

## PART 3 — USTA REGULATIONS

All clubs and organizations affiliated with the USTA shall be governed by the USTA Regulations.

### **FAC Comment**

These regulations often use the term “player.” Where appropriate this term also refers to a doubles team.

The word “shall” is mandatory. The word “should” is permissive and generally implies a guideline to be followed whenever possible.

## **I. TOURNAMENT REGULATIONS**

### **A. Applicability of Regulations**

1. *Use in USTA sanctioned tournaments.* These USTA Tournament Regulations and the ITF Rules of Tennis shall be observed throughout all sanctioned tournaments and sanctioned matches held by clubs, associations, or organizations that are members of the USTA.
2. *Special circuit regulations.* Any USTA sanctioned tournament that is a part of the ATP or WTA Tour may use the tournament regulations adopted by the ATP or WTA. Other organized circuits of professional tournaments may adopt special tournament regulations to be uniformly applied throughout each tournament in the circuit, *provided that* notice thereof is published with the information for the circuit. In addition, organized circuits of amateur tournaments may adopt special tournament regulations to be uniformly applied throughout each tournament in the circuit, *provided that* the regulations are not inconsistent with USTA Regulations and that notice thereof is published with the information for the circuit.

**FAC Comment I.A-1:** This regulation authorizes District and Sectional Associations to adopt tournament regulations for circuits used to qualify or endorse players for sectional and national championships.

**FAC Comment I.A-2:** Officials may be administering tournaments under the auspices of ATP, WTA, or other organizations whose regulations may be at variance with USTA Regulations in some respects. In such situations, officials should reach a clear understanding of these differences before the event begins.

### **B. Application for Sanction and Appointment of Tournament Committee**

Before the start of a tournament, the Organization Member conducting the tournament shall apply for a sanction and shall appoint a Tournament

Committee of at least three persons. The Tournament Chairperson, the Tournament Director, and the Referee shall be members of the Committee. Neither the Tournament Chairperson nor the Tournament Director may serve as or assume the responsibilities of the Referee.

### **C. Tournament Committee**

The Tournament Committee shall:

- supervise all administrative details of the tournament;
  - obtain any required USTA sanction;
  - determine the extent to which officials will be used;
  - determine the type of ball to be used throughout the tournament  
See also **USTA Regulation I.Q.1.**;
  - keep order on the grounds;
  - determine the seedings;
  - appoint a Tournament Appeals Committee to hear appeals;
  - have broad discretionary powers in carrying out its functions in all cases not covered by the Rules of Tennis or USTA Regulations; and
  - not authorize play in any division on more than one type of surface *except as set forth in USTA Regulation I.L.5.*
1. *Tournament Chairperson.* The Tournament Chairperson is the head of the Tournament Committee. This person is the official representative of the Organization Member's Tournament Committee to the USTA, Sectional Associations, and District Associations. Normally the Organization Member submits its sanction application or tournament bid through its Tournament Chairperson.
  2. *Tournament Director.* The Tournament Director serves as the chief executive officer for the Tournament Committee and is directly responsible for the administrative details of the tournament. In many, but not all, tournaments the Tournament Chairperson also serves as the Tournament Director.
  3. *Referee.* The Referee of each USTA National Championship shall be a referee certified by the USTA. The USTA recommends the use of referees certified by the USTA in all other USTA sanctioned tournaments.
    - a. The Referee serves as a member of the Tournament Committee.
    - b. The Referee, assisted by at least one but preferably two Tournament Committee members, makes the draw publicly at the time and place specified by the Committee.
    - c. The Referee, preferably assisted by another Committee member, makes substitutions in the draw when appropriate.
    - d. The Referee exercises general supervision over all aspects of play, including, but not limited to, the conduct and actions of players, coaches, parents, officials, ballpersons, groundskeepers, and the administrative crew.
    - e. The Referee shall use judgment in all situations not specifically covered by the Rules of Tennis or USTA Regulations.

### **D. Tournament Appeals Committee**

The Tournament Committee shall appoint a Tournament Appeals Committee

to decide player appeals of the Referee's disqualification or unilateral default of a player. The Tournament Appeals Committee shall be comprised of at least two members. Time is of the essence in deciding appeals. Upon being notified by a player that the player wishes to appeal the Referee's decision, the Referee shall immediately attempt to contact at least two members of the Tournament Appeals Committee. Once two members have convened to decide an appeal, they need not wait for other members to appear before reaching a decision. There are no formal notice requirements for assembling the Tournament Appeals Committee, and two members of the Committee shall constitute a quorum. The Tournament Appeals Committee may meet in person, by conference telephone call, or by other means that will facilitate a prompt decision.

The Tournament Committee may serve as the Tournament Appeals Committee *except that* the Referee shall not serve as a member of the Tournament Appeals Committee. The decision of the Tournament Appeals Committee shall be final.

#### **E. Eligibility for a Tournament**

1. *USTA membership generally required to play in sanctioned events.*  
All players, including non-citizens resident in the United States, Puerto Rico, U.S. Virgin Islands, Province of British Columbia, Guam, or American Samoa, desiring to play in sanctioned tournaments of the USTA are required to be members of the USTA *except for* sanctioned matches, tournaments, or events that are interscholastic, intercollegiate, or that are limited to students and conducted by scholastic or collegiate officials.

For the purpose of this provision all foreign players shall be presumed to be residents of the United States, Puerto Rico, U.S. Virgin Islands, Province of British Columbia, Guam, or American Samoa, and thereby required to enroll unless they have a certification from their national association or from the USTA stating that they are in fact nonresidents of the United States as above defined. If a foreign, nonresident player requests that the USTA issue a certification that the player is a nonresident, then the USTA shall issue the certification upon finding that the player is a nonresident.

2. *A player, if otherwise eligible, may enter:*
  - a. a men's or women's division that is not restricted by age or NTRP rating;
  - b. an NTRP division if the player's NTRP rating is less than or equal to the NTRP rating for the division;
  - c. any adult division (professional, collegiate, open, 25, and 30 divisions) or senior division (35 and older divisions) if the player will reach the minimum age by December 31 of the year during which the division is scheduled to start;
  - d. a parent-child tournament without restriction as to age if the parent and child are blood relatives, or if the child has been

legally adopted by the parent, or if the parent is currently the step-parent of the child. A child may play with different parents in different events or different tournaments;

- e. a senior parent (60)-child tournament if the parent member of the team will reach the age of 60 by December 31 of the year during which the event is scheduled to start;
- f. a senior parent (70)-child tournament if the parent member of the team will reach the age of 70 by December 31 of the year during which the event is scheduled to start;
- g. any junior division (18, 16, 14, 12) if the player is an amateur who has not exceeded the maximum age by the last day of the month during which the division is scheduled to start;

### **Table 1 Junior Eligibility**

Generally, juniors are eligible to play in USTA sanctioned junior events if they are amateurs who are USTA members born on or after the dates listed in this table.

#### For tournaments starting in **January 2003:**

18s born February 1, 1984, or later;  
16s born February 1, 1986, or later;  
14s born February 1, 1988, or later;  
12s born February 1, 1990, or later.

#### For tournaments starting in **February 2003:**

18s born March 1, 1984, or later;  
16s born March 1, 1986, or later;  
14s born March 1, 1988, or later;  
12s born March 1, 1990, or later.

#### For tournaments starting in **March 2003:**

18s born April 1, 1984, or later;  
16s born April 1, 1986, or later;  
14s born April 1, 1988, or later;  
12s born April 1, 1990, or later.

#### For tournaments starting in **April 2003:**

18s born May 1, 1984, or later;  
16s born May 1, 1986, or later;  
14s born May 1, 1988, or later;  
12s born May 1, 1990, or later.

For tournaments starting in **May 2003:**

18s born June 1, 1984, or later;  
16s born June 1, 1986, or later;  
14s born June 1, 1988, or later;  
12s born June 1, 1990, or later.

For tournaments starting in **June 2003:**

18s born July 1, 1984, or later;  
16s born July 1, 1986, or later;  
14s born July 1, 1988, or later;  
12s born July 1, 1990, or later.

For tournaments starting in **July 2003:**

18s born August 1, 1984, or later;  
16s born August 1, 1986, or later;  
14s born August 1, 1988, or later;  
12s born August 1, 1990, or later.

For tournaments starting in **August 2003:**

18s born September 1, 1984, or later;  
16s born September 1, 1986, or later;  
14s born September 1, 1988, or later;  
12s born September 1, 1990, or later.

For tournaments starting in **September 2003:**

18s born October 1, 1984, or later;  
16s born October 1, 1986, or later;  
14s born October 1, 1988, or later;  
12s born October 1, 1990, or later.

For tournaments starting in **October 2003:**

18s born November 1, 1984, or later;  
16s born November 1, 1986, or later;  
14s born November 1, 1988, or later;  
12s born November 1, 1990, or later.

For tournaments starting in **November 2003:**

18s born December 1, 1984, or later;  
16s born December 1, 1986, or later;  
14s born December 1, 1988, or later;  
12s born December 1, 1990, or later.

For tournaments starting in **December 2003:**

18s born January 1, 1985, or later;  
16s born January 1, 1987, or later;  
14s born January 1, 1989, or later;  
12s born January 1, 1991, or later.

- h. any junior or senior mixed doubles tournament if the players meet the age requirements established by the tournament; or
- i. any amateur tournament if the player meets any age or NTRP requirement for the event and is an amateur as defined in **USTA Regulation VIII.A.1**.
- j. any wheelchair division (Men's Open, Women's Open, Quad Open, Men's A, Men's B, Men's C, Women's A, Women's B, Quad A, Junior (18 and under), and Senior (40 and over) Doubles) if the player meets the additional eligibility requirement of **USTA Regulation I.E.3** and the age eligibility requirements of **USTA Regulation I.E.2.c** when the tournament is a senior division and the age eligibility requirement of **USTA Regulation I.E.2.g** when the tournament is a junior division.

**FAC Comment I.E-1:** Members of the Tournament Committee (including the Referee) may enter a tournament. If the Referee enters a tournament, a Deputy Referee should serve as the Referee during the Referee's matches.

