



Application to UPGRADE Existing Trainer Licence

Upon submission, your Application will be reviewed within ten (10) working days. You will then be advised by Email.

STEP 1 TRAINER LICENSING POLICY:

The Trainer Licensing Policy, located on the Racing Victoria Website www.rv.racing.com (Under *Quick Links, Licensing Forms* on the home page) and Racing Australia's Website www.racingaustralia.horse explains the requirements for the granting of a trainer's licence and furthermore, the conditions with which a licence is held on an annual basis. You must familiarise yourself with this Policy prior to progressing.

YES
(Tick)

Yes, I declare that I have read the **Trainer Licensing Policy**.

STEP 2 PERSONAL DETAILS:

Title:	First Name:	Surname:	D.O.B.:
Residential Address:			Post Code:
Postal Address (<u>Only</u> if differs from above residential address):			Post Code:
Phone:	Fax:		
Mobile (<u>Mandatory Field</u>):	Email (<u>Mandatory Field</u>):		
WorkCover Insurance Policy Number: (Tick N/A if not applicable)	N/A	or	Policy Number
If you expect to pay more than \$7,500 a financial year in rateable remuneration, or if you have any apprentices or trainees, you must take out WorkCover insurance. This applies even if you are a small company with only one worker. For information, contact WorkSafe Victoria: www.worksafe.vic.gov.au			
Full Stable Address (Location of horses):			
Please circle: I <input type="radio"/> own or <input type="radio"/> *rent the above stable address			
If *renting , provide the full name of the property owner:			Property Owner

STEP 3 CATEGORY OF UPGRADE:

Please specify the type of trainer licence for which you are applying. Note the minimum experience required (tick):

TICK

From GENERAL to GENERAL A Trainer

(Must satisfy criteria 1 or 2 in conjunction with 3 below):

1. hold, or previously have held (with a PRA), an Unrestricted ('A' or 'Metropolitan') Thoroughbred Trainer licence (or its equivalent) (the A Licence):
 - (a) for a minimum of five (5) years; and
 - (b) held the A Licence no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; and
 - (c) held the A Licence for a total of at least one (1) year in the five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
2. hold, or previously have held (with a PRA), an Unrestricted Thoroughbred Trainer licence (or its equivalent) (the Unrestricted Licence):
 - (a) for a minimum of ten (10) years; and
 - (b) held the Unrestricted Licence no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; and
 - (c) held the Unrestricted Licence for a total of at least two (2) year in the five (5) years from the date that any (full) Application is submitted to Racing Victoria; **and**
3. Satisfies Racing Victoria of his or her "Training Record" whilst licensed as a Trainer (Disciplinary Record and number of starters (and winners or placings) in Group One races to be assessed by Racing Victoria).

TICK

From RESTRICTED to GENERAL Trainer

(Must satisfy either of criteria 1, 2, 3 or 4 in conjunction with 5 below):

1. hold, or previously have held (with a PRA), an Unrestricted ('A' or 'Metropolitan') Thoroughbred Trainer licence (or its equivalent) for a minimum of one (1) year, and been licensed as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
2. hold, or previously have held (with a PRA), an Unrestricted Thoroughbred Trainer licence (or its equivalent) for a minimum of three (3) years, and been licensed as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
3. hold, or previously have held (with a PRA), a restricted, professional Thoroughbred Trainer licence (or its equivalent) for a minimum of six (6) years and been licensed as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
4. hold, or previously have held (with a PRA), a Thoroughbred Assistant Trainer registration (and employment) for a minimum of ten (10) years in a full-time capacity, or for a minimum of fifteen (15) years in a part-time capacity with an Unrestricted ('A' or 'Metropolitan') Thoroughbred Trainer (or its equivalent) and been registered as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria (Evidence of actual paid employment is required, such as pay slips and contracts); **and**
5. Satisfies Racing Victoria of his or her "Training Record" whilst licensed as a Trainer (Disciplinary Record and number of starters (and winners or placings) in Metropolitan races to be assessed by Racing Victoria).

