

New Zealand Thoroughbred Racing (NZTR)

Suitability Policy

Issued by: New Zealand Thoroughbred Racing

Date Issued: 1 February 2024

Review: Three years following commencement

1.0 APPLICANTS MUST BE SUITABLE PEOPLE TO HOLD A LICENCE

In order to be issued with and to retain a Licence under the Rules, an applicant must satisfy NZTR that they are Suitable to hold a Licence.

Consideration as to whether a person is Suitable must have regard to the responsibility, roles and obligations of the Licence sought.

In some cases, a single factor may lead to the conclusion that an applicant is not Suitable, whereas in other cases the determination of whether someone is not Suitable may depend on the cumulative assessment of a number of matters.

A person may not be Suitable merely because they are not prohibited from holding a licence under the Rules.

2.0 SUITABILITY CRITERIA

The criteria which will be considered by NZTR when assessing suitability include (but are not limited to):

- (a) Whether the applicant has ever been convicted of any criminal offence (in New Zealand or any foreign jurisdiction);
- (b) Whether the applicant is or has been the subject of any proceedings of a criminal nature (in New Zealand or any foreign jurisdiction);
- (c) Whether the applicant has any history or past conduct relating to animal welfare;
- (d) Whether the applicant is currently on parole, bail or serving another custodial or non-custodial sentence;
- (e) Whether there have been any adverse findings against the applicant by a judge or regulatory agency in relation to the applicant's adherence to applicable health and safety and/or employment standards;

- (f) Whether the applicant has been the subject of any adverse finding by a judge in any civil proceedings, or has settled civil proceedings brought against him/her relating to any matter which could reasonably be said to materially affect his/her suitability to hold a licence or registration;
- (g) The applicant's conduct or behaviour on social media;
- (h) The applicant's record of compliance with the regulatory requirements of NZTR, of any other horseracing jurisdiction, or of any other sport in which he/she has participated or has otherwise been involved;
- (i) Whether the applicant has been candid, open and truthful in all of his/her dealings with NZTR or any other horseracing jurisdiction in relation to present or relevant past licence/registration applications;
- (j) Whether or not the applicant has been dismissed from any previous employment or position of trust or has been asked to resign or resigned on grounds connected with his/her honesty or integrity;
- (k) Whether an applicant has been dismissed or suspended from employment for drug, alcohol or behavioural acts/offences;
- (l) Whether the applicant has any adverse history in respect of bullying, harassment, or sexual harassment;
- (m) Whether the applicant has or had lifestyle or social issues, which are likely to:
 - (i) significantly impair his/her ability to safeguard the welfare of any horse or meet the regulatory requirements of NZTR; or
 - (ii) render the applicant a threat to the health, welfare or safety of others involved in horseracing, or to the integrity of the sport.
- (n) Whether the applicant has engaged in conduct or there are circumstances which may render the applicant susceptible to pressure from persons seeking to corrupt horseracing and whether the applicant is likely to or may engage in such conduct, including the persons with which the applicant associates;
- (o) Whether the applicant has observed and adhered to NZTR's Code of Conduct; and
- (p) Whether the applicant has ever been disrespectful, rude or otherwise engaged in poor behaviour to officials, stewards or employees of NZTR or any other sporting body.
- (q) If the applicant will be responsible for the care or welfare of a horse, whether the applicant is financially sound and has any history of failing to meet their financial commitments.
- (r) Whether there have been any adverse findings against the applicant by a judge or regulatory agency in relation to the applicant's honesty, integrity or behaviour.