to another, updating the record on the horse management system on the Racing Admin website, as is current practice, will be sufficient to show the change in responsibility.

TESTING

Horses will become subject to testing at any time, regardless of physical location and whose care the horse is under, from the time it is first registered with the General Stud Book until it is permanently retired from racing.

All horses are subject to testing by the BHA. This means that when the BHA attempts to test a horse, wherever it is, those who have custody of the horse must provide the BHA access to the horse so it can be tested. This applies whether the horse is at a racecourse, on the trainer's yard, with the owner, at a pre-training yard, at a veterinary hospital, etc. The selection of horses for testing is at the BHA's discretion and may either be random or intelligence-led.

This also applies even if the Responsible Person is not with the horse, and not the person preventing access. Responsible Persons should therefore make sure those to whom they entrust



the horse know to allow the horse to be tested by the BHA. If the BHA is prevented from testing the horse, the Responsible Person may be charged with a breach of the Rules.

BHA has the power to collect various types of sample, but the testing programme predominantly consists of urine, blood and hair. The consequences of a positive test in a blood or urine sample, are different to those for hair, and this is addressed in detail in the FAQs on page 17.

Please note: While hair sampling is available to the BHA at all times as part of the testing regime, it is not envisaged that it will be deployed extensively immediately upon implementation of the new Rules. The new Rules will not be applied retrospectively. Instead their purpose is to ensure that the zero-tolerance policy is adhered to moving forwards. We expect hair sampling to become a more useful, and more frequently deployed, tool as the Rules mature over time. (However, any evidence (via hair sampling or otherwise) that identifies a breach of any previous Rules will be duly pursued.)

REGISTRATION

All horses born in Great Britain from 1 January 2015 onwards must have their complete registration received at the General Stud Book within 12 months of their birth. This will reduce to six months for the 2017 foal crop.

The registration process remains almost exactly the same as currently – the only difference is the breeder (or their agent on their behalf) must sign a declaration that they agree to be bound by the Rules of Racing, and they confirm the horse hasn't been administered nor could have ingested any substances which are prohibited at all times at any point in its life.

A false declaration in this regard will result in the horse being stood down from racing for 14 months, and the BHA will consider whether to take action against the breeder.

Details on Stud Book registration can be found at <https://www.weatherbys.co.uk/stud-book/foal-registration>.

Where a breeder does not want to be subject to the Rules of Racing, or where the horse is not intended for racing, the breeder does not have to sign this declaration and the horse will be registered with the General Stud Book but will not be permitted to race in Great Britain.

Horses born before 1 January 2015 are not currently subject to a deadline by which their applications have to be received, although owners and trainers are encouraged to register them during 2015.

Horses in the 2015 foal crop that have not had their complete application received by the General Stud Book by 12 months of birth can still be registered with the General Stud Book, but will not be permitted to race or be trained in Great Britain. The horse may be entitled to register with an overseas racing authority, dependent on their local rules.

“WHEREABOUTS” INFORMATION

Under the Rules there is a requirement to ensure that the BHA is aware of the permanent whereabouts of horses at all times.

What information is required?

Trainers



Trainers must continue to inform Weatherbys when a horse enters their care or control, changes from one of their yards to another, or there is a change in ownership of a horse under their care or control. This is done either via the Racing Admin website (using the “horse management” function) or through Weatherbys (call 01933 440077). This must be done within three days of the relevant event, or – if sooner – before any subsequent race entry is made.

When a horse leaves the trainer’s care or control, the trainer must follow the requirements outlined in “Transferring Responsibility Between Trainer and Owner” or “Transferring Responsibility Between Trainer and Trainer” as applicable (page 7).

If the BHA contacts the trainer and asks for information about a horse’s location, they must provide the requested information within a reasonable time frame which will be stipulated at the time of the request. This request may be made by staff visits to the yard (either in a general stable visit or inspection, or whilst at the yard conducting testing), or on request from the BHA’s London office.

The trainer must comply with this at any time until the horse leaves their care or control, or is retired from racing under Rules (see Retirement below).

Owners

When a horse is in the care or control of its owner, if the BHA contacts the owner and asks for information about a horse’s location, they must provide the requested information within a reasonable time frame which will be stipulated at the time of the request.

The owner must comply with this at any time until one of the following occurs:

- the horse returns to the trainer;
- the horse is no longer registered under his ownership (e.g. it has moved to a different owner); or
- the horse is retired from racing under Rules (see “Retirement”, page 12).

Breeders or other responsible persons

Before a horse enters training with the BHA for the first time, the legal owner is responsible for informing the BHA, on request, where the horse is located. The breeder is deemed to be the legal owner unless they can establish the owner is someone else.