TICK

From PRE-TRAINER to RESTRICTED Trainer

(Must satisfy either of criteria 1, 2 or 3 below or criteria 4 (including 4(a) or 4(b) in conjunction with point 4):

1. hold, or previously have held (with a PRA), an Unrestricted Thoroughbred Trainer licence (or its equivalent) for a minimum of one (1) year, and been licensed as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
2. hold, or previously have held (with a PRA), a restricted, professional Thoroughbred Trainer licence (or its equivalent) for a minimum of three (3) years and been licensed as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
3. hold, or previously have held (with a PRA), a Jockey licence (other than an Apprentice) issued by Racing Victoria or an Equine Trainer licence (other than a Thoroughbred), for a minimum of five (5) years and been licensed as such no later than five (5) years from the date that any (full) Application is submitted to Racing Victoria; or
4. hold, or previously have held (with a PRA), a Thoroughbred Assistant Trainer registration (and employment) for a minimum of one (1) year in a full-time capacity, or for a minimum of two (2) years in a part-time capacity with an Unrestricted Thoroughbred Trainer (or its equivalent) and been registered as such no later than three (3) years from the date that any (full) Application is submitted to Racing Victoria (Evidence of actual paid employment is required, such as pay slips and contracts); **and either of the following (in conjunction with point (4):**
 - (a) hold, or previously have held (with a PRA), an Equine Stablehand or Foreperson registration (and employment), or Jockey licence (issued by other than Racing Victoria) for a minimum of five (5) years in a full-time capacity, or for a minimum of ten (10) years in a part-time capacity and been registered as such no later than two (2) years from the date that any (full) Application is submitted to Racing Victoria (Evidence of actual paid employment is required, such as pay slips and contracts); or
 - (b) hold, or previously have held (with a PRA), an Equine Assistant Trainer registration (and employment) for a minimum of three (3) years in a full-time capacity, or for a minimum of six (6) years in a part-time capacity and been registered as such no later than two (2) years from the date that any (full) Application is submitted to Racing Victoria (Evidence of actual paid employment is required, such as pay slips and contracts).



STEP 4 CHECK LIST FOR UPGRADE:

- Denotes, required for submission

	From: General To: General A	From: Restricted To: General	From: Pre-Trainer To: Restricted
1. Read the Trainer Licensing Policy	•	•	•
2. Read the Rules of Racing relating to Trainers	•	•	•
3. Complete the 'Application to Upgrade an Existing Trainer Licence' Form	•	•	•
4. Qualification: Certificate IV of Racing (Thoroughbred Trainer)			•
5. Owner References		•	•
6. Client References			•
7. Contracts & Agreements			•
8. Debt Recovery Plan			•
9. National Police Record Certificate (Within 6 months of Application to Upgrade)	•	•	•
10. Credit References		•	•
11. Bank Account Statements	•	•	•
12. Profit & Loss Budget			•
13. Accountant Reference (Statutory Declaration)	•	•	•
14. Business Plan			•
15. Stable Inspection			•
16. Telephone Interview			•

STEP 5 ATTACHMENTS:

Please attach the following information to this application and tick the box to confirm its inclusion:
(Failure to submit the below information will result in a delay with the application review process)

9.A QUALIFICATION

Only required for: Restricted Trainer applicants.

Prior to considering an application for the grant of a Restricted Trainer licence, you must provide evidence of completing the relevant TAFE qualification as outlined below:

TICK

Yes, I have attached a Statement of Results as evidence of completing the **Certificate IV of Racing, Thoroughbred Trainer** (Minimum requirement for a Restricted Trainer).

9.B OWNER REFERENCES

Only required for: General and Restricted Trainer applicants.

Submit a minimum of three (3) signed owner references from prospective owners, *dated within six (6) months of the date that this application is received by Racing Victoria.*

TICK

Yes, I have attached a minimum of three (3) **signed owner references** from prospective owners, *dated within six (6) months of the date that this application has been submitted to Racing Victoria.* Prospective owner references state how the prospective owner(s) will support me such as, but not limited to, the following information:

- I. If named, the name of the horse(s) that the owner intends to transfer to me if granted a licence;
 - II. If not named, the breeding (Sire x Dam) of the horse(s) that the owner intends to transfer to me.
-

9.C CLIENT REFERENCES

Only required for: Restricted Trainer applicants.

