

U CODE OF CONDUCT FOR OFFICIALS

The ATP, the Grand Slam Tournaments, the ITF and the WTA as members of the Joint Certification Programme require a high standard of professionalism from all Certified Officials (National, Green, White, Bronze, Silver and Gold) and all other Officials, (together, “Officials”) working at ATP, Grand Slam, ITF and WTA events. All Officials are automatically bound by, and must comply with, this Code of Conduct for Officials (“Code”). The ATP, Grand Slam Board, ITF and WTA shall continue to have jurisdiction over a retired Official under the Code and, as applicable, ATP, Grand Slam, ITF and WTA Tournament Regulations and Codes of Conduct in respect of matters taking place prior to his/her retirement.

A) Required standards

1. Officials must be in satisfactory physical condition to enable them to carry out their duties.
2. Officials must have natural or corrected vision of 20-20 and normal hearing. In addition, International Chair Umpires (Bronze, Silver and Gold) must submit a completed eye test form each year to ITF Officiating and all other Certified Officials must submit a completed eye test form every three years to ITF Officiating.
3. Officials must be on time for all matches assigned to them.
4. Officials must understand, comply with and enforce the Rules of Tennis, the Duties and Procedures for Officials, all ATP, Grand Slam, ITF and WTA Tournament Regulations and Codes of Conduct for events at which they are officiating, the Tennis Anti-Corruption Program and all other policies applicable to Officials which may be introduced from time to time(including, but not limited to the Ban on Mobile Phone/Smart Watch Policy).
5. Officials must conduct themselves in a respectful manner towards other Officials, tournament personnel, spectators, players, player support personnel and any other person related to any tournament/event.
6. Officials should maintain a high level of personal hygiene and should maintain a professional appearance at all times.
7. Officials must not drink alcohol in the 12 hours prior to any match that they officiate, or at any time on-site while play is in progress, or while in uniform.
8. Officials must maintain complete impartiality with respect to all players at all times and must avoid any real or perceived conflicts of interest. Specifically, Officials shall not i) officiate in any match in which they have a real or perceived conflict of interest; or ii) socialise with or become intimate with players, or enter into any relationship (business, personal or otherwise) or take any action that may call into question their impartiality as an Official. For the avoidance of doubt and notwithstanding the above, Officials may attend social functions at which players are present and may stay in the same hotels as players but shall not share a hotel room with any player of any age. Officials must declare all conflicts of interest with ITF Officiating, which administers the Joint Certification Programme on behalf of all members of the Joint Certification Programme.

Note: Examples of conflicts of interest include but are not limited to being: a professional tennis player or a friend, relative or Player Support Team member of a

professional tennis player; a National Tennis Coach; a National Tennis Team Captain; a Tournament Director/Organiser; or an employee, consultant, contractor or business partner/associate for a company that has a commercial interest in tennis.

9. Officials must not discuss calls or decisions by other Officials with anyone except with those Officials directly, the Supervisor/Referee or the ATP, Grand Slam Tournaments, or ITF and WTA staff responsible for officiating.

10. Officials shall comply with the applicable criminal laws in all jurisdictions. For the avoidance of doubt, and without limiting the foregoing, this obligation is violated if an Official is convicted of or enters a plea of guilty or no contest to a criminal charge or indictment for any offence in any jurisdiction.

11. Officials are bound by and must be aware of their obligation under the Tennis Anti-Corruption Program, which includes completing the on-line Tennis Integrity Protection Programme, and reporting any corrupt approaches to the Tennis Integrity Unit.

12. Officials shall not talk to, or have conversations with, spectators while officiating a match, except as is necessary during the ordinary course of officiating a match.

13. Officials must not participate in any media interviews or meetings with journalists from which their statements relating to tennis officiating can be printed or broadcast, without the approval of the Supervisor/Referee.