Once a horse is registered with the BHA on the register of horse names but before it goes into training, the registered owner will be taken to be the legal owner.

The legal owner must comply with this at any time until one of the following occurs:

- they notify the BHA via anti-doping@britishhorseracing.com that the horse has been sold to a third party, with details of the purchaser (including name, phone, email and address) or the auction house with which it was sold (this notice can be provided at any time, including at the time the BHA requests the whereabouts information of the horse) ; or
- the horse has been registered with the BHA and is in training.

If a breeder or other owner decides that the horse is not destined for racing before that horse has been registered with the BHA, they can contact the General Stud Book who will mark the horse’s passport accordingly.

What happens if the information is incorrect?



Where a subsequent change in circumstances means that the information provided to the BHA becomes no longer accurate or complete, the individual must update the information as soon as possible to ensure that it is accurate and complete again. This can be done by emailing anti-doping@britishhorseracing.com with the horse's name and as much information as possible about the change in location.

If the BHA attempts to test the horse at the location provided and the horse is not there, or it otherwise turns out to be incorrect information, then the Responsible Person may receive a "filing failure" (see page 11 for more information).

The horse may also be classified as having a "missed test" (see below).

If a Responsible Person knowingly provides inaccurate or misleading information to the BHA about the whereabouts of a horse, he may also be in breach of the Rules concerning evading sample collection and/or tampering or attempting to tamper with the doping control process.

Filing Failures

The BHA may take action in the event that a Responsible Person fails to comply with the above "whereabouts" requirements. For example:

- failing to provide whereabouts information at all, or on time;
- failing to update whereabouts information that has become inaccurate or out-dated;
- providing or updating the whereabouts but failing to include all of the information required
- including information in the filing or update that is inaccurate or insufficient to enable the BHA to locate a horse for testing.

A "filing failure" may be identified by the BHA in reviewing information provided, or may become apparent once the BHA has sought to test the horse at the location specified in the information on file.

There is a process for administrative review of a filing failure before it is recorded, and the Responsible Person will be given the opportunity to provide comments on the circumstances surrounding the filing failure.

If the Responsible Person accrues three filing failures in a 12 month period, then they may be charged with a breach of the Rules and face disciplinary action. It is not necessary that the three filing failures are committed by in connection with the same horse.

Each filing failure will remain on the person's record for 12 months, therefore the second and third failures must be dated within 12 months of the first failure for it to constitute a breach.

If a trainer is asked to provide location information for, for example, 10 horses and they fail to provide that information in time, this will not count as 10 filing failures; it will only count as one. However, if they submit details for nine out of the 10 horses, this will still be one filing failure in respect of the horse they failed to submit information for.

Missed Tests

If the BHA attempts to test a horse at the location provided in the whereabouts information and the horse is not there, the horse may incur a "missed test".

Before pursuing a missed test, the BHA will seek a report from the sampling officer into the circumstances of the attempted test and satisfy itself that reasonable attempts were made to test the horse based on the information on file with the BHA.



Similarly to filing failures, there is a process for administrative review of a missed test before it is recorded. The Responsible Person will be given the opportunity to provide comments on the circumstances surrounding the horse's absence from the location.

If the horse incurs three missed tests in 18 months then it is liable to be suspended from racing for 14 months, and stood down from training for 12 months. It is not necessary that the three missed tests are received whilst the horse is with the same Responsible Person; that is, the missed test tally isn't re-set when a horse moves to a new trainer. However, for the second and/or third missed tests to be pursued, the Responsible Person must have been notified by the BHA of the prior missed tests.

Each missed test will remain on the horse's record for 18 months, therefore the second and third missed tests must be dated within 18 months of the first missed test for it to constitute a breach.

Retirement

If an owner no longer wishes his horse to race, he may retire his horse so that it does not have to be subject to testing or have its whereabouts information provided.

A horse can be retired in two ways:

- The registration of a Non-Racing Agreement (NRA) - the process has not changed, and it is only applicable where the horse is changing ownership. The form is located at <https://www.weatherbys.co.uk/sites/default/files/NRA1.pdf>
- Notification to the BHA that the horse is to be retired from racing under Rules:
 - by emailing anti-doping@britishhorseracing.com with the horse's details and the date from which it is to be retired (this cannot be post-dated);
 - this can only be done by an owner, not a trainer;
 - a horse that has gone through this process of retirement can be returned to racing by any new registered owner.

Where an owner wishes a previously retired horse to race again, the horse can come out of retirement as follows:

- where the horse was retired under an NRA, this can be reversed as per the existing requirements in Rule (E)26;
- where the horse was retired under general notification to the BHA, this can be reversed by notifying the BHA. This can be done by any registered owner who is seeking to have the horse registered in his name, either the owner who originally retired the horse, or any subsequent owner.