Submit a minimum of three (3) signed client references from existing clients, *dated within six (6) months of the date that this application is received by Racing Victoria.*

TICK

Yes, I have attached a minimum of three (3) **signed client references** from existing clients, *dated within six (6) months of the date that this application has been submitted to Racing Victoria.* Existing client references confirm that he or she has sent horses to me to be pre-trained (and/or broken-in). These references include, but are not limited to, the following information:

- III. If named, the name of the horse(s) that the client(s) has sent me to pre-train/break-in;
 - IV. If not named, the breeding (Sire x Dam) of the horse(s) that the client(s) has sent me to pre-train/break-in.
-

9.D CONTRACTS AND AGREEMENTS

Only required for: Restricted Trainer applicants.

Submit a copy of the contract that you intend to have signed by owners. For assistance in creating an owner contract template, contact the Australian Trainers' Association on 03 9372 1688 or ata@austrainers.com.au:

TICK

Yes, I have attached a copy of the contract that I intend to have signed by owners.

9.E DEBT RECOVERY PLAN

Only required for: Restricted Trainer applicants.

Submit a copy of the debt recovery plan that you intend to action if/when recovering overdue client payments. A debt recovery plan can help in recovering overdue training fees and can increase your cash flow by recovering overdue client payments.

For assistance in establishing a debt recovery plan, go to www.business.vic.gov.au:

TICK

Yes, I have attached a copy of the debt recovery plan that I intend to action if required.

9.F NATIONAL POLICE RECORD CERTIFICATE

You are required to complete a National Police Record Check. To ensure a quick turnaround time, submit your police check request via Precise Background Services at www.precisebackground.com Precise Background Services will be able to conduct the required police check and provide the results to you.

TICK

Yes, I have attached my **National Police Record Certificate**, dated within six (6) months of the date that this application has been submitted to Racing Australia..

9.G CREDIT REFERENCES

Only required for: General and Restricted Trainer applicants.

Submit a minimum three (3) signed credit references from industry suppliers (such as a Vet, Farrier or Feed supplier):

TICK

Yes, I have attached a minimum of three (3) **signed credit references from industry suppliers** (such as a Vet, Farrier or Feed supplier), dated within six (6) months of the date that this application has been submitted to Racing Victoria.

The industry supplier references include (but are not limited to) the following information:

- I. That I hold an account with the supplier;
- II. That my accounts are paid promptly;
- III. That, presently, my accounts are up to date.

Typically, a credit reference is structured as follows;

"I [name of industry supplier] declare that my client [your name] has held an account with [business name of industry supplier] for approximately [period of time account held]. Furthermore, I declare that all accounts are paid promptly, and presently the account is settled".

9.H BANK ACCOUNTS STATEMENTS

Please submit bank account statements in your name for the preceding six (6) month period:

TICK

Yes, I have attached **bank account statements in my name** for the preceding six (6) month period from the date that my application has been submitted to Racing Victoria.

Generally, it is expected that you can show a consistent bank balance throughout the six (6) month period as evidence that you have the necessary funds to settle accounts as and when they fall due, such as emergency horse surgery.

Importantly, the onus is on you as the applicant to satisfy Racing Victoria that you have the necessary funds to settle any account as and when it falls due.

9.I PROFIT AND LOSS BUDGET

Only required for: Restricted Trainer applicants.

Submit a detailed Profit and Loss Budget for the forwarding 12 months:

TICK

Yes, I have attached a detailed **Profit and Loss Budget for the forwarding 12 months**, from the date that my application has been submitted to Racing Victoria.

It is recommended that you seek advice from a Chartered or Certified Practising Accountant to assist you in preparing this budget.