- 3. *Additional eligibility requirements for competing in USTA sanctioned Wheelchair tournament.*
  - a. *Minimum eligibility requirements.* A player, if otherwise eligible, may enter a USTA sanctioned Wheelchair tournament if the player has a medically diagnosed permanent mobility-related physical disability. This permanent physical disability must result in a substantial loss of function in one or both lower extremities. A player must meet one of the following minimum eligibility requirements:
    - i. neurological deficit at the SI level or rostral associated with loss of motor function; or
    - ii. ankylosis and/or severe arthrosis and/or joint replacement of the hip, knee, or upper ankle joints; or
    - iii. amputation of any lower extremity joint rostral to the metatarsophalangeal joint; or
    - iv. functional disabilities in one or both lower extremities equivalent to i., ii., or iii. above.
  - b. *Quad players.* A quad player must meet all of the following eligibility requirements:
    - i. A quad player must meet the criteria for permanent physical disability as defined in **USTA Regulation I.E.3**.
    - ii. A quad player must have a permanent physical disability that results in a substantial loss of function in one or both upper extremities.
    - iii. A quad player must meet one of the following minimum eligibility requirements:

- a neurological deficit at the C8 level or rostral with associated loss of motor function; or
  - upper extremity amputation; or
  - upper extremity phocomelia; or
  - upper extremity myopathy or muscular dystrophy; or
  - functional disabilities in one or both upper extremities equivalent to one of the four disabilities listed above in this subparagraph iii.
- iv. A quad player must have at least one of the four following functional disabilities related to upper extremity use, irrespective of trunk balance:
- lack of capacity to perform a smooth and continuous overhead service; or
  - lack of capacity to perform a smooth and continuous forehand and backhand; or
  - lack of capacity during play to maneuver a manual wheelchair using full wheel control; or
  - lack of capacity during play to grip the racket for all strokes without taping or an assistive device.
- c. *Power wheelchairs.* A player who has severe limitations on mobility that prevent the player from pushing a manual chair and therefore uses a power wheelchair for every day mobility may use a power wheelchair to play wheelchair tennis; however, once a player has elected to play tennis in a power wheelchair, the player must continue to do so in all USTA sanctioned events.

**FAC Comment I.E-2:** Wheelchair players are referred to the current ITF Wheelchair Tennis Handbook for the eligibility requirements to participate in ITF sanctioned wheelchair events.

4. *A player shall not:*
- a. enter a tournament (including mandatory consolation) knowing the player will be unable to finish;
  - b. transfer the player's entry in a tournament to another player; or
  - c. enter more than one tournament (including mandatory consolation) scheduled for any part of the same period unless both tournament committees approve in writing.
5. *Professionals may not play in tournaments limited to amateurs.* While professional players are free to play in sanctioned and unsanctioned events, they may not participate in events expressly limited to amateurs.

**F. Process of Entry into a Tournament**

1. *Means of entry.* The Tournament Committee shall determine the means of entering the tournament, which may be by its own entry form, by a standard entry form, or by electronic means.

## Example of an Entry Form

### Nebraska Junior Closed Tennis Tournament

Sponsored by the Omaha Tennis Association

August 1-3, 2003

Koch Family Tennis Center

12400 W. Maple Rd., Omaha, NE 68164, (402) 444-7332

**Entry Fees:** Singles: \$16. Doubles: \$22/team. One singles and doubles only. No phone entries.

**Deadline:** Paid entry must be received by **Friday, July 25**. No refunds after the draw has been made.

**Seeding & Draw:** Will be held on Monday & Tuesday (July 28 & 29) at Koch.

**Format & Rules:** Single Elimination draw with mandatory first match consolation in singles. For 12s only, the tournament will be a round robin with matches being the best of three No-Ad sets and with the third set being a Match Tiebreak.

**Age Guide:**  
 12s born Sept. 1, 1990, or later.  
 14s born Sept. 1, 1988, or later.  
 16s born Sept. 1, 1986, or later.  
 18s born Sept. 1, 1984, or later.

**Schedule:** Draws posted at Dewey and at <http://www.omahatennis.org> after 5 p.m. on Wednesday, July 30. Players may call (555) 444-4980 after 5 p.m. on Wednesday. Play may begin as early as 1:00 p.m. on Friday, August 1.

**Sanctioned:** USTA/Missouri Valley and Nebraska Tennis Association. All players must present a current USTA card or purchase one at the tournament.

**Surface:** Sixteen hard courts

**Official ball:** Wilson Heavy Duty (medium speed)

**Referee/Chairman:** Steve Gerdes/Larry Newton

**Host Hotel:** Holiday Inn (Central) 72nd & Grover (555) 393-3950

### Nebraska Junior Closed 2003

Name	Phone: ( )	Date of Birth
Address:	City	State      Zip
Girls' Singles \$16 18   16   14   12	Boys' Singles \$16 18   16   14   12	\$_____
Girls' Doubles \$22/team 18   16   14   12	Boys' Doubles \$22/team 18   16   14   12	\$_____
Doubles Partner: _____		Total Fees Enclosed \$_____

*Please attach a copy of your USTA card and all relevant seeding information*

**Mail Entries payable to: OTA**  
**P.O. Box 8313**  
**Omaha, NE 68108-0313**

**Fig. 3**

2. *Entry form.* The Tournament Committee shall specify in the title if the event is limited to amateurs. The Tournament Committee shall place the following information on its written entry form or shall make such information available before the tournament entry deadline:
- the specific events and the eligibility requirements;
  - any limit on the size of the draws;
  - the locations and dates of play (including rain dates, if any);
  - the sanctioning bodies;
  - the entry fee;
  - the draw format;
  - whether any consolation is mandatory;
  - the time and place of the draw;
  - the match format;
  - a statement that the 7-point or 10-point Tiebreak will be used in lieu of the deciding final set, if this is the case;
  - the entry deadline (the date by which entries must be received by the Tournament Committee);
  - the mailing or electronic address where the entry form should be sent;
  - the ball type (brand name not required) that will be used; and
  - the type of court surface.

It is recommended that the Tournament Committee include additional information, such as how first match information may be obtained and the names of the Referee and other members of the Tournament Committee.

3. *Acceptance of entries in tournaments with unlimited size draws.* The Tournament Committee is responsible for accepting the entries. It shall furnish the Referee with a complete list of entrants. The Committee may accept late entries.
4. *Acceptance of entries in tournaments with limited size draws.* If the number of entrants exceeds the draw limit, the Tournament Committee shall accept players and alternates into the draw based on their records. It may also accept players of established ability who do not have current records, or whose records are affected by illness, injury, or lack of recent play. If the Tournament Committee is unable to determine the record of some players with timely entries, then it shall accept these players into the draw and onto the alternate list by lot and never by the date of receipt of entries.
- The Tournament Committee may accept late entries, *provided that* late entries shall be placed on the alternate list after the timely entries in an order determined by lot.
- The Tournament Committee shall furnish the Referee with a list of alternates listed in priority order.
5. *No discrimination in acceptance of entries.* Entries may not be refused on the basis of race, creed, sexual orientation, color, or national origin.
6. *Voluntary submission of seeding information.* A player who wants

to be seeded should submit a player record and ranking.

7. *Electronic service fee.* Players who enter tournaments may be charged a non-refundable fee for the receipt of electronic entries.
8. *Withdrawal from tournament and refund of entry fee.* The Tournament Committee shall refund a player's entire entry fee if the entry is not accepted or if the player withdraws no later than seven days before the start date of the tournament. No refund is required beginning six days before the start date of the tournament. The Tournament Committee shall not charge any fee (such as a processing, service, or handling fee) for refunding the entry fee.

A player shall not withdraw from a tournament except for illness, injury, or personal emergency. As soon as possible, the player shall advise the Referee in writing of the player's withdrawal and the reason therefor.
9. *Request for special scheduling.* A player may submit a request for special scheduling with the player's entry. See **USTA Regulation I.J.4.** for how the Referee handles these requests.

**FAC Comment I.F-1:** The inclusion of the word *Amateur* in the title for a tournament indicates that only amateurs may play in the tournament. All USTA sanctioned junior tournaments other than those authorized by the ITF are limited to amateurs. If the word *Amateur* does not appear in the title of an adult or senior tournament, then the tournament is open to amateurs and professionals.

**FAC Comment I.F-2:** The inclusion of the word *Invitational* in the title means that the entry in the tournament is by invitation only.

**FAC Comment I.F-3:** The inclusion of the word *Closed* in the title means that the tournament is limited to residents of a particular geographic area. The inclusion of the word *Open* in the title means that the tournament is open to all players regardless of where they live. Nonetheless, many sectional championships and sectional qualifying circuits are open to residents of that section only. In addition, special regulations limit participation in junior national championships to United States citizens and a few special groups. See **USTA Regulation III.A.2.**

## G. Seeding

While there is no requirement that every tournament have seedings, most tournaments of the elimination type, as distinguished from round-robin competitions, use seedings to ensure that players of recognized outstanding ability do not confront each other in the early rounds.

1. *Seeding.* The Tournament Committee shall determine the seedings.
2. *Number of seeds.* For draws larger than 64, the preferred pattern is

to seed one for each eight players. For draws of 64 and below, the preferred pattern is to seed one for each four players if the Tournament Committee has sufficient information, or if for any reason, it believes such action is justified. The Tournament Committee may seed players at a maximum ratio of one seed for every four players or major fraction thereof (i.e., two or three players more than an even multiple of four does justify an additional seed; one player more does not). Notwithstanding the above, even the smallest tournament may have two seeds.