In either of these circumstances, the BHA may impose a period of time during which the horse is subject to out-of-competition testing. In most circumstances this will be a period of six months before the horse can race. Any samples collected in this time must show no evidence of presence or use of any substances which are prohibited at all times.



HORSES TRAINED OUTSIDE GREAT BRITAIN WHICH ARE ENTERED FOR A RACE IN GREAT BRITAIN

Unless a horse is domiciled in a country that the BHA is satisfied has "like" policies to those in place in Great Britain, (at the time of publication, these countries are Ireland, France and Germany, see page 2), the following actions must be taken when entering a horse to run in a race in Great Britain:

Arrival in Great Britain

The horse must be present in Great Britain for a minimum of 10 business days before the race in which it is entered, or intended to be entered. This will enable the BHA to collect a sample and have it analysed before the horse can race.

Notification to the BHA for testing

The trainer must provide information about the horse's whereabouts so that the BHA can collect a sample from the horse in a timely manner.

The Trainer must complete a BHA form, which can be found at www.britishhorseracing.com/resource-centre/anti-doping-medication-control/, and includes:

- the full address of the horse's overnight location each night prior to the race;
- the name and contact details of a designated contact person who will be available at all times for sample notification purposes.

This must be sent to anti-doping@britishhorseracing.com no later than 14 business days before the first race in which the horse is entered or intended to be entered.

The Responsible Person is responsible for ensuring that all information provided is accurate and sufficiently detailed to enable the BHA to locate the horse for testing on any given day at the location(s) specified. Where a subsequent change in circumstances means that the information provided to the BHA becomes no longer accurate or complete, the individual must update the information as soon as possible to ensure that it is accurate and complete again. This can be done by emailing anti-doping@britishhorseracing.com with the horse's name and as much information as possible about the change in location.

The trainer should bear in mind that any delay in the BHA being able to collect a sample from the horse could result in the analysis being delayed and not returned in time for their horse to be cleared to race. Therefore, every effort should be made to ensure that the BHA has sufficient information, in as timely manner as possible.

The horse will only be cleared to start in the race if the laboratory reports no evidence of the presence in a urine or blood sample of a substance which is prohibited at all times, and no other evidence of use from 2 March 2015 onwards of a substance or method which is prohibited at all times.

If a sample is reported as showing any such evidence, the horse will not be permitted to run in the entered race. The BHA will also consider whether any further action is warranted as a result of the analysis. This could include, at a minimum, whether to prevent the horse from racing in Great Britain for up to 14 months, and may also result in the BHA sharing the results with the horse's racing authority.



Exemptions from these requirements

The above requirements are waived for horses from Ireland, France and Germany. From time to time, other racing authorities may be added to this list, or these countries may no longer be exempted. The BHA will publicise any such changes.

In the future, systems may be implemented which mean that international runners from outside one of these countries, but which has been in one of these countries immediately prior to running in Great Britain, may be exempt from the whereabouts requirements outlined above.

Testing in Great Britain

Any horse entered into a British race may be subject to testing, irrespective of what country it comes from. This could be on raceday and/or out-of-competition, and could even be before the horse is present in Great Britain.

If the BHA discovers a potential Equine Anti-Doping Rule violation as a result of any such testing, then we will pursue that against the relevant person (depending on the circumstances, this could be the trainer or the owner).

HORSES WHICH ARE PERMANENTLY IMPORTED INTO GREAT BRITAIN

When looking to permanently import a racehorse to Great Britain, the international horse must meet the following conditions for registration with the BHA:

- all the usual conditions under Rule (E)8 of the Rules of Racing;
- the horse's export certificate must be received by the General Stud Book within 90 days of the horse's arrival in Great Britain;
- within seven business days of arrival of the horse in Great Britain, the Responsible Person must provide to the BHA whereabouts information of the horse so that the horse can be tested;
- the sample(s) collected must contain no evidence of the presence in urine or blood of substances prohibited by the BHA at all times, nor any other evidence of use from 2 March 2015 onwards of a substance or method prohibited at all times;
- the person making the application for the horse to be registered with the BHA must pay for the cost of sample collection and analysis.

Export Certificate

The importer must contact the originating Stud Book in order to arrange for the horse's export certificate to be sent to the General Stud Book. Each stud book will have its own processes for doing this, so importers should contact the relevant Stud Book as early as possible to ensure the export certificate arrives within 90 days of the horse's arrival in Great Britain.