14. Officials shall not make public comments or post anything on any social media channels, which unreasonably attack or disparage a tournament, player, other Officials or the ATP, Grand Slams, ITF and WTA, and which the Official knows, or should reasonably know, will harm the reputation or financial best interests of the tournament, player, other Officials or the ATP, Grand Slam, ITF and WTA, as applicable.

15. Officials shall not engage in unfair, unprofessional, discriminatory, criminal or unethical conduct, including but not limited to attempts to injure or intentionally interfere with other Officials, players, tournament personnel and public. All Officials must also set a good example in their conduct to other Officials.

16. Officials shall not engage in abusive conduct, either physical or verbal, or threatening conduct or language directed toward other Officials, players, player support personnel, tournament personnel, spectators or members of the press/media.

17. Officials shall not abuse their position of authority or control and shall not harm or jeopardise or otherwise attempt to harm and jeopardise the psychological, physical or emotional wellbeing of other Officials, players or tournament personnel.

18. Sexual advances or sexual harassment or abuse of any kind shall not be tolerated.

19. Officials must make all tournament-related requests to the Supervisor/Referee or Chief Umpire.

20. Officials shall commit to work at an event until released by the Supervisor/Referee. If an Official has accepted an assignment to officiate at an event, he/she shall not withdraw from that assignment prior to release by the Supervisor/Referee, without the permission of the ATP, Grand Slam Tournaments, ITF or WTA officiating representatives, as relevant Officiating Representative.

21. All Officials are under a continuing duty to disclose to the Joint Certification Programme any actual, suspected or alleged violations of the Code of which they are aware. Failure to so report is a violation of the Code.

22. Officials must act honestly at all times when officiating, and in all their dealings with the ATP, Grand Slam Tournaments, ITF, WTA, Tennis Integrity Unit and other

Officials. Officials must cooperate fully with any investigation under this Code, the ATP, Grand Slam, ITF and WTA Tournament Regulations and Codes of Conduct for events at which they are officiating, the Tennis Anti-Doping Programme and the Tennis Anti-Corruption Program. Further, Officials must not (i) provide any inaccurate information, (ii) omit any relevant information which is requested, or (iii) deliberately mislead or attempt to mislead such bodies, their staff or other Officials.

B) Investigation of alleged violations

1. Alleged violations of this Code that take place on-site at a tournament must be reported promptly to the Officiating Representative of the ATP, Grand Slam, ITF or WTA, as appropriate. The on-site Supervisor/Referee is responsible for determining whether to suspend or dismiss from that event the Official(s) subject to the alleged violation. Alleged violations taking place at other times must be reported in writing to ITF Officiating.

2. Upon the Officiating Representative becoming aware of a possible violation of this Code, he/she shall promptly review the matter and determine whether further investigation of the alleged violation is required. If so, the Officiating Representative shall investigate the alleged violation, which shall include written notice to the Official concerned of the alleged violation under investigation and giving the Official a minimum of ten (10) days to provide such information or evidence as requested by the Officiating Representative. If not, then the Officiating Representative shall proceed in accordance with section B)5.

3. Officiating Representatives are entitled, , to share information concerning an investigation with the Tennis Integrity Unit, any Tennis Organisations as relevant and law enforcement agencies. Investigations under this Code may be stayed pending completion of an investigation under the Tennis Anti-Corruption Program, the Tennis Anti-Doping Programme, the ATP, Grand Slam, ITF and WTA Tournaments as relevant or external law enforcement agencies. Such stay may be lifted at any time at the discretion of the Officiating Representatives. Any action (or failure to take action) by any such body shall be without prejudice to the Officiating Representatives powers to investigate and pursue alleged violations of this Code. For the avoidance of doubt, an alleged violation of the Tennis Anti-Corruption Program shall be investigated and handled by the Tennis Integrity Unit and enforced under the Tennis Anti-Corruption Program. An alleged violation of the Tennis Anti-Doping programme shall be investigated and handled by the ITF and enforced under the Tennis Anti-Doping Programme. An alleged violation of the ATP, Grand Slam, ITF and/or WTA Tournament Regulations and Codes of Conduct shall be investigated and handled by the ATP, Grand Slam, ITF and/or WTA as relevant.