A Profit and Loss Budget should include (but not be limited to) all projected personal income/expenses for the next 12 months and all projected horse-related income/expenses for the next 12 months. An example is as follows:

	A	B	C	D	E	F
1	Profit & Loss Projection					
2	Period: 1 Jan to 31 Dec					
3	<i>*Based on 5 horses in your care, each owned by paying clients (guide only)</i>					
4						
5	Income	Description	Item per day	Days	Monthly Total	Yearly Total
6	Horse 1	Agistment	\$25.00	30 days	\$750.00	\$9,000.00
7	Horse 2	Pre-Training	\$70.00	30 days	\$2,100.00	\$25,200.00
8	Horse 3	Training (Racing preparation)	\$90.00	30 days	\$2,700.00	\$32,400.00
9	Horse 4	Training (Racing preparation)	\$90.00	30 days	\$2,700.00	\$32,400.00
10	Horse 5	Training (Racing preparation)	\$90.00	30 days	\$2,700.00	\$32,400.00
11	In Racing	Prizemoney 10%	\$7.50	30 days	\$225.00	\$2,700.00
12						
13	TOTAL INCOME		\$ 372.50		\$ 11,175.00	\$ 134,100.00
14						
15	Expenses	Description	Item per day	Days	Monthly Total	Yearly Total
16	Personal	Rent (Home/Stable)	\$45.00	30 days	\$1,350.00	\$16,200.00
17		Food	\$15.00	30 days	\$450.00	\$5,400.00
18		Petrol	\$10.00	30 days	\$300.00	\$3,600.00
19		Entertainment	\$20.00	30 days	\$600.00	\$7,200.00
20		Utilities (Electricity, Gas, Water)	\$5.00	30 days	\$150.00	\$1,800.00
21		Telephone	\$5.00	30 days	\$150.00	\$1,800.00
22		Insurance	\$3.00	30 days	\$90.00	\$1,080.00
23						
24	Horse-related	Feed	\$40.00	30 days	\$1,200.00	\$14,400.00
25		Bedding	\$15.00	30 days	\$450.00	\$5,400.00
26		Gear	\$10.00	30 days	\$300.00	\$3,600.00
27		Veterinary	\$25.00	30 days	\$750.00	\$9,000.00
28		Farrier	\$8.00	30 days	\$240.00	\$2,880.00
29		Chiropractor	\$8.00	30 days	\$240.00	\$2,880.00
30		Dentist	\$5.50	30 days	\$165.00	\$1,980.00
31		Staff (1 x Casual)	\$45.00	30 days	\$1,350.00	\$16,200.00
32		Staff (1 x Track Rider)	\$30.00	30 days	\$900.00	\$10,800.00
33		Office	\$2.00	30 days	\$60.00	\$720.00
34		10% Contingency	\$29.15	30 days	\$874.50	\$10,494.00
35						
36	TOTAL EXPENSES		\$ 320.65		\$ 9,619.50	\$ 115,434.00
37						
38	NET PROFIT		\$ 51.85		\$ 7,819.50	\$ 18,666.00

9.J ACCOUNTANT REFERENCE (STEP 6)

Please ensure that a Certified Practising Accountant (CPA) or Chartered Accountant (CA) completes the 'Accountant Reference' enclosed within Step 6 of this application form:

TICK

Yes, I have attached the 'Accountant Reference' enclosed within Step 6 of this application form, which has been completed by a CPA or CA.



STEP 6 ACCOUNTANT REFERENCE (Refer Step 9.J on page 5 of this Application Form):

State of Victoria
Statutory Declaration

(This reference must be completed by a Certified Practising Accountant or Chartered Accountant)

I, _____
[full name of Accountant]

of _____
[address of Accountant]

_____, do solemnly and sincerely declare that:-
[occupation, e.g. CPA or CA]

I have specifically viewed and assessed the following financial documents supplied by the Applicant

[insert name of Applicant]:

- (a) the Applicant's bank account statements for the preceding six (6) month period;
- (b) documentation relating to outstanding mortgages or loans taken out by the Applicant;
- (c) evidence of assets owned by the Applicant (such as car, property or horse float);
- (d) the Applicant's tax return for the most recent financial year of which the tax return is required by law;
- (e) a statutory declaration made by the Applicant stating that he/she has adequate assets and income to ensure that he/she can settle any debts as and when they fall due.