Notification to the BHA to enable testing

Within seven business days of arrival of the horse in Great Britain, the Responsible Person must provide to the BHA "whereabouts" information of the horse so that the horse can be tested. This includes the overnight location of the horse from the date of the form for a period of one month and the name and contact details of a person designated to be available at all times so they can be contacted at the time of testing. The form can be found at www.britishhorseracing.com/resource-



[centre/anti-doping-medication-control/](#), and must be sent to anti-doping@britishhorseracing.com. If the horse is not registered within one month, the Responsible Person may be asked to provide further whereabouts information.

The Responsible Person is responsible for ensuring that all information provided is accurate and sufficiently detailed to enable the BHA to locate the horse for testing on any given day at the location(s) specified. Where a subsequent change in circumstances means that the information provided to the BHA becomes no longer accurate or complete, the individual must update the information as soon as possible to ensure that it is accurate and complete again. This can be done by emailing anti-doping@britishhorseracing.com with the horse's name and as much information as possible about the change in location.

The Responsible Person should bear in mind that any delay in the BHA being able to collect a sample from the horse will delay the ability for the BHA to process the application for registration on the BHA's register of horse names.

If a horse is present in Great Britain but not yet registered, it will only be able to race if it enters as an international runner. This means that it must make an application through Weatherbys according to the procedures for international runners, and that it meets the requirements in the Equine Anti-Doping Rules for an international runner, including the collection and analysis of a sample (see page 13).

The Responsible Person must pay the costs of the sample collection and analysis, as set by the BHA. This will be invoiced following the collection and analysis. It is likely this will be in the region of £500.

The horse will only be able to be trained and raced in Great Britain if the laboratory reports no evidence of the presence in urine or blood of substances prohibited at all times, nor any other evidence of use from 2 March 2015 onwards of a substance or method which is prohibited at all times.

If a sample is reported as showing any such evidence, the horse will not be able to be trained in Great Britain. The BHA will also consider whether any further action is warranted as a result of the analysis. This could include, at a minimum, whether to prevent the horse from racing in Great Britain for up to 14 months, and may also result in the BHA sharing the results with the horse's racing authority.

Exemptions from these requirements

The above requirement for a test to be collected and analysed is waived for horses from Ireland, France and Germany which have been present in one or more of these countries for at least 12 consecutive months immediately prior to being permanently imported into Great Britain. Horses from these countries still have to comply with the requirement with regards to their export certificate.

From time to time, other racing authorities may be added to this list, or these countries may no longer be exempted. The BHA will publicise any such changes.



CONSEQUENCES FOR A VIOLATION OF THE RULES

Consequences for the individual involved

Where the BHA considers a breach of the rules has taken place (see page 5 for the list of violations), it will charge the individual with a breach of the rules. In the event that the Disciplinary Panel finds a breach has occurred, they will consider the Guide to Procedures and Penalties when imposing a penalty. Each rule breach has a range of penalties available, including financial penalties and/or periods of disqualification. The penalties are available at <http://rules.britishhorseracing.com//> (click on “view penalty” link in the relevant rules (Rules (G)2.1 to 2.9)). The Disciplinary Panel will take into account the circumstances of the violation and impose a proportionate penalty.

A Responsible Person that has breached the rules as a result of a positive urine or blood test for an anabolic steroid or other substance which is prohibited at all times is likely to receive a penalty of within one to 10 years’ disqualification, dependent on the circumstances of the case.

Where a hair sample has been reported positive for an anabolic steroid or other substance which is prohibited at all times, and the BHA’s subsequent investigation has been able to identify the timing of the administration, the Responsible Person who had care or control of the horse at the time of administration is likely to receive a penalty within 1 to 10 years disqualification, dependent on the circumstances of the case.

Please note: While hair sampling is available to the BHA at all times as part of the testing regime, it is not envisaged that it will be deployed extensively immediately upon implementation of the new Rules. The new Rules will not be applied retrospectively. Instead their purpose is to ensure that the zero-tolerance policy is adhered to moving forwards. We expect hair sampling to become a more useful, and more frequently deployed, tool as the Rules mature over time. (However, any evidence (via hair sampling or otherwise) that identifies a breach of any previous Rules will be duly pursued.)

Consequences for the horse

Where the breach of the rules is connected with a specific race, the horse’s result in that race will be disqualified (and all prize money will be withheld or must be returned). This will apply for all raceday samples, and any refusal or failure to comply with sample collection.

In addition to this, in respect of the following violations, the horse will also be subject to a period of 14 months’ suspension from racing and a 12 month stand down from training (to run concurrently):

- the presence in a sample other than hair, or the use or administration, of a substance which is prohibited at all times;
- evading, refusal, or a failure to comply with sample collection; and
- three missed tests.

This period of disqualification, suspension and stand down from training will commence from the date that the breach occurred (e.g. the date the positive urine or blood sample was collected, or the date the substance was administered if evidenced through other means).