4. All Officials have the duty to cooperate with investigations into an alleged violation under this Code (whether in relation to their conduct or another Official's), including providing documents and information as requested by the Officiating Representative, and appearing as a witness upon request by the Disciplinary Panel or Appeal Panel at any hearing held in accordance with this Code. Failure to do so may be considered a violation of this Code in its own right.

5. Upon completion of the investigation (if any), the Officiating Representative shall determine whether the Official concerned has a case to answer. If the Officiating

Representative determines that there is a case to answer, then the Officiating Representative shall send a written notice to the Official, with a copy to the Disciplinary Panel, setting out:

- a) the alleged violation and a summary of the facts on which the charge is based;
- b) the evidence upon which the Officiating Representative would seek to rely at a hearing before the Disciplinary Panel;
- c) the potential sanctions applicable;
- d) matters relating to provisional suspension described in section B)8; and
- e) the Official's entitlement to respond to the charge within 10 days of receipt of the notice in one of the following ways;
 - i. to admit the charge(s), and accede to the sanctions specified in the notice;
 - ii. to admit the charge(s), but to dispute and/or seek to mitigate the sanctions specified in the notice, and to have the Disciplinary Panel determine the sanctions at a hearing; or
 - iii. to deny the charge(s), and to have the Disciplinary Panel determine the charge and (if the charge is upheld) any sanctions, at a hearing.

Where the Officiating Representative determines that there is no case to answer under the Code, no further action will be taken against the Official concerned, who will be notified accordingly. A decision that there is no case to answer under the Code shall have no bearing on any investigation or proceeding under the Tennis Anti-Corruption Program, the Tennis Anti-Doping Programme, or the ATP, Grand Slam, ITF and/or WTA Tournament Regulations and Codes of Conduct as relevant.

6. In the event no response to a notice is received by the specified deadline, the Official will be deemed to have admitted the charge(s), and to have acceded to sanctions specified in the notice.

7. In the event that the Official wishes to exercise his/her right to a hearing before the Disciplinary Panel, then the Official must also state how he/she responds to the notice and explain (in summary form) the basis for such response.

8. The Officiating Representative may provisionally suspend an Official's certification with immediate effect at any point from receipt of an allegation of a breach of this Code up to the completion or closure of the case, where he/she considers, in his'/her's sole discretion, that the seriousness of the allegation and/or the evidence gathered in relation to that allegation merits such suspension. The Officiating Representative shall notify the Official concerned and the Disciplinary Panel of the provisional suspension. Within 10 days of receipt of a written notice of a provisional suspension, the Official may apply in writing to the Disciplinary Panel to have that provisional suspension vacated, stating the reason(s) for the application. The decision of the Disciplinary Panel on the application (if any) will be final and binding. All parties irrevocably waive any right to any form of appeal, review or recourse by or in any court of judicial authority in respect of such decision. Where a provisional suspension is not challenged by the Official or confirmed by the Disciplinary Panel, it shall be communicated by the Officiating Representative to those member National Associations and/or other Tennis Organisations as are deemed necessary for the purpose of enforcement.

C) Hearings before the Disciplinary Panel

1. The Disciplinary Panel shall have all such powers as are necessary to carry out its function efficiently and effectively. In particular it shall:

- a) issue such further directions as are necessary for the efficient conduct of the proceedings;
- b) take such legal and/or other professional advice it considers necessary;
- c) nominate such person as it considers appropriate to act as its secretary in the proceedings;
- d) not be bound by any formal rules as to admissibility of evidence; and
- e) shall ensure that the Official has a fair hearing.