3. *Listing of seeds.* The Referee shall list the seeded players on the draw sheet in numerical order to the extent that the Referee has information available to do so, and then the Referee shall list all other seeded players in groups. For example, if the first 5 seeds are numerically seeded, seeds 6 through 8 could be grouped.
4. *Factors to consider in seeding.* Seedings merely represent the Committee's subjective ratings of the various players' chances of winning the tournament. These ratings may not be based on whim, caprice, or hunches, but instead shall be justified by a reasonable amount of factual evidence. The Committee shall consider all available evidence, including, but not limited to, rankings, current records, types of surface and particularly head-to-head encounters. Two outstanding doubles players playing together for the first time should be considered for a place on the seeded list.
5. *Common errors in seeding.* Illustrative of some common errors in seeding are: "He's ranked No. 1, so he must be seeded No. 1"; "She won the tournament last year so she must be seeded No. 1 this year"; "Since this is his first year as a senior and he has no record in senior play, he can't be seeded or he can't be seeded any higher than five."
6. *Correcting an error in seeding.* If the Tournament Committee decides that it has made an error in seeding the players, it may correct the error only if no affected seeded player has begun a match. If the Tournament Committee decides to correct the error, it should first redo the list of seeded players. The "numbered seeds" will remain on the same lines. The seeded players' names are moved to new lines corresponding to the number of their new seeded positions. If after the revision of the seeding any original seed is no longer seeded, then the displaced seed and all other non-seeded players who have not yet begun a match will draw for the line vacated by the new seed. If the displaced seed is not drawn to the vacated line, the displaced seed is placed on the line of the player who is drawn to the vacated line.
7. *"Placing" is prohibited.* Placing occurs, for example, when the Committee in a 16-draw event seeds four and "places" four. The practice of placing is an attempt to hide the fact that in reality eight players have been seeded instead of the permissible maximum of four. The rule of "one in four" was established to provide

some matches between strong players in the first round, to increase the variety of a player's opponents, and to get away from the "strong-weak-strong-weak" pattern in the draw, thereby giving players who are usually first-round losers an occasional opportunity to meet each other and advance to the second or third round. No matter how sure the Committee is of its own omniscience, this is a rule that should not be violated.

8. *Block seeding.* Block seeding is authorized in tournaments of the level of sectional championships and below. It may take the following form: In a hypothetical 32-player tournament, the Tournament Committee might nominate four outstanding entrants to be literally "standing-out" quarterfinalists. The rest of the field would play down to fill the other four quarterfinal spots. (This would mean, of course, the total field in that tournament was 36.) In a larger event the standing-out players might be eight in number, and the rest of the field would play down to another eight to make up pairings for the round of 16.

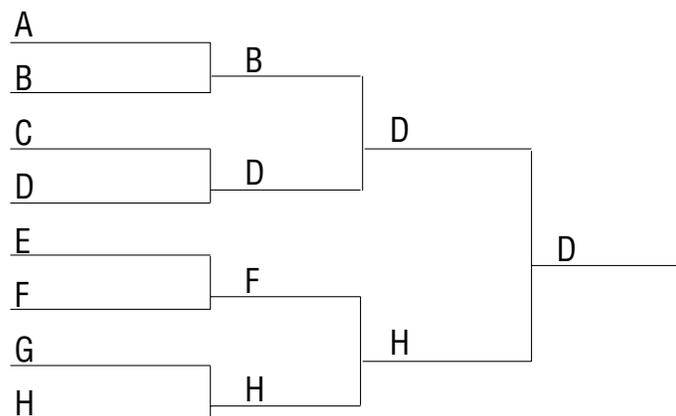
**FAC Comment I.G-1:** The task of seeding players is difficult when players do not provide complete information with their entries. The Tournament Committee should make every effort to obtain additional factual information from all available sources.

**FAC Comment I.G-2:** The Tournament Committee is to consider all available evidence, including results from unsanctioned matches. When the Committee relies on these results, it should take care to assure itself that the results are correct.

## H. Making the Draw

1. *Public draw.* The draw, electronic or manual, shall be made in public at the time and place specified by the Tournament Committee.
2. *Draw made by Referee.* The Referee, assisted by at least one Tournament Committee member and preferably by two members, shall make the draw.
3. *Draw formats.* USTA Regulations describe the procedures that Referees shall follow when they run single elimination draws, first-match loser consolations, feed-in-championships, round robins, and compass draws. Tournaments may use other draw formats. When an event uses other formats, the Referee shall post at the tournament the procedures defining the format before the start of play. Referees shall follow USTA Regulations *except for* those USTA Regulations changed by the *posted* procedures.
4. *Single elimination format.* When the number of players is 4, 8, 16, 32, 64, 128, or any higher power of two, they shall meet in even pairs in progressive elimination in accordance with the following pattern:

- a. *Balancing the seeds.* The principle of drawing to position the seeds shall be applied so that, as nearly as possible, the same number of seeds will fall in each half of the draw, in each quarter of the draw, etc. For example, in a draw with six seeds, each half of the draw should contain three seeds, two of the quarters should contain two seeds, and the other two quarters should contain one seed.



- b. *Positioning seeds.* The first seed shall be positioned on the top line of the draw, and the second seed shall be positioned on the bottom line of the draw. The position of the remaining seeds shall be determined by lot using the procedure described below, with each seeded player in the top half of the draw being positioned on the top line of the bracket for which that seed is drawn, and each seeded player in the bottom half of the draw being positioned on the bottom line of the bracket for which that seed is drawn. Examples of the procedure for different size draws with the maximum number of seeds allowed are as follows:

- *16 draw with 4 seeds.*

Seed 1	Line 1
Seed 2	Line 16
Seeds 3 & 4	Drawn at random for line 5 or 12
- *32 draw with 8 seeds.*

Seed 1	Line 1
Seed 2	Line 32
Seeds 3 & 4	Drawn at random for line 9 or 24
Seeds 5-8	Drawn at random for line 5, 13, 20, or 28
- *64 draw with 16 seeds.*

Seed 1	Line 1
Seed 2	Line 64
Seeds 3 & 4	Drawn at random for line 17 or 48
Seeds 5-8	Drawn at random for line 9, 25, 40, or 56
Seeds 9-16	Drawn at random for line 5, 13, 21, 29, 36, 44, 52, or 60

- *128 draw with 32 seeds.*

Seed 1	Line 1
Seed 2	Line 128
Seeds 3 & 4	Drawn at random for line 33 or 96
Seeds 5-8	Drawn at random for line 17, 49, 80 or 112
Seeds 9-16	Drawn at random for line 9, 25, 41, 57, 72, 88, 104, or 120
Seeds 17-32	Drawn at random for line 5, 13, 21, 29, 37, 45, 53, 61, 68, 76, 84, 92, 100, 108, 116, or 124

**FAC Comment I.H-1:** The USTA Officials Department has additional information available on other size draws, such as a draw of 192.

- c. *Byes used to fill out draws.* When there are not enough players to put one player on each line in the draw, byes are added. This serves to bring to the second round a player on each line so that there can be an orderly progression down to two finalists. For example, with 27 players, five of the lines on a 32-draw sheet would be marked bye, and the five players drawn opposite those lines would move into the second round without playing a match, to be joined there by the 11 winners of first round matches to make up an even 16.
- d. *Placement of the byes.*
  - i. *To seeded players in descending order.* The byes shall go to seeded players in descending order. Remaining byes shall be evenly distributed among the quarters and halves of the draw using the procedures set forth in the subparagraphs below. There shall be no attempt to further balance the byes by eighths and sixteenths. Byes drawn to the top half of the draw shall be positioned on even-numbered lines; byes drawn to the bottom half of the draw shall be positioned on odd-numbered lines. If group seeding is used and there are fewer byes available than there are players in the group, then a drawing is used to determine which seeds within the group get the available byes. (For example, there is a draw of 27 in which seeds 1 through 3 are seeded numerically and the next four seeded players are seeded as a group. The first three byes go to the first three seeds. A drawing determines which group seed is assigned to the #4 seed line. This player receives a bye. The three remaining group seeds are drawn randomly to the lines for the 5th through 8th seeds. A drawing determines which of the three remaining group seeds receives the final bye.)

- ii. *To lines opposite seeds if one in every four players had been seeded.* If the number of byes exceeds the number of seeded players, then the byes shall be positioned on the lines opposite the lines where additional seeds would have been positioned had the draw been full and had the tournament seeded one in four players. (For example, in a draw of 25 with 5 seeds and 7 byes, the first five byes would go on lines opposite seeds 1 through 5 and the next two byes would go on lines opposite the lines where seeds 6 through 8 would have gone. This would put these two byes on two of the following lines 6, 14, 19, or 27.)
- iii. *Remaining byes.* If the number of byes remaining to be distributed is not divisible by four, then the quarter or quarters that receive one more bye than the other quarter or quarters shall be determined by lot. The Referee should note the order in which the remaining byes are placed in the draw in the event that this information is needed later for placing an omitted player in the draw.
- iv. *Byes not moved when player withdraws.* Once the byes are inserted in the draw, their positions shall not be changed even if a player withdraws. But see **USTA Regulation I.I.1.b.iii.** when a withdrawal creates a double bye.
- v. *Examples.*

After all seeds have received byes, or in the absence of seeding, the byes are drawn as follows:

*Draw of 16.* The 1st and 2nd byes are drawn for lines 2 and 15, the 3rd and 4th byes are drawn for lines 6 and 11, and byes 5-7 are drawn among lines 4, 8, 9, and 13 (balanced by half);

*Draw of 32.* The 1st and 2nd byes are drawn for lines 2 and 31, the 3rd and 4th byes are drawn for lines 10 and 23, byes 5-8 are drawn among lines 6, 14, 19, and 27 (balanced by half); and byes 9-15 are drawn among lines 4, 8, 12, 16, 17, 21, 25, and 29 (balanced by quarter and half);

*Draw of 64.* The 1st and 2nd byes are drawn for lines 2 and 63, and 3rd and 4th byes are drawn for lines 18 and 47, byes 5-8 are drawn among lines 10, 26, 39, and 55 (balanced by half), byes 9-16 are drawn among lines 6, 14, 22, 30, 35, 43, 51, and 59 (balanced by quarter and half) and byes 17-31 are drawn among lines 4, 8, 12, 16, 20, 24, 28, 32, 33, 37, 41, 45, 49, 53, 57, and 61 (balanced by quarter and half);

*Draw of 128.* The 1st and 2nd byes are drawn for lines 2 and 127, the 3rd and 4th byes are drawn for lines 34 and 95, byes 5-8 are drawn among lines 18, 50, 79, and 111 (balanced by half), byes 9-16 are drawn among lines 10, 26, 42, 58, 71, 87, 103, and 119 (balanced by quarter and

half), byes 17-32 are drawn among lines 6, 14, 22, 30, 38, 46, 54, 62, 67, 75, 83, 91, 99, 107, 115, and 123 (balanced by quarter and half) and byes 33-63 are drawn among lines 4, 8, 12, 16, 20, 24, 28, 32, 36, 40, 44, 48, 52, 56, 60, 64, 65, 69, 73, 77, 81, 85, 89, 93, 97, 101, 105, 109, 113, 117, 121, and 125 (balanced by quarter and half).