Any results obtained between the date of the violation and the Disciplinary Panel’s decision to impose a suspension will be disqualified, and credit will be received for this period of time. This operates to ensure that the full period of time a horse is suspended and has its results disqualified will only ever be 14 months in length.



FREQUENTLY ASKED QUESTIONS

- **How do I know if a substance or method is prohibited at all times, or on raceday only? (p17)**
- **What do you mean by “prohibited methods”? (p17)**
- **Will my horse be sampled using urine, hair or blood? (p17)**
- **When can my horse be tested? (p18)**
- **What happens if a hair sample tests positive for a substance which is banned at all times? (p18)**
- **What happens if a urine or blood sample tests positive for a substance which is prohibited at all times? (p19)**
- **What steps can I take to assure myself that horses I take responsibility for are free from anabolic steroids when they come into my yard or I purchase them? (p20)**
- **Do I have to pay for the testing analysis for my international runner or a horse I am permanently importing into Great Britain? (p21)**
- **What do I do if my veterinary surgeon advises me my horse needs a substance or method which is prohibited at all times? (p21)**
- **If I am aware that my horse has been administered with anabolic steroids prior to March 2015 do I need to declare this? (p22)**
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How do I know if a substance or method is prohibited at all times, or on raceday only?

The BHA publishes a list on its Rules of Racing website (<http://rules.britishhorseracing.com/>, Schedule (G)1) of those substances and methods which are prohibited: (i) at all times (i.e. on raceday and out-of-competition); (ii) on raceday only; and (iii) for the purposes of stalls tests. Prohibited substances and prohibited methods may be included in the Prohibited List by general category (e.g., anabolic agents) or by specific reference to a particular substance or method.

You should assume that any medication or supplement (including herbal substances) that has, or claims to have, an effect on horses (or any other species) is prohibited on raceday unless you have specific advice from the BHA Equine Health and Welfare Department that states otherwise.

The BHA Equine Health and Welfare Department are available to advise on whether treatments are prohibited at all times.

What do you mean by “prohibited methods”?

These are practices or procedures that are prohibited. They are listed in the Prohibited List (Schedule (G)1). The majority are prohibited at all times, but there is one practice which is only prohibited on raceday.

Will my horse be sampled using urine, hair or blood?

Whilst the majority of our testing programme is urine, blood or hair, the BHA also has the authority to collect any other bodily fluid, tissue, excreta or skin scrapings.

Please note: While hair sampling is available to the BHA at all times as part of the testing regime, it is not envisaged that it will be deployed extensively immediately upon implementation of the new Rules. The new Rules will not be applied retrospectively. Instead their purpose is to ensure that the zero-tolerance policy is adhered to moving forwards. We expect hair sampling to become a more



useful, and more frequently deployed, tool as the Rules mature over time. (However, any evidence (via hair sampling or otherwise) that identifies a breach of any previous Rules will be duly pursued.)

When can my horse be tested?

BHA may test a horse at any time and at any place, including on racedays and out-of-competition.

What happens if a hair sample tests positive for a substance which is banned at all times?

We are aware that there is a perceived risk amongst the industry, both in Great Britain and internationally, that because historic administration of anabolic steroids can be identified through hair testing of horses, this could leave a trainer or owner exposed to disciplinary proceedings, even though the horse was with a different owner or trainer at the time of the administration.

The BHA wishes to assure participants that this is not the case. Whilst hair testing does have a longer detection window for anabolic steroids, the way BHA proposes to deal with any positive hair tests provides protection to those individuals who are responsible for the horse at the time of a positive hair test.

A positive hair sample collected as part of the BHA's domestic testing programme will not, on its own, constitute a breach of the Rules regarding the presence of a prohibited substance in the horse's sample. Instead, a positive hair test will require BHA to investigate further to determine when the substance was administered to the horse. This investigation may include further scientific analysis of the hair sample, as well as enquiries into when and how the substance was administered, and in whose care the horse was at that time. The consequences to any associated persons and to the horse will depend on when the substance was administered to the horse.

Substance administered before 2 March 2015

Because these rules do not apply retrospectively, if the hair sample tests positive post-2 March 2015, but further investigations identify the anabolic steroid was administered in 2014, then that will only be a breach of the rules if the horse was subject to the Rules of Racing at that time, and the administration was a breach of those Rules (e.g. the horse was in training with a trainer licensed in Great Britain at that time). If that is not the case, then there is no ability for these new Rules to be applied retrospectively.