2. The Officiating Representative shall provide the Disciplinary Panel with a copy of the evidence and submissions on which he/she and the Official concerned seeks to rely at the hearing.

3. The Disciplinary Panel shall determine whether a violation of this Code has occurred on the balance of probabilities. The Disciplinary Panel shall adjudicate the matter on the basis of written submissions except where the Official requests an in-person hearing. Such hearing may proceed by telephone conference or video conference at the discretion of the Disciplinary Panel.

4. In the event that an Official admits the charge(s) but disputes the sanctions specified in the notice or the Disciplinary Panel finds that a violation has occurred, the Disciplinary Panel shall determine the appropriate sanction(s) to be imposed on the Official. In determining the appropriate sanction(s), the Disciplinary Panel may consider all relevant factors, including but not limited to (a) submissions on behalf of the tennis organisation at whose event the alleged violation occurred; (b) the seriousness of the violation; (c) the effect on the integrity of the sport; (d) any submissions and evidence filed in mitigation or by way of aggravation; and (e) the period of any provisional suspension served.

5. The range of sanctions that may be imposed are at the sole discretion of the Officiating Representative and Disciplinary Panel and may include, but are not limited to: (a) reprimand and warning as to future conduct; (b) suspension of certification for a limited period; (c) permanent suspension of certification; and, in addition, (e) withdrawal of access to and accreditation for any tennis event organised, authorised or sanctioned by the ATP, Grand Slam Tournaments, ITF and WTA or by any National Association.

6. The Disciplinary Panel shall promptly issue its decision, with reasons, to the Official, the Officiating Representative, the Official's National Association, the Tennis Integrity Unit, and any other Tennis Organisation it considers appropriate. For the avoidance of doubt, nothing in this clause prevents the ATP, Grand Slam Tournaments, ITF or WTA (as appropriate) from publishing the outcome and/or the decision as it sees fit.

7. Any decision of the Disciplinary Panel imposed on the basis of a conviction of, or a plea of guilty or no contest to, a criminal charge or indictment for any offence in any jurisdiction as set out in clause A)10 of this Code shall be final and binding and not subject to appeal.

8. If the Official's certification is suspended at the time of the re-certification meeting of the relevant calendar year, prior to their certification being reinstated the Joint Certification Programme may at its discretion require the Official to submit any relevant

and supporting correspondence to be considered and reviewed by the Joint Certification Programme. The Joint Certification Programme shall be entitled to take into account the violation of this Code, as well as all other relevant factors when deciding **whether** the certification of the official **should be reinstated, demoted or withdrawn**.

D) Appeals

1. Subject to article C)7 above, a decision that a violation of this Code of Conduct has been committed may be appealed to the Appeal Panel within twenty-one (21) days from the date of notice of the Disciplinary Panel's decision.
2. The grounds of appeal available to an Official shall be limited to claims that the Disciplinary Panel:
 - a) failed to give the Official a fair hearing;
 - b) misinterpreted or failed to properly apply this Code; or
 - c) came to a decision which no reasonable body properly informed could have reached.
3. The notice of appeal, a copy of which must be sent to the Disciplinary Panel and the Officiating Representative, must include the grounds of appeal and explain the basis for the appeal.
4. The Disciplinary Panel shall provide the complete case file to the Appeal Panel promptly upon receipt of a notice of appeal. The relevant Officiating Representative shall submit a response to the appeal within fourteen (14) days from the date of receipt.
5. The Appeal Panel shall have all such powers as are necessary to carry out its function efficiently and effectively. In particular it shall:
 - a) issue such further directions as are necessary for the efficient conduct of the proceedings;
 - b) take such legal and/or other professional advice it considers necessary;
 - c) nominate such person as it considers appropriate to act as its secretary in the proceedings;
 - d) not be bound by any formal rules as to the admissibility of evidence; and
 - e) ensure that a fair hearing takes place.
6. The Appeal Panel shall proceed on the written submissions save where the Appeal Panel determines that an oral hearing is required to ensure fairness. Such oral hearing may proceed by telephone conference or video conference at the discretion of the Appeal Panel. Subject to further order, the Appeal Panel will announce its decision as soon as practicable following the hearing.
7. The Appeal Panel may affirm, reverse or modify (by the imposition of a lesser or more severe sanction(s)) the decision subject to appeal. The Appeal Panel shall promptly give written notice of the findings and any sanctions imposed to the parties. For the avoidance of doubt, nothing in this clause prevents the ATP, Grand Slam Board, ITF or WTA (as appropriate) from publishing the decision as it sees fit.
8. The decision of the Appeal Panel shall be final and binding and not subject to further challenge. All parties irrevocably waive any right to any form of appeal, review or recourse by or in any court of judicial authority in respect of such decision.