- vi. *Optional method for distributing byes when there is a feed-in-championship and the first two rounds of the main draw in a division are scheduled on the same day.* The following method is an option for tournaments with a feed-in-championship in which the first two rounds of the main draw of a division are scheduled on the same day.
- First, distribute byes to all the seeds.
  - Second, distribute byes so that the seeded players who receive byes will be playing other players who have also received byes. If there are not enough byes so that every seeded player is playing another player who has received a bye, then position these byes adjacent to the seeded players starting with the lowest seeded player.
  - Third, distribute a pair of byes in the fourth quarter of the draw starting from the bottom up; distribute a pair of byes in the first quarter of the draw starting from the top down; distribute a pair of byes in the third quarter of the draw starting from the bottom up; distribute a pair of byes in the second quarter of the draw starting from the top down; and repeat the cycle (fourth quarter, first quarter, third quarter, and second quarter) until all the byes have been distributed.
- e. *Alternative method of placing byes where no feed-in championship.* The following method of placing byes may be used in any tournament at or below the sectional championship level that does not use a feed-in championship. The byes shall go to seeded players in descending order. Remaining byes shall be placed at the extremes. The first bye goes on the first available odd-numbered line above the bottom line; the second on the first available even numbered line below the top line; the third on the next available odd-numbered line above the first bye; the fourth on the next available even-numbered line below the second bye, etc.
- f. *Filling in unseeded players by lot.* Once the seeded players and the byes have been written in, the rest of the draw shall be filled in by drawing the names of the remaining players and putting them on the unoccupied lines in the order in which they are drawn, starting at the top and moving downward in sequence.
- g. *Discretionary procedure for separating opponents from same family, school, country, club, doubles team, or Sectional Association.* When the drawing procedure operates to bring together for their first match members of the same family,

same school, same foreign country, same club, doubles team, or same Sectional Association, the Referee has the discretion to place the second name drawn on the corresponding line of the next quarter of the draw. If this happens in the fourth quarter of the draw, the second name may be exchanged with the name on the corresponding line in one of the three preceding quarters, the specific one of these quarters being determined by drawing. If this system places the second-drawn player into a seed or bye slot, the name shall be moved to successive quarters until it can be put on a vacant line or exchanged with that of an unseeded player.

**FAC Example of Positioning Seeds and Byes in a Draw of 22 with 6 Seeds and 10 Byes. See Figure 4.**

Bill Merritt is seeded first; Gary Olson is seeded second; Jim Harper is seeded third; Tom Jones is seeded fourth; Andy Glaser is seeded fifth; and Bob Barr is seeded sixth. There are 22 players.

1. *Positioning the seeds (USTA Regulation I.H.4.b.).* The first seed, Bill Merritt, is placed on line 1. Gary Olson, the second seed, is placed on line 32. A drawing is held to determine whether the third seed goes to the top or bottom half. In this example Jim Harper, the third seed, is drawn to the bottom half so his name goes on line 24 and Tom Jones goes on line 9. Another drawing is held to determine where the fifth seed goes. In this example, Andy Glaser, the fifth seed, is drawn to the top quarter so his name goes on line 5. The sixth seed automatically goes to the bottom half. A drawing is held to determine the precise quarter. In this example, Bob Barr, the sixth seed, is drawn to the third quarter, so his name goes on line 20.
2. *Placement of the byes.*
  - a. *To seeded players in descending order (USTA Regulation I.H.4.d.i.).* The first six byes go opposite the names of the seeds. This puts byes on lines 2, 6, 10, 20, 23, and 31.
  - b. *To lines opposite seeds if one in every four players had been seeded (USTA Regulation I.H.4.d.ii.).* If there had been a full draw of 32 and one in four players had been seeded, there would have been eight seeds. Seeds 7 and 8 would have gone on lines 13 and 28. Therefore, byes should go on lines 14 and 27.
  - c. *Remaining byes (USTA Regulation I.H.4.d.iii.).* Eight byes have been placed; two byes still need to be placed. These remaining byes need to be balanced by halves and by quarters. One bye should go in each half. A drawing is held to determine which quarter in each half gets an additional bye. In this example the drawing determined that the first and fourth quarters will get the additional byes. These byes could go on lines 4 or 8 or on lines 25 or 29. A drawing determined that the additional byes go on lines 8 and 29.
3. *Filling in unseeded players by lot (USTA Regulation I.H.4.f.).* The 16 unseeded players are drawn randomly to the 16 remaining empty lines.

## 32-Place Draw Sheet



**Fig. 4 Positioning Seeds and Byes**

5. *Consolation draw.* Except where otherwise provided, any consolation tournament may use either a first-match loser consolation (FMC) draw or a feed-in-championship (FIC) draw. Consolation matches should be conducted under the same conditions as main-draw matches, including the use of new tennis balls, so that results will be valid for ranking purposes.

a. *Instructions for a first-match loser consolation (FMC).*

The loser's name is placed on the same line on the consolation draw as the player would have occupied on the main draw had the player won there.

This type of consolation normally does not require a new drawing. An advantage to this consolation is that times may be scheduled in advance and, if so desired, the consolation may be scheduled so as to keep pace with main-draw play.

A player who wins in the first round by default and then loses in the second round, moves into the consolation draw just as though the player had a first-round bye followed by a second-round main-draw loss.

A player who loses the player's first-played match in the third round of the main draw may request that the Referee include the player in the consolation. The Referee shall decide based on available openings and scheduling considerations.

b. *Instructions for feed-in-championship through quarterfinals for draw of 128.*

i. *Assigning numbers to each player.* Each player retains the player's number from the regular draw sheet, 1 through 128.

ii. *Placing first-round losers in FIC draw.* First-round losers from the regular tournament are entered on the FIC draw sheet, loser 1 or 2 versus loser 3 or 4, etc.

iii. *Feeding in main-draw second-round losers.* The winners of these first-round FIC matches play the losers from the second round of the regular tournament in the second round of the FIC.

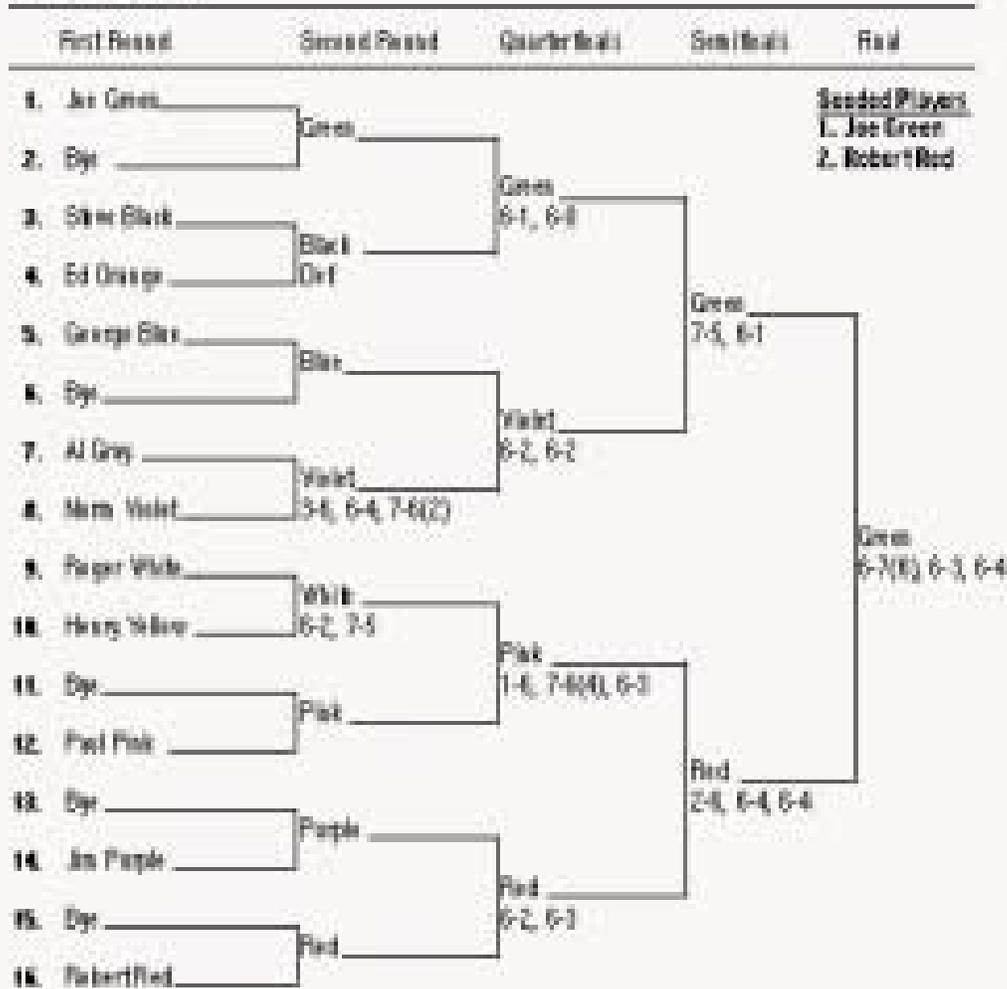
iv. *Feeding in other main-draw round losers.* The winners of the FIC second-round play third-round qualifying matches to determine who will meet the third-round losers from the regular tournament. This sequence is carried through the quarterfinal round.

v. *Where to feed in main-draw losers.* Each loser shall be fed in to the FIC space corresponding to the number opposite the player's name in the regular tournament.

For example, the second-round loser 1, 2, 3, or 4 is placed at the bottom of the FIC draw sheet and will play the winner of the 125 or 126 versus 127 or 128.

The second-round loser who is fed in is one of four numbers, and the quarterfinalist is one of eight numbers.