Where the administration was a breach of the Rules in place at that time, the BHA will pursue the relevant individual through the normal disciplinary procedures. This is more likely to be the trainer (under Rule (C)55), unless the owner or other person intentionally administered the substance to enhance or affect performance (Rule (A)27). In addition, the horse will be suspended from racing for a period of time to be determined by the Disciplinary Panel, which would be backdated to the date of administration with any results received from that date onwards being disqualified.

If a hair sample evidences an administration that has occurred before the horse became subject to the BHA's jurisdiction (e.g. when the horse was based in another country), then it is unlikely the BHA will take against the individual responsible for the horse. For example, if a hair sample collected in October 2015 tests positive for an anabolic steroid, but further investigations identify it was administered in October 2014 whilst the horse was in another jurisdiction, then no action will be taken against the October 2015 trainer. In addition, no action will be taken against the horse (i.e. no stand down period or suspension will be applied). However, BHA may pass the test results to the relevant racing authority for their consideration.

However, if the administration was after the effective date of the new Rules (2 March 2015), the horse would not be permitted to race in Britain, either as a permanent import, or as an international runner, for 14 months from the date of the administration.

Substance administered on or after 2 March 2015

If a hair sample tests positive and the investigation identifies that the administration was after 2 March 2015, then the BHA will pursue the Responsible Person who had responsibility at the time of



the administration for a breach of the Rules. The BHA will not pursue the current Responsible Person if the horse has changed hands (e.g. new trainer, new owner, etc).

However, the horse will be suspended from racing, stood down from training, and results be disqualified (in total to cover 14 months from the date of the breach).

Horses intended for permanent import or to race in Great Britain

A positive result in respect of a hair sample taken from a horse intended for permanent import or for racing in Great Britain will only have effect where that positive result evidences the use from 2 March 2015 onwards of a substance or method prohibited at all times. In such a case, the horse will not be permitted to be trained or race in Great Britain as intended. The BHA will also consider whether any further action is warranted as a result of the analysis. This could include, at a minimum, whether to prevent the horse from racing in Great Britain for up to 14 months, and may also result in the BHA sharing the results with the horse's racing authority.

What happens if a urine or blood sample tests positive for a substance which is prohibited at all times?

If a sample (other than a hair sample) taken as part of the BHA's domestic testing programme tests positive for a substance which is prohibited at all times, the BHA will provisionally suspend the horse from participating in races run under the BHA's Rules, pending a full hearing. The person responsible for the horse may also be provisionally suspended.

The BHA will carry out an investigation into the circumstances of the positive test, including interviewing the Responsible Person and any other relevant individuals (e.g. stable staff, veterinary surgeons). If it appears to the BHA that there has been a violation of the Equine Anti-Doping Rules, the BHA will charge the Responsible Person (and any others who appear to have committed a violation). The case will be considered by the Disciplinary Panel and the individual will have the opportunity to present their case.

The Responsible Person will have the opportunity to have the B-sample analysed to confirm the finding. Details on this process will be provided at the time of notification of the result, and can be found at Schedule (G)4.

Those procedures above (e.g. investigation, B-sample analysis and a provisional suspension of the horse) are the same as per the previous policy.

If, following a hearing, the Disciplinary Panel find that a breach of the Equine Anti-Doping Rules has been committed, they will extend the provisional suspension above in relation to the horse so that it lasts for a combined total of 14 months. The horse will not be able to enter training until two months prior to the end of this 14 month period.

Any results obtained by the horse in races from the date on which the positive sample was collected (including the race in which it ran on the day the sample was collected) up until the commencement of any provisional suspension period shall also be disqualified (the prize money will not be paid out, or where already paid it must be returned). Credit will be received for this period of time, so that the horse is only suspended and/or disqualified from racing for a total combined period of 14 months.

A disqualification normally between one and 10 years, with an entry point of two years, will also be imposed on the person charged unless they can demonstrate:

1. that the substance was not administered intentionally by any person (whether or not connected to the Responsible Person in any way) AND
2. that they took all reasonable precautions to avoid a breach of the Rules.



If a urine or blood sample taken on or after 2 March 2015 from a horse intended for permanent import or to race in Great Britain tests positive for a substance which is prohibited at all times, the horse will not be permitted to be trained or race in Great Britain as intended. The BHA will also consider whether any further action is warranted as a result of the analysis. This could include, at a minimum, whether to prevent the horse from racing in Great Britain for up to 14 months, and may also result in the BHA sharing the results with the horse's racing authority.

What steps can I take to assure myself that horses I take responsibility for are free from anabolic steroids when they come into my yard or I purchase them?

There is a perceived risk that because historic administration of anabolic steroids can be identified through hair testing of horses in your care or control, this would leave you exposed to disciplinary proceedings, even though the horse was with a different owner or trainer at the time of the administration. You can be assured this is not the case.