E) Miscellaneous

1. Except as set forth in Section X, any sanction imposed under this Code shall automatically be recognised and enforced by all National Associations and any other Tennis Organisation. 2. For the purpose of this Code:

- a) for cases involving National, Green and White Badge Officials, the Officiating Representative shall be the ITF Head of Officiating, the Disciplinary Panel will comprise the ITF Internal Adjudication Panel and the Appeal Panel will comprise the ITF Independent Tribunal. The rules of such panel and tribunal are hereby incorporated by reference and may be downloaded from www.itftennis.com. In the event of any conflict between those rules and the Code, the rules of the ITF Internal Adjudication Panel and ITF Independent Tribunal shall prevail over this Code of Conduct; and
- b) for cases involving Bronze, Silver and Gold Badge Officials, the relevant Officiating Representative shall be the nominated Officiating Representative of the ATP, Grand Slam Tournaments, ITF or WTA depending on the event at which the alleged violation occurred or if outside of an event such Officiating Representative as is agreed by a majority of the nominated Officiating Representatives. The Disciplinary Panel will comprise the nominated Officiating Representatives of the ATP, Grand Slam Tournaments, ITF and WTA or such party's nominee in the event of a conflict of interest or other impediment to such party's independence or impartiality. The Appeal Panel shall comprise four (4) individuals, nominated by each of the ATP, Grand Slam Tournaments, ITF and WTA at the start of each year who will take no part in the investigation or proceedings before the Disciplinary Panel.

V. GOVERNING LAW

These Duties and Procedures and any dispute arising out of or in connection with them (including any dispute or claim relating to non-contractual obligations) shall be governed by and construed in accordance with English law, without regard to the conflict of law principles thereof.

Each official agrees to submit any disputes or claims or other matters arising in relation to these Duties and Procedures (including any non-contractual disputes or claims) to the resolution of disputes process provided for under the Code to the exclusion of any other forum.

The foregoing shall not apply to any disputes or claims (including any non-contractual disputes or claims) in relation to ATP, Grand Slam and WTA Tournament Regulations and Codes of Conduct, the Tennis Anti-Doping Programme, and the Tennis Anti-Corruption Program as applicable.

X. RECIPROCITY

The Officiating Representatives reserve the right to ask the Disciplinary Panel to affirm, adopt, modify or reject a suspension or other sanction issued against an Official issued

by a Tennis Organisation or other relevant authority pursuant to a conduct or disciplinary process, such that it applies to certification and/or accreditation for any, all or specific tennis events organised, authorities or sanctioned by the ATP, Grand Slam Tournaments, ITF and WTA.

The ATP, Grand Slam Tournaments, ITF, and WTA, as relevant, shall have the sole discretion whether to recognise and enforce any decision by the Disciplinary Panel of an ITF member National Association and to affirm, adopt, or extend a suspension or other sanction issued by that Panel.

For the purposes of this Rule, Tennis Organisation includes but is not limited to the ATP, the Grand Slam Tournaments, ITF, WTA and each member Tennis Federation of the ITF.ATPATP.