## Main Draw



## Feed-in-Championship



\* Ed Orange was defaulted since he was late. Because his car broke down, the Referee decided to let him play in the feed-in-Championship draw.

Fig. 5 Positioning Players in Feed-In-Championship Draw

**FAC Example of Positioning Seeds and Byes in a Draw of 11 with 2 Seeds and 5 Byes and Example of Resulting Feed-In-Championship Draw. See Figure 5.**

Joe Green is seeded first; Robert Red is seeded second. There are 11 players.

1. *Positioning the seeds (USTA Regulation I.H.4.b.).* The first seed, Joe Green, is placed on line 1. Robert Red, the second seed, is placed on line 16.
2. *Placement of the byes.*
  - a. *To seeded players in descending order (USTA Regulation I.H.4.d.i.).* The first two byes go opposite the names of the seeds. This puts byes on lines 2 and 15.
  - b. *To lines opposite seeds if one in every four players had been seeded (USTA Regulation I.H.4.d.ii.).* If there had been a full draw of 16 and one in four players had been seeded, there would have been four seeds. The third and fourth seeds would have gone on lines 5 and 12. Byes should go on lines 6 and 11.
  - c. *Remaining byes (USTA Regulation I.H.4.d.iii.).* Four byes have been placed; one bye still needs to be placed. A drawing is held to determine the quarter in which the bye is placed. In this example the drawing determined that the bye goes in the fourth quarter. This means that it goes on line 13.
3. *Filling in unseeded players by lot (USTA Regulation I.H.4.f.).* The nine unseeded players are drawn randomly to the nine remaining empty lines.

**FAC Comment I.H-2: The Curtis Consolation. See Figure 6.** When there is a shortage of courts or when a feed-in championship needs to be played in a limited amount of time, some tournaments use a modified feed-in-championship format. One of the most widely known is the modified Curtis Consolation (CC). This format works when there is a:

- draw of 256 with up to 192 entrants;
  - draw of 128 with up to 96 entrants;
  - draw of 64 with up to 48 entrants; or
  - draw of 32 with up to 24 entrants.
1. *Draw of 64 with up to 48 entrants.*
    - a. *Byes.* The top half of the first and second quarters and the bottom half of the third and fourth quarters of the CC draw will automatically be filled with byes. (In the main draw, the byes are first placed opposite the seeds and after that are placed opposite those lines where seeds would have been placed if the tournament had chosen to seed one in every four players. The byes that automatically end up in the top half of the first

# Modified Curtis Feed-In-Championship Draw

*Draw of 64 with 48 entrants*



**Fig. 6**

and second quarters and the bottom half of the third and fourth quarters of the CC come from those lines.) Any additional byes are placed in the CC draw on the designated line just as if “bye” were the loser of a first-round match.

- b. *First-round losers.* The first-round losers from the main draw are fed into the bottom half of the first and second quarters and the top half of the third and fourth quarters of the CC draw on the designated lines.
- c. *Second-round losers.* The second-round losers from the main draw are fed into the second-round throughout the CC draw on the designated lines.
- d. *Round of 16 and quarterfinal losers.* Round of 16 and quarterfinal losers are not fed into the CC draw. Instead a standard Feed-in-Championship involving only these players is held, or separate single elimination competitions are held for each of these groups.
- e. *Third-place playoff.* The losing semifinalists in the main draw play off for third place.
- f. *Not all consolation finals held.* The tournament should decide in advance which events will be played through the finals. It is common to play the two or three consolations through the semifinals only.
- g. *Example of scheduling with separate single elimination consolation events for round-of-16 losers and quarterfinals losers.*

First day	First two rounds of main draw (16+16 matches) First round of CC (8 matches)
Second day	Round-of-16 and quarterfinals of main draw (8+4 matches) Second round of CC (8 matches) Quarterfinal qualifying of CC (8 matches) Quarterfinals of round-of-16 consolation (4 matches)
Third day	Semifinals and finals of main draw (2+1 matches) Quarterfinals and semifinals of CC (4+2 matches) Semifinals and finals of round-of-16 consolation (2+1 matches) Semifinals and finals of quarterfinal consolation (2+1 matches) Third-place playoff (1 match)

Note in this schedule, the CC is the only event not completed.

- 2. *Full Curtis Consolation for draw of 64 with up to 48 entrants.* The Curtis format also may be used when playing a full feed-in

championship. The special Curtis format is followed for feeding in the first-round losers. The second-round losers, round-of-16 losers, and quarterfinal losers from the main draw are fed into the Full Curtis Consolation draw in the same manner that they would be fed into a regular feed-in-championship draw. The Full Curtis Consolation draw, which consists of eight rounds instead of the six rounds of the Modified Curtis Consolation draw, may be completed in five days.

3. *Draw of 128 with up to 96 entrants.* Follow the same pattern as in the draw of 64. In addition to first- and second-round losers, feed in the third-round losers. The byes will automatically show up in the top half of the first and second quarters and the bottom half of the third and fourth quarters. Playoffs for the round-of-16 and quarterfinal losers are held. The CC draw of 128 with associated consolations can be completed in four days.
  - vi. *Determining first through fifth places.* FIC semifinal and final rounds are played to determine the winner of the FIC. The FIC winner is the fifth-place finisher in the tournament. The loser of the FIC final is the sixth-place finisher. Third and fourth places are determined by a play-off between the semifinal losers in the main draw. The loser of the final in the main draw is the second-place finisher.
  - vii. *Determining additional places.* Additional places may be obtained by having the semifinal losers in the FIC play-off for seventh and eighth places.
  - viii. *Placing the byes.* If there are fewer than 128 players, byes are fed in to the FIC draw just as though they were players. If 2 is a bye in the regular tournament, the word “bye” will be written in the space 1 or 2 under the FIC first round.
  - ix. *Scheduling considerations.* FIC first-, second-, third-, fourth-, or quarterfinal-round matches should not be scheduled on the same day as the first-, second-, third-, fourth-, or quarterfinal-round matches in the main draw. Instead, these matches should be scheduled the following morning early and the qualifying matches that afternoon.
- c. *Participation of player in consolation or place playoffs.* A player who is defaulted from the player’s first match for a reason other than misconduct or withdraws from the first match because of injury, illness, or personal emergency may play in the consolation *unless* an on-site alternate takes the player’s place in the draw. A player who is defaulted from a subsequent match for a reason other than misconduct, decides not to play a subsequent match because of injury, illness, or personal emergency, or retires from a match

may play in the consolation and place playoffs. See also **USTA Regulation I.R.6.**

6. *Round robin draw.*
  - a. *When authorized.* Round robin draws may be used in any tournament for which the entry form states that the tournament shall be played using a round robin format. Additionally, a round robin draw may be used in any division in any tournament in which there are eight or fewer players or teams entered.
  - b. *Procedure.* Each player in the round robin draw shall play every other player in the round robin draw.
  - c. *Determining the order of finish.* The player who wins the most matches is the winner. If two players are tied, then the winner of their head-to-head match is the winner.

If three or more players are tied, the Referee shall use the following steps in the order listed to break all ties. The Referee shall break as many ties as possible using a given step before using the next step. These steps are:

- the head-to-head win-loss record in matches involving just the tied players;
- the player with the highest percentage of sets won of all sets played;
- the head-to-head win-loss record in matches involving the players who remain tied;
- the player with the highest percentage of games won of all games played;
- the head-to-head win-loss record in matches involving the players who remain tied;
- the player with the highest percentage of sets won of sets played among players in the group under consideration;
- the head-to-head win-loss record in matches involving the players who remain tied;
- the player with the highest percentage of games won of games played among the players under consideration.
- the head-to-head win-loss record in matches involving the players who remain tied;

If the Referee has applied all the steps and a tie still cannot be broken, the Referee shall use a random drawing among the remaining tied players to determine their order of finish.

**FAC Comment I.H-3:** A Match Tiebreak played in lieu of a deciding final set counts as both one set and one game for the purpose of determining the order of finish. If the players inadvertently play out the third set or any portion thereof, it will still count as only one set and one game.

For the next three comments, assume that Adams, Baker, and Charles have identical 4-1 records. Adams has a win over Baker; Baker has a win over Charles; and Charles has a win over Adams.

**FAC Comment I.H-4:** *Adams has the highest percentage of all sets won, and Charles has the second highest percentage of sets won. What is the order of finish?* Adams is first; Charles is second; and Baker is third because application of the percentage of all sets won procedure breaks all of the ties.

**FAC Comment I.H-5:** *Adams and Baker have won the same percentage of all sets. Charles has won a lower percentage of all sets than Adams and Baker. What is the order of finish?* Charles finishes third because Charles has the lowest percentage of sets won. This is the only tie that can be broken by the percentage of all sets won procedure. The Referee next turns to the head-to-head record between Adams and Baker. Adams finishes first because of the head-to-head win over Baker.

**FAC Comment I.H-6:** *Adams has the best percentage of all sets won. Baker and Charles have the same percentage of all sets won. What is the order of finish?* Adams finishes first because Adams has the best percentage of all sets won. This is the only tie that can be broken by percentage of all sets won procedure. The Referee next turns to head-to-head record between Baker and Charles. Baker finishes second because of the head-to-head win over Charles.

- d. *Defaults, withdrawals, and retirements.* A player is credited with a win in the round robin if:
- the opponent withdraws before a match;
  - the opponent retires; or
  - an official defaults the opponent.
- When breaking a tie, only the results of defaults that occur during a match and retirements shall be used in determining the percentage of sets and games won. A player who is defaulted by an official during any match may not play in subsequent matches and may not be declared the winner of the round robin.
- e. *Procedures when there is more than one round robin draw in an event.* When there are six or more players entered, then the tournament may be divided into more than one round robin. Before the round robins begin, the Tournament Committee shall set forth in writing the exact procedure for determining who advances to the final round (winners only or winners and runners-up) and whether a round robin or single elimination

format shall be used to determine the winner of the final round.