Whilst hair testing does have a longer detection window for anabolic steroids, the way the BHA proposes to deal with any positive hair tests provides protection to those individuals who are responsible for the horse at the time of a positive hair test. Please see FAQ "[What happens if a hair sample tests positive for a substance banned at all times?](#)" for details of this.

At this stage, there is no facility for trainers or owners to request sampling to provide assurance that a horse is clear before they take on or purchase a horse. However, we are looking at this as a priority, with a view to implementing such a system in the next few weeks.

However, you should be aware that if a historic breach of the Rules is identified by hair testing, and which is supported by further scientific or other evidence to demonstrate the date of administration, the horse may be suspended from racing, stood down from training, and results be disqualified (in total to cover 14 months from the date of the breach).

For example, on 1 December 2015 it is established a horse was administered an anabolic steroid six months ago, on 1 June 2015. You have had this horse in your yard for two months since 1 October, during which time the horse has raced twice, winning once. It will be disqualified from any races run from 1 June to 1 December, and all prize money must be returned (including that from the win it had for you). In addition to that six months' disqualification, it will be suspended from racing for a further eight months (making the full 14 months). It will also have to be removed from training, and from any licensed trainer's yard, for the following six months, being allowed to return to training for two months before it becomes re-eligible to race. The Responsible Person at the time of the administration will also be pursued through the BHA's disciplinary proceedings.

Irrespective of the fact that you yourself won't be held responsible for these historic administrations, we recognise the impact on you, and your or your trainer's yard, if it were to become apparent that one of your horses had been administered an anabolic steroid after 2 March 2015 (or prior to that if in breach of the Rules in force at that time). Therefore, the following are some practical steps you can take to help you manage risk in respect of horses entering your yard or horses you are purchasing:

- you should make inquiries of the vendor or previous trainer in relation to previous treatments given to the horse, including any administration of anabolic steroids. The vendor or previous trainer may provide you with access to veterinary records;
- you should keep accurate records of the sale, including vendor, date, previous location, or if it is being sold in the sales, the lot number and the consignor's details.

In respect of horses in your care or control, the only violations that you as a trainer or owner will be responsible for are:

- positive tests from samples taken whilst you are the Responsible Person (raceday or out-of-competition) (predominantly this will be urine or blood samples, but specifically does not include a positive hair sample);



- the use of prohibited substances at a time when you are the Responsible Person (this may be established by a positive hair sample and/or other evidence);
- refusal, failure to comply or evasion of sample collection (by you or any persons with custody of the horse) at a time when you are the Responsible Person;
- tampering with the sample collection or other anti-doping procedures;
- administration or attempted administration;
- possession;
- trafficking or attempted trafficking;
- failure to comply with whereabouts provisions three times in 12 months;
- complicity in another person's commission of a violation.

As long as you and those to whom you entrust care of the horse are not administering prohibited substances or methods to horses, you comply with requests from BHA staff to have the horse samples, provide us with accurate information on a horse's whereabouts, have no dealings whatsoever with prohibited substances, and you don't assist, cover up or are otherwise involved in other equine anti-doping rule violations, you won't be prosecuted for any rule breaches.

Do I have to pay for the testing analysis for my international runner or a horse I am permanently importing into Great Britain?

The BHA will pay for the costs associated with the sample collection and analysis for international runners. For horses being permanently imported to Great Britain, the sample collection and analysis costs are the responsibility of the importer.

What do I do if my veterinary surgeon advises me my horse needs a substance or method which is prohibited at all times?

If you intend for the horse to continue racing, the treatment must not be given. This is excepting the following substances and methods, which, whilst listed as prohibited at all times, are permitted when administered in specific circumstances on the advice of a veterinary surgeon.

Substances:

- Beta-2 agonists, when prescribed in an appropriate dosage as a bronchodilator; and
- Oxytocin use in fillies and mares in breeding management or to block oestrus cycling
- Synthetic proteins and peptides and synthetic analogues of endogenous proteins and peptides registered for veterinary or medical use.

Methods:

- Manipulation of blood or blood components when used for life-saving purposes or as veterinary regenerative therapies for the treatment of musculoskeletal injury or disease.
- Blood transfusions are permitted for therapeutic purposes
- Gene therapy is only permitted where approved by the BHA – please contact the BHA if your veterinary surgeon suggests any such therapy;
- Modified haemoglobin products where they are licensed veterinary treatments used in situations of acute, life-threatening anaemia.

Veterinary surgeons must not advise that a horse should be administered any other substance or method which is prohibited at all times whilst the horse in question remains subject to the Equine Anti-Doping Rules. If the veterinary surgeon does advise any such treatment, and/or actually completes the administration, the BHA will consider whether the veterinary surgeon has also breached any Equine Anti-Doping Rules.