Having regard to the above financial information supplied by the Applicant, I have formed the assessment that the Applicant has sufficient financial resources and capacity to train racehorses.

I acknowledge that this declaration is true and correct, and I make it with the understanding and belief that a person who makes a false declaration is liable to the penalties of perjury.

Declared at _____

this _____ day of _____ 20_____

Signature and business stamp of accountant
making this declaration

[to be signed in front of an authorised witness]

Before me,

.....
Signature of Authorised Witness

The authorised witness must print or stamp his or her name, address and title under section 107A of the *Evidence (Miscellaneous Provisions) Act 1958* (as of 1 January 2010), (previously *Evidence Act 1958*), (e.g. Justice of the Peace, Pharmacist, Police Officer, Court Registrar, Bank Manager, Medical Practitioner, Dentist)

STEP 7 ATTACH A DETAILED BUSINESS PLAN:



BUSINESS PLAN

Only required for: Restricted Trainer applicants.

Please attach a detailed business plan in support of your application:

TICK

Yes, I have attached a detailed business plan in support of my application.

Business planning can assist you in increasing the chance of securing finance with a bank, or in growing your business to obtain that competitive advantage. The planning process is essential for your business of training racehorses (even if you intend to perform as a hobbyist) as it will assist in determining *what* goals and objectives you're aiming to achieve and *how* to reach these goals and objectives.

Specifically, a three (3) to five (5) year business plan is required. It should represent a vision, strategy, marketing plan, and a finance budget.

What is a business plan?

A business plan is a formal statement of a set of business goals and objectives, the reasons they are believed attainable, and the plan for reaching those goals and objectives. It may also contain background information about your business/entity attempting to reach those goals and objectives.

Your business plan should feature the following information:

1. *Summary.* This is a brief statement of the overall proposal of the business plan.
2. *Business/Company Summary.* If applicable, include a copy of your ABN Certificate;
3. *Background.* How long has the Business/Company been established? Who has been involved?
4. *Services.* Do you intend to pre-train or prepare horses for racing only? Do you intend to train for non-family members?
5. *Strategy.* How do you intend to notify participants of your existence (Marketing Plan)?
6. *Start-up Objectives.* What are your short-term goals within 6 months?
7. *Long-term Objectives.* What are your long-term goals within 3 to 5 years?
8. *Financial Plan.* Start by including the Profit and Loss Budget within Step 12B of this application form.

Who can help me with a business plan?

Visit www.business.gov.au for assistance in writing a business plan.

You will find free planning tools, checklists and templates available to start the business planning process. The website includes information on assessing if you're ready to start a business and how to write a business and marketing plan.

"... Writing a good business plan can't guarantee success, but it can go a long way toward reducing the odds of failure..."

What if I only intend to trade as a hobbyist, do I still need to prepare a business plan?

Yes. However, there is **no need** to complete points two (2) and three (3) listed above. However the remained of the points must be addressed.

It can be difficult to determine whether your training activities constitute a hobby or a business. It's vital to understand and know the difference between the two because of the diverse tax, insurance, and legal implications. The simplest way to determine whether you're running a business or a hobby is to ask yourself the following questions:

- Are you commercially training (for non-family members)?
- Do you plan/intend to make a profit?
- Are you regularly and repetitively undertaking training (daily)?
- Is the training planned, organised and carried on in a business-like manner?

If you answer yes to the majority of the above questions, it would be reasonable to assume that you are operating a business. In this instance, running a business has some important taxation implications so please visit this Website for more information: www.ato.gov.au/Business/Starting-and-running-your-small-business

Also, you must apply for an Australian Business Number (ABN), and you may need to register for the Goods and Services Tax (GST). In addition, you should consider whether you need business insurance.



RETAIN THIS SECTION FOR YOUR RECORDS

WHAT HAPPENS NEXT?