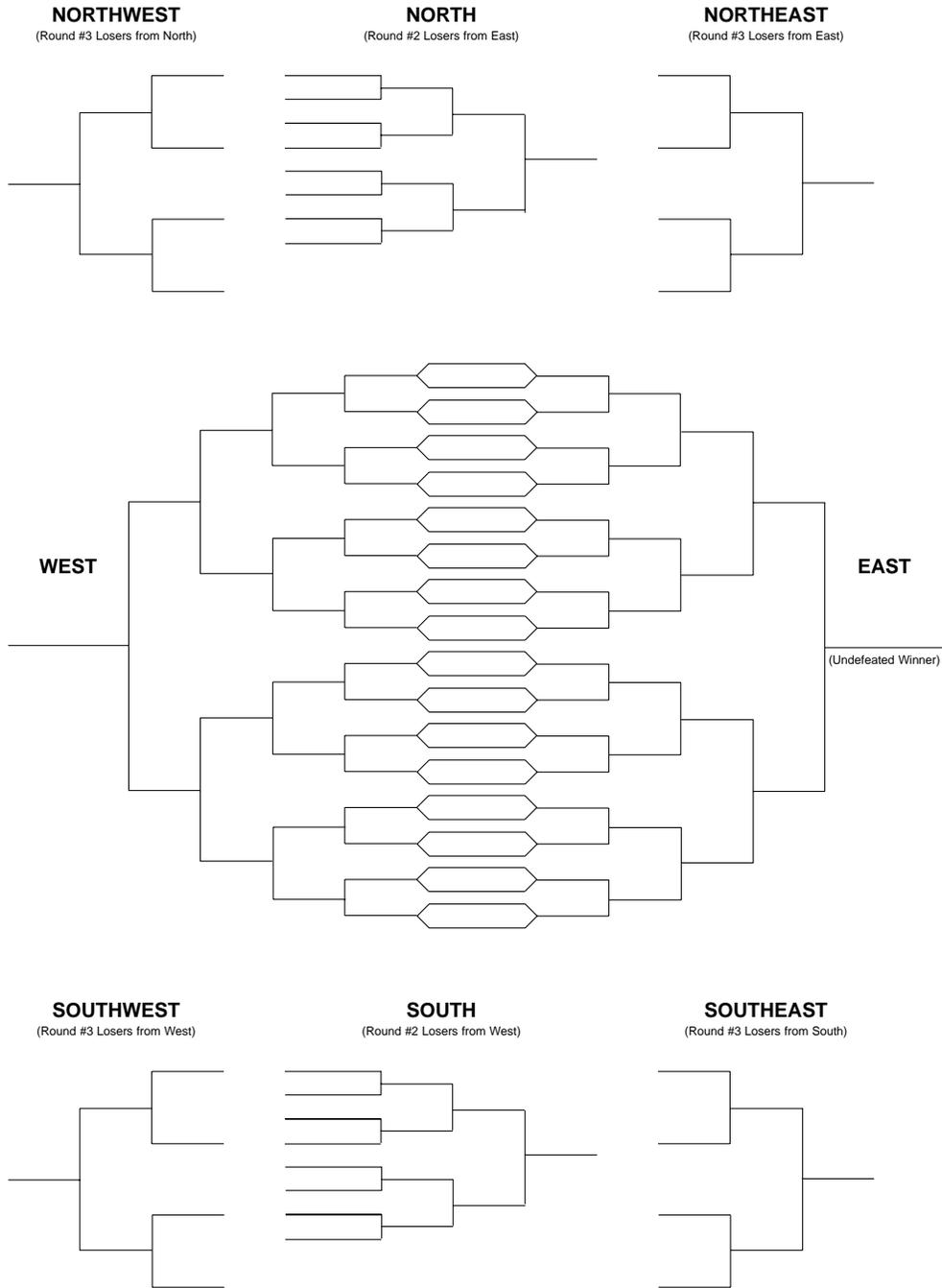
- i. *Preliminary round robins.* Seeding shall be used to place the strongest players in different divisions. The seeding principles set forth in **USTA Regulation I.G.** shall apply.
- ii. *Final round.* The overall winner shall be determined by playing another round robin or a single elimination format. The Tournament Committee may allow not only the winner of each round robin but also the runner-up in each round robin to advance to the final round. If the Tournament Committee allows runners-up to advance to the final round, the runner-up of each round robin shall play the winner of another round robin. In the final round the placement of the prior winners and runners-up shall be determined by random drawing, but no first match shall pair a winner and runner-up from the same round robin. If the Tournament Committee does not allow runners-up to play in the final round, then the final round pairings shall be made by a random drawing.

7. *Compass draw.*

- a. *When authorized.* Compass draws may be used in any tournament *provided* the entry form states the tournament shall be played using a compass draw format.
- b. *Seeding.* Seeding may be used to place the strongest players using the seeding principles set forth in **USTA Regulation I.G.** Seeds shall be drawn according to the procedures used for making a standard draw. Great care must be used in the initial seeding.
- c. *Making the draw.* Each player is placed on a line on the center draw sheet. The procedure for making a standard draw shall be followed for determining the exact line on which each player is placed.
- d. *Byes.* Complications will develop if there are byes in the draw. Therefore, it is best to limit the entries to 16, 32, or 64. A substitute list is helpful to eliminate problems caused by last minute withdrawals. If byes must be placed in the draw, distribute them evenly in the quarters and halves of the draw as described in **USTA Regulation I.H.4.d.**
- e. *Progression in the draw.* At the end of each round, the winners continue in their tournament in the same direction, while the losers move to other points on the compass to form a new satellite tournament.
- f. *Specific procedures for draw of 32. See Fig. 7.*  
At the end of round 1:
  - the winners go east;

# COMPASS DRAW SHEET

## UNITED STATES TENNIS ASSOCIATION COMPASS DRAW



**Fig. 7 Compass Draw**

- the losers go west.
- At the end of round 2:
- the east losers go north;
  - the west losers go south.
- At the end of round 3:
- the east losers go northeast;
  - the north losers go northwest;
  - the west losers go southwest;
  - the south losers go southeast.
- At the end of round 4:
- the losers are out of the tournament (unless it is announced in writing before the start of the first match of the tournament that there will be semifinal play-offs);
  - the winners play the finals on each draw sheet.
- g. *Specific procedures for draw of 16.* Use only the top half of the draw at each compass point. Follow the same procedure as in a draw of 32 except that round 4 is the finals instead of the semifinals.
  - h. *Specific procedures for draw of 64.* Use two 32 draw sheets. Round 4 becomes the quarterfinals of each tournament instead of the semifinals. At the end of round 4 all losers are out of the tournament. The draw sheet tournaments continue with their own semifinal matches until there is an eventual winner for each. (The losers of the semifinals are out of the tournament.)
  - i. *Prizes.* The major prizes go to the east winner (who is undefeated) and to the east runner-up (who has lost only to the east winner). Next in order are the winners and runners-up from: northeast, north, northwest, west, southwest, south, and southeast. The Tournament Committee shall determine how many prizes are to be awarded.
8. *Alternate method for making collegiate and scholastic draws.* **USTA Regulation IV.** provides an alternate method for making collegiate and scholastic draws.
  9. *Application to team competition.* The provisions of this **USTA Regulation I.H.** except for paragraphs 1. and 2. do not apply to team competition events.

### **FAC Comment I.H-7: Pro-Set Procedures**

The pro-set was first used by early professional tours to shorten a match by playing one pro-set instead of the usual best of three ordinary sets. It is now used for the same purpose when emergency or other conditions so dictate. It also is used in doubles in many tournaments.

While the number of games in a pro-set may be varied at the Referee's discretion, there are two principal types of pro-sets, an 8-game one and

a 10-game one. In the 8-game variety the player who wins eight games with a margin of at least two wins the set. If the score reaches 7-all, two games are played. If a player wins both of these games, the player wins the set by a score of 9-7. If the score reaches 8-all, a Tiebreak will be played with the winner of the Tiebreak winning the set by a score of 9-8. A similar procedure is followed for a 10-game pro-set, where the scores might be 10-8 or 11-9 or 11-10.

## I. Changes in the Draw

1. *Withdrawal of player before play starts.*
  - a. *Withdrawal of a seeded player before play starts.* If a seed withdraws after the draw has been made but before the start of play, the Referee may do any of the following:
    - fill the vacated position with a person not already in the draw whose inclusion would not affect the seedings;
    - remake the draw; or
    - relocate the seeded players as follows:
      - i. *16 Draw.*  
*Seeds 1-4 Withdrawing.* If any of the four seeds withdraws, the next player eligible for seeding becomes the fourth seed, and the new top four seeds are moved into their correct positions.
      - ii. *32 Draw.*  
*Seeds 1-4 Withdrawing.* If any of the first four seeds withdraws, the fifth seed becomes the fourth seed, and the new top four seeds are moved into their correct positions. The next player eligible for seeding moves into the open fifth seed position.  
*Seeds 5-8 Withdrawing.* If the withdrawal is among seeds five through eight, the next player eligible for seeding takes the position vacated by the withdrawing seed.
      - iii. *64 and 128 Draw.*  
*Seeds 1-4 Withdrawing.* If any of the first four seeds withdraws, the fifth seed becomes the fourth seed, and the new top four seeds are moved into their correct positions. The ninth seed takes the position vacated by the fifth seed, and the next player eligible for seeding takes the open ninth seed position.  
*Seeds 5-8 Withdrawing.* If the withdrawal is among seeds five through eight, the ninth seed takes the position vacated by

the withdrawing seed, and the next player eligible for seeding takes the open ninth seed position.

*Seeds 9-16 Withdrawing.* If the withdrawal is among seeds nine through 16, the next player eligible for seeding takes the position vacated by the withdrawing seed.