However, this is in no way intended to override the primary welfare concerns of the horse. In the incredibly rare scenario where the administration of certain substances or methods which are not covered by the above exemptions is absolutely essential to the horse's wellbeing then the horse should always come first. The consequence of this will be that the horse is suspended from racing for 14 months in Great Britain, but this should not override the health and welfare of the animal.



If I am aware that my horse has been administered with anabolic steroids prior to March 2015 do I need to declare this?

If your horse has received anabolic steroids or other prohibited substances for legitimate therapeutic reasons and at a time, and in circumstances, when that was not a breach of the rules, you are encouraged to notify the BHA.

In addition, all participants are expected to report instances of possible breaches of the Rules of Racing whenever they occur.

What protections are in place at the sales to provide assurance to purchasers that horses have not been administered anabolic steroids?

Each sales house has their own conditions of sale, which should be discussed directly with the relevant sales house.

These may include the option for a sample to be taken at the fall of the hammer and analysed for anabolic steroids (as well as other substances), with any horses that test positive becoming returnable at the option of the purchaser.

At the current time, these will not be to the same standards as the BHA's testing, and therefore this testing is not a guarantee that the horse will pass any testing by the BHA, or that it won't subsequently be found to have been administered an anabolic steroid. However, it does provide the purchaser with some level of protection.

The BHA has had constructive discussions with some British sales houses with regards to implementing sales house testing that can be conducted to the BHA's standards. We will continue those discussions with a view to getting to a position that offers the purchaser greater assurances around the product they are buying. We are hoping this can be implemented during the course of 2015. We also expect that the market will develop and adapt such that vendors provide guarantees to purchasers with regard to their consignments being free of anabolic steroids.

In the meantime, the BHA is intending to have other elective testing available outside of the sales house environment, which both vendors and purchasers will be able to take advantage of, if they wish to provide, or seek, assurance the horse they are selling, or purchasing, is free from anabolic steroids. This is being addressed as a matter of priority, with a view to implementing it in the next few weeks.

What steps do I have to take after purchasing a horse at the sales that has come from overseas?

This depends on where the horse has come from.

For horses from France, Germany or Ireland, an application to register the horse's name must be made with Weatherbys. That application will only be approved once the horse's export certificate has been received at the General Stud Book, and this must be received within 90 days of the horse's arrival in Great Britain. You should contact the originating Stud Book as soon as possible to arrange for the transfer of the Export Certificate. As part of our discussions with sales houses, we will explore the opportunities for the catalogue to identify if the horse is already satisfied the requirements for registration with the BHA. Before the export certificate is received, the horse can run as an international runner provided the existing requirements for an international runner have been met (i.e. a racing clearance notification has been received by Weatherbys, or the horse's passport has been endorsed by the horse's recognised racing authority).

For horses from all other countries, an application to register the horse's name must be made with Weatherbys. That application will only be approved after the following: (1) the horse must be sampled and the results must show no evidence of presence in urine or blood of substances which are prohibited at all times, nor any other evidence of use from 2 March 2015 onwards of a



substance or method which is prohibited at all times; and (2) the export certificate must be lodged with the General Stud Book within 90 days of arrival.

Currently, the sample collection and analysis has to be done in Great Britain, although we are working on solutions that will allow for collection and analysis to be completed overseas prior to import. It is possible that this will initially be implemented in respect of sample collection only, with samples being shipped to Great Britain for analysis at LGC, Newmarket.

Until such time as this is in place, in order to facilitate testing in Great Britain post-arrival, you are required to notify the BHA of the horse's location so that we can collect a sample. This has to be done within seven days of the horse's arrival in Great Britain. Therefore, you should make enquiries at the time of the sale to identify when the horse arrived in Great Britain so that you can ensure either that steps have already been taken to provide whereabouts if the horse has been here for longer than seven days, or that you can take the necessary steps to provide these whereabouts.

Once the whereabouts are received by the BHA, we will arrange for a sample to be collected and sent for analysis. This is to be done at your cost. It is unlikely this is something a consignor will be expecting to cover.

You should also be aware that any testing offered by the sales house will not, at this stage, be sufficient to meet these requirements. You may still wish to get that testing done, because a positive test will allow for the horse to be returnable.

You should also contact the horse's originating Stud Book as soon as possible to arrange for the transfer of the Export Certificate.

Can I get my horse tested before it travels to Great Britain to race or to be permanently imported?

Not at the present time, although the BHA is working with overseas jurisdictions to develop criteria for approval of laboratories, and to approve sample collection procedures.

We recognise the importance of this and are working on this as a matter of priority.