STEP 8 YOU WILL BE CONTACTED:

Upon the submission of your application, we will contact you within ten (10) business days to outline to you whether your application is considered incomplete or whether your application is ready to progress to the next step, consideration by the Racing Victoria **Intelligence and Compliance Unit (ICU)** prior to the **Licensing Panel**.

In the event of an incomplete application, **you will be contacted via your email listed within Step 2 of this application form.**

STEP 9 TELEPHONE INTERVIEW:

Upon receipt of your completed application form (including additional information as requested), a telephone interview may be arranged.

During the telephone interview (if required), you will be asked to exhibit your knowledge relating to, but not limited to, the following areas:

- I. The Rules of Racing (relating to trainers);
- II. Raceday procedures;
- III. Standard Veterinary points;
- IV. The training schedule of the horse;
- V. The Class / Ratings structure of racing;
- VI. The process to nominate, weight (allocation), accept and lodge a rider;

It is strongly recommended that you familiarise yourself with the Rules of Racing (Rules) as your application cannot progress beyond the interview stage unless you show an above average understanding of these Rules. Importantly, you may be required to complete a written assessment relating to the Rules of Racing.

A copy of these Rules can be located via the Racing Victoria Website - www.rv.racing.com (Under *Racing And Integrity, Rules* at the top of the home page).

STEP 10 STABLE INSPECTION:

In addition to your telephone interview, your nominated stables may be inspected by a Steward. Aspects under review during this inspection may include:

- I. Location of property;
- II. Quality of stabling;
- III. Security of premises;
- IV. Feed and tack rooms set up;
- V. Safety of prohibited substances;
- VI. The condition of horses.

If the property in which your stables are located is not considered to be in a satisfactory condition by the Steward, your application cannot progress beyond this inspection. A practical assessment may also be undertaken.

STEP 11 LICENSING PANEL DECISION:

All applications are then summarised and placed before the Racing Victoria **Licensing Panel**, where each application is considered on an individual basis. The Panel meets monthly in the middle of each month (**excluding January**).

Based upon the information supplied, the Licensing Panel may:

- approve the licence application;
- offer a varied licence (vary an application offer);
- defer an application until further information is presented;
- request a further assessment on the Rules of Racing;
- refer an application to the Racing Victoria Board;
- deny a licence.
- request additional information or further clarification from the applicant regarding the application; or
- approve the application (pursuant to a delegation from the Racing Victoria Board).

STEP 12 RACING VICTORIA BOARD:

The Board of Racing Victoria meets monthly (**excluding January**). Where a decision is referred to the Board by the Licensing Panel, the Board will consider your application, along with any recommendation of the Licensing Panel. The Board may approve (including subject to conditions), vary, defer or deny licence applications.

STEP 13 NOTIFICATION:

You will be notified of the Board's decision **by email on the Monday immediately following the Board meeting**. In addition to this, an official notification letter will be emailed within five (5) working days of the Board meeting.

If your application is approved, a confirmation letter and invoice will be issued (being the difference between each category of licence). An application is not considered approved until the invoice is paid.

What if my application is denied?

If your application is denied, you have a Right of Review as follows -

Right of Review - In accordance with section 83Q of the *Racing Act 1958 (Vic)*, you may apply to the Victorian Administrative and Civil Tribunal (VCAT) for review of the Racing Victoria Board decision not to grant a licence. An application for review must be made within 28 days from the date of the Racing Victoria notification letter.

STEP 14 JUMP OUT OR OFFICIAL TRIAL for RESTRICTED Trainers

If you are granted a *Restricted* Trainer licence (upgrade from Pre-Trainer), once you have paid the pro-rata licence fee, your next step may be to present a runner in a Jump-out or Official Trial to the satisfaction of Racing Victoria Stewards *prior* to nominating horses for racing.

For these purposes, you will be required to fully tack your trial runner under the observance of the officiating Steward at all times. Furthermore, the horses' performance in the Jump-out or Official Trial will be assessed by the Steward.

HOW CAN YOU CONTACT US?

For any queries relating to this application or the Trainer Licensing Policy, please contact a friendly member of the Racing Australia Service Centre by telephone on 1800 954 143 or via email at licensing@racingaustralia.horse.