- iv. *Filling a vacant position.* To fill a vacant non-seed position created by any move described in i. through iii. above, the Referee should follow **USTA Regulation I.I.1.b.**

- b. *Withdrawal of player who was not seeded and filling a vacant position created by moving seeded players.* The Referee may do any of the following:

- i. *Add player to draw.* If there are players awaiting entry into the draw, fill the position with a person not already in the draw whose inclusion would not affect the seedings;
- ii. *Insert a bye if there are no players awaiting entry into the draw and the withdrawal did not create a double bye.* If there are no players awaiting entry into the draw and the withdrawal did not create a double bye, then the Referee may insert a bye in the vacant position;
- iii. *Move unseeded players if there are no players awaiting entry into the draw and the withdrawal would create a double bye.* If there are no players awaiting entry into the draw and the withdrawal would create a double bye, then the Referee may:
  - (A) *Move the opponent of the highest seed who does not have a bye.* Choose the opponent of the highest seed who does not have a bye and move this player to the proper position in the double bye. (Proper position is the top line of the pairing in the top half and the bottom line of the pairing in the bottom half.);
  - (B) *Move the player in the adjoining match.* If all seeded players have byes and there is a first-round match in the adjoining match, then move one player from the adjoining match to the vacant position. (This creates a second-round match between the same players who would otherwise play each other in the first round.)

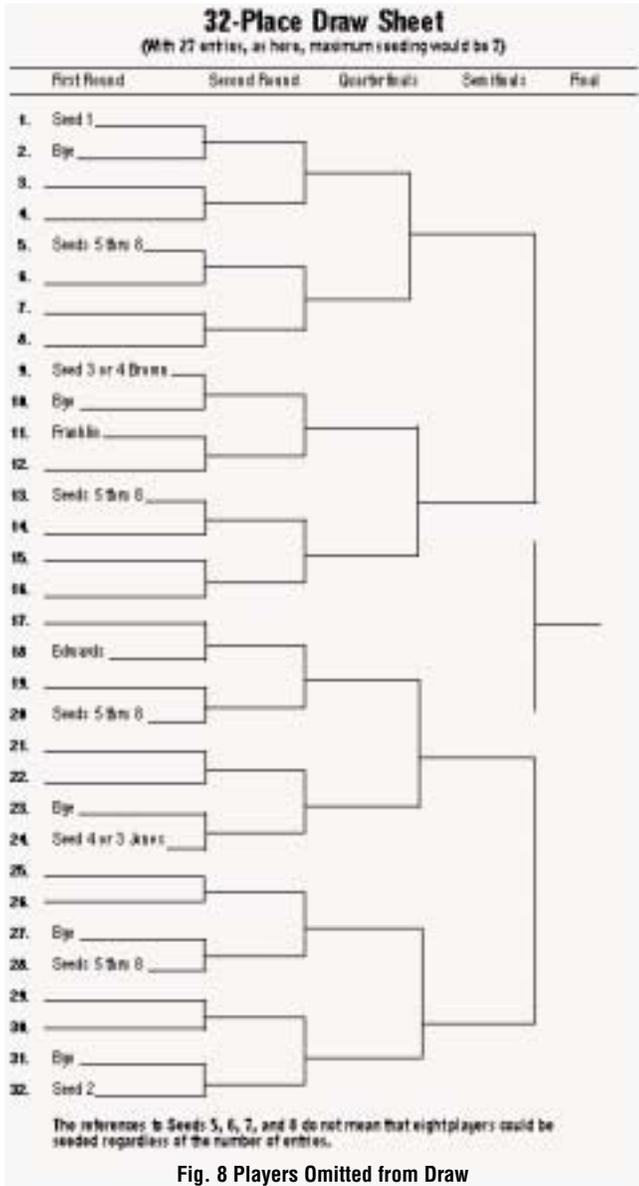
**FAC Comment I.I-1:** Matches are *adjoining* if the winners of these matches will meet in the next round.

(C) *Move a player from another first-round match.* If the adjoining match also contains a bye, first identify the quarter with the most players. If two or more quarters have the most players, then select a quarter in the half opposite the quarter where the vacant position is located. If the quarter you have selected is in the top half, select the first pair of players who have a first-round match and move the player on the bottom of the pairing to the vacant position. If the quarter you have selected is in the bottom half, select the first pair of players who have a first-round match and move the player on the top of the pairing to the vacant position.

2. *Players omitted from the draw.* **See Fig. 8.** Any player whose entry is received on time and is otherwise acceptable will not be denied a place in the draw because of administrative error or oversight by tournament officials unless the Referee determines that play has proceeded too far to make changes in the draw practicable. The entire draw does not have to be remade. Instead, the following procedure should be followed:

a. *If play has not begun and if the omitted player would not have been seeded,* then the player's place in the draw should be determined by a random drawing. The random drawing includes the omitted player and all unseeded players. The player whose name is drawn is placed on the line previously occupied by the last bye that was placed in the draw. See **USTA Regulation I.H.4.d.** for the order in which byes are placed in the draw. Unless the omitted player's name was the one drawn, the name is positioned on the line previously occupied by the player whose name was drawn. For example, there is a draw of 27 with seven seeds and five byes. Seeds 5, 6, and 7 were randomly drawn to lines 28, 5, and 20, respectively. Therefore, the last available bye went on line 27 opposite the fifth seed. **Figure 8** illustrates this procedure. Davidson has been omitted from the draw. A drawing including Davidson and all unseeded players is held. The name of Edwards, which is on line 18, is drawn. Edwards' name is removed from line 18 and placed on line 27. Davidson's name is placed on line 18.

If the draw has no byes, use the same random drawing procedure to determine the player who will play a preliminary match. A random drawing is held among the unseeded players to determine the opponent in the preliminary match. For example, there is a 32-draw with no byes. Davidson has been omitted from the draw. A drawing is held among Davidson and the unseeded players to determine who will play a preliminary



**Fig. 8 Players Omitted from Draw**

match. The name of Edwards, which is on line 18, is drawn. Edwards' name is removed from line 18 and Davidson's name is put in its place. A drawing is now held among the unseeded players (including Davidson) to determine who plays a preliminary match against Edwards. Franklin's name is drawn. Franklin's name is removed from line 11. Edwards and Franklin play a preliminary match for the right to occupy line 11. **Figure 8** illustrates this procedure.

- b. *If play has not begun and if the omitted player would have been seeded*, then the seeding should be changed. The "numbered seeds" will remain on the same lines. The seeded players' names are moved to new lines corresponding to the number of their new seeded positions. The original lowest seed will no longer be seeded. This player's new position is determined by using the procedure for an unseeded player who has been omitted from the draw. For example, there are four seeds, including Brown on line 9, who is seeded third, and Jones on line 24, who is seeded fourth. Davidson was omitted from the draw and should have been seeded third. Davidson is placed on line 9, which was previously occupied by Brown; Brown is placed on line 24, which was previously occupied by Jones; Jones is no longer seeded. Use the procedure in sub-paragraph 2.a. above to reposition Jones.
  - c. *If play has begun or if scheduling problems make it impossible to use the foregoing procedures*, then one method for determining the omitted player's place in the draw would be for the omitted player to play one of the non-seeded players holding a place opposite a bye. The specific place would be determined by lot. If only seeds have byes, then the omitted player shall play the lowest seed who received a bye.
3. *Late entries and substitutions in the draw.*
- a. *When to accept late entries and make substitutions.* The Referee may accept a late entry or substitute a new player or team into the draw if the Referee (preferably assisted by a Tournament Committee member) determines that the ability of a new player or team does not invalidate the seedings. The Referee and Tournament Committee should keep in mind that it is generally desirable to encourage play.
    - i. In an elimination-type tournament no player or team who has lost a match may be reinstated into the draw.
    - ii. A substitution may be made for a player or team who has reached the second round by virtue of a bye, disqualification, default for a reason other than misconduct, or withdrawal.
    - iii. A substitution may be made for a player who is injured

during the warm-up of the player's first-round match or a second-round match that the player has reached by virtue of a bye.

- iv. If the Tournament Committee has provided the Referee with a priority list, the Referee shall use this list in filling places in the draw before accepting any late entry.
- v. Except in extremely unusual circumstances, the draw will not be remade after it has been announced.
- b. *Positioning the player or team.* The Referee shall place the new player or team in the draw by using whichever of the following principles is the first to apply.
  - i. If one member of each of two doubles teams withdraws, then the Referee may combine the two remaining players into a new team. If one of the original doubles teams drew a bye, then the new team should be placed opposite this bye. If both of the original doubles teams or if neither of the original doubles teams drew a bye, then the new team should be placed in the draw in one of the slots occupied previously by the two original teams with the position being determined by lot.
  - ii. If a singles player or one member of a doubles team withdraws, then the Referee shall substitute another player for the withdrawing player.
  - iii. If no player or team withdraws, then the Referee shall place the entry on the line previously occupied by the last bye that was placed in the draw. See **USTA Regulation I.H.4.d.** for the order in which byes are placed in the draw.

**J. Scheduling Matches.** Scheduling should balance fairness to the players and the need to assure that the event is completed on time. This involves making maximum use of available courts, minimizing "dead time" between matches, and assuring appropriate rest for competitors.

1. *Factors.* The Referee should consider the following factors:
  - conditions affecting the draw;
  - regulations affecting the schedule;
  - match timing;
  - weather and available light;
  - players' requests for special scheduling;
  - equalizing, to the extent possible, rest between matches for opponents; and
  - the availability and desirability of officiating assistance.
2. *Conditions affecting scheduling.* Various conditions affect the initial scheduling:
  - the size of the draws;
  - draw format including consolations, if any;
  - the number of courts and hours they are available;

- scheduling guidelines and rest period requirements;
- the number of players who are in more than one division; and
- the match format used in each event.

A combination of these factors may lead the Tournament Committee to make decisions limiting participation.

3. *Estimating length of matches.* There are two common methods for estimating the length of matches.
  - a. *Scheduling with a consistent amount of time between matches.* The following estimates apply:
 

Indoors	1 hour and 15 minutes
Outdoor hard courts	1 hour and 30 minutes
Outdoor clay courts	1 hour and 45 minutes
(early rounds)	1 hour and 30 minutes
No-Ad scoring matches	1 hour and 15 minutes
  - b. *Garman System.* This method is based on a mathematical analysis of national level tournaments and is designed to reduce player waiting times while maximizing court usage. It takes into consideration anticipated defaults, retirements, long matches, and short matches. It schedules a number of matches at short intervals based on the probability that there will be courts available. The system results in a steady stream of check-ins rather than large numbers of players checking in at one time.

**FAC Comment I.J-1:** A USTA publication on the Garman System is available from the USTA Publishing Department.

4. *Players' requests for special scheduling.* A player may request special scheduling of the player's first match. The Referee should honor the request if it is reasonably possible to do so and if fairness to all players can be assured. The Referee has discretion to honor or deny requests for special scheduling of subsequent matches.
5. *Scheduling matches of players with long commutes.* When possible, avoid scheduling matches of players with long commutes for very early or late matches.
6. *Players are responsible for obtaining starting times.* The players are solely responsible for learning the time and place of their matches. The players should not rely on being told the time of their matches and should check the draw.
7. *Posting and changing the schedule.* The Referee shall post the schedule on the official draw sheet. Before beginning any round, normally the Referee should post the time of the next round (for both winners and losers) on the official draw sheet. Once the schedule has been posted, it should not be changed except for a compelling reason. If amended, the Referee shall promptly notify

- all affected players.
8. *Adjacent matches.* The Referee should schedule matches whose winners will meet in the next round at about the same time so that the winners will have about the same amount of rest before they play each other.
  9. *Singles and doubles.* The Referee should keep in mind possible conflicts that may develop because of players who are competing in singles and doubles. When possible, the Referee should schedule singles matches before doubles.
  10. *Rest periods between matches* The Referee shall offer players the minimum rest periods between matches that are set out in **USTA Regulation I.T.1**. The Referee shall take into consideration these rest periods when the Referee prepares the schedule.
  11. *Rest periods between sets.* The Referee shall follow **USTA Regulation I.T.2**, that provides for rest periods between sets.
  12. *Scheduling guidelines.* When possible, the Referee should comply with the following scheduling guidelines. These guidelines are mandatory for all tournaments listed on the Junior National Tournament Schedule. See **USTA Regulation III.A.9**. Under normal conditions, these guidelines are mandatory for Adult and Senior National Championships and Wheelchair National Championships. See **USTA Regulations III.B.7**, and **III.C.6**.
    - a. *12 and under divisions.*
      - i. No match should start nor suspended match be resumed after 8 p.m.
      - ii. When playing best of three Tiebreak set matches, no player should play more than:
        - two singles matches per day;
        - one singles match and two doubles matches per day; or
        - three doubles matches per day.
      - iii. When a Match Tiebreak is used in lieu of a third set in all matches, no player should play more than:
        - three singles matches per day;
        - two singles matches and one doubles match per day;
        - one singles match and two doubles matches per day; or
        - three doubles matches per day.
      - iv. Players should be given a minimum rest of 12 hours between the completion of play of their last match of any day and the start of play of their first match of the following day.
    - b. *14 and under divisions.*
      - i. No match should start nor suspended match be resumed after 8 p.m.

- ii. When playing best of three tiebreak set matches, no player should play more than three matches per day, no more than two of which should be singles.
  - iii. When a Match Tiebreak is used in lieu of a third set in all matches, no player should play more than four matches per day, no more than three of which should be singles.
  - iv. Players should be given a minimum rest of 12 hours between the completion of play of their last match of any day and the start of play of their first match of the following day.
- c. *16 and 18 and under divisions.*
- i. No match should start nor suspended match be resumed after 10 p.m.
  - ii. When playing best of three Tiebreak set matches, no player should play more than three matches per day, no more than two of which should be singles.
  - iii. When a Match Tiebreak is used in lieu of a third set in all matches, no player should play more than four matches per day, no more then three of which should be singles.
- d. *25 through 60 divisions.* In 25 through 60 divisions, a player should not be required to play more than three matches in one day in the same division (including consolation and doubles). No more than two matches should be singles.
- e. *65 through 80 divisions.* In 65 through 80 divisions, a player should not be required to play more than two matches in one day in the same division (including consolation and doubles).
- f. *85 and 90 divisions.* In the 85 and 90 divisions, a player should not be required to play more than two matches in one day in the same division. No more than one match should be singles.
- g. *Wheelchair divisions.*
- i. In tournaments in which matches are best of three Tiebreak sets, no player should be required to play more than three matches per day in the same division (including consolation and doubles). No more than two matches should be singles.
  - ii. When a Match Tiebreak is used in lieu of a third set in all matches, no player should play more than four matches per day in the same division (including consolation and doubles). No more than three matches should be singles.
- h. *All other divisions.* In tournaments in which matches are the

best of three Tiebreak sets, no more than two singles matches per day should be scheduled, including main-draw and consolation matches.

When a Match Tiebreak is used in lieu of a third set in all matches, no more than three singles matches per day should be scheduled, including main-draw and consolation matches.

- i. *Completion of suspended matches.* When a match is carried over from a preceding day, it should be counted as a match for these scheduling guidelines if the player so elects and if 16 or more games of singles or 20 or more games of doubles are required to finish the match.
  - j. *Sectional and district limitations.* Sectional and District Associations may further limit the number of matches played in one day to reflect local considerations.
  - k. *Players entering more than one adult or senior division.* If a player enters more than one adult or senior age division, then these limitations should apply separately to each age division.
13. *Court surfaces.* The Tournament Committee shall not schedule any division on more than one type of court surface. When a tournament cannot be finished on this surface, the Committee may use available courts of any type. Note, however, that **USTA Regulation III.B.5.** requires that the semifinals and finals of Adult and Senior National Championships normally be played on the surface specified in the title.
14. *Completing delayed tournaments.* Delays caused by inclement weather may force the Referee to take steps to keep the tournament on schedule including:
- a. *Switch to No-Ad scoring.* The Referee may switch to No-Ad scoring for any complete round. **USTA Regulation III.A.8.b.** prohibits No-Ad scoring in Junior National Championships.
  - b. *Strictly enforce pre-match warm-up time and breaks between sets.*
  - c. *Tighten court usage.* Use “to be followed by” scheduling and have players waiting at courtside as soon as matches finish.
  - d. *Cancel matches.* If some matches must be canceled, start with consolation rounds. Cancel main draw singles last.

If there is no practical way to finish an event, the Committee shall either make arrangements that are mutually agreeable to the players to finish at a later date, or in the absence of such arrangements, declare the tournament unfinished.

**FAC Comment I.J-2:** *What does a Referee do if the tournament cannot be finished without violating some of the scheduling guidelines?* First, the Referee may *not* violate the regulations setting minimum rest periods between matches. Second, the Referee should remember that the principle behind these guidelines is the protection of the health of the players. Third, the Referee should keep to a minimum the number of situations in which the guidelines are not followed. For example, it makes sense to start a 12-and-under match after 8 p.m. if that will prevent several players from having to play three singles matches the following day. Similarly such a situation might also mean that the Referee may have to delay the start of the next morning's matches in order to give a player enough sleep over night. In short the Referee has to use judgment keeping in mind the principle of the health of the players.

**FAC Comment I.J-3:** The guidelines are mandatory for National Championships. If the Referee has difficulty scheduling matches without violating a guideline, the Referee should consult the appropriate USTA staff and USTA competition committee for assistance.

15. *Scheduling approaches.* The following approaches have proven successful in assuring fair and reasonable scheduling:
  - Schedule as many matches as possible on the earlier days of the event. This avoids playing several late round matches on the same day. This practice also hedges against inclement weather later in the event.
  - Avoid very late and very early starting times.
  - Avoid scheduling late finishing players early on the following day.
  - Take advantage of the different amount of available daylight and lights at each court location.
  - Schedule from the final day of the tournament and work backwards. This allows you to see the number of matches that must be played the first day.
  - Schedule the events with the largest number of entries early in the day.
  - Matches in the 10-, 12-, and 14-and-under divisions need to be scheduled early enough to comply with the scheduling guideline that recommends against starting these matches after 8 p.m.
  - One or two rounds of matches in the 10- and 12-and-under and 65 and older divisions may need to be scheduled on the first day of a weekend tournament to comply with the scheduling guidelines that limit the number of matches played per day.
  - Schedule age divisions that have generally longer matches (for example, 10- and 12-and under) later in the day be-

cause long matches in these divisions may cause the tournament to run behind schedule all day.

- Early rounds of a feed-in championship should be started as soon as possible because it has more rounds than the main draw.

**FAC Comment I.J-4:** The Referee should not change the announced schedule of play except for a compelling reason. The Referee should promptly notify all affected players of any schedule change.

**FAC Comment I.J-5:** The Referee should make every reasonable effort to give comparable rest periods to winners of matches who will play each other in the next round.

#### **K. Checking in at the Tournament**

1. *Player must show USTA card.* The Tournament Committee shall require each player, before the player's first match, to provide proof of a USTA membership or to deposit with the Committee sufficient funds for the purchase of same. A foreign nonresident player who has proof that the player is a member of the player's national association is exempt from this requirement. The Committee may delegate this duty to the Referee.
2. *Check-in desk.* The Referee shall designate a place at which players shall check in. A player is deemed to have arrived when the player checks in at the designated place and the player is properly clothed, equipped, and ready to play.
3. *Player responsible for obtaining match times.* The player is responsible for obtaining the time of the player's matches from the Referee, rather than vice versa. Unless specifically authorized by the Referee, schedules of play carried in newspapers or other media are not official, and a player utilizes them at the player's own risk.

#### **L. Specific Responsibilities of Tournament Committee Once Tournament Starts**

1. *Keeps order.* The Tournament Committee shall keep order on the grounds.
2. *Provides supplies including singles sticks.* The Tournament Committee shall assure that each court is provided with singles sticks for singles matches using a doubles net and with all supplies which it deems necessary for a match.
3. *Provides balls.* At least three new balls shall be used to start a match at tournaments above the sectional championship level. At least three new balls are recommended for use to start a match at the sectional championship level.
4. *Scheduling tournaments on one court surface.* The Tournament Committee shall not schedule any division on more than one type of surface.

5. *Finishing tournaments on different courts and at different times.* When a tournament cannot be finished on the original surface, the Committee may use available courts of any type. Note, however, that **USTA Regulation III.B.5.** requires that the semifinals and finals of Adult and Senior National Championships normally be played on the surface specified in the title.

If there is no practical way to finish on schedule, the Committee shall either make arrangements mutually agreeable to the players involved to finish at a later date or in the absence of such arrangements, declare the tournament unfinished and distribute the prizes equitably among the still-involved players.

**M. Specific Responsibilities of Referee After Draw Has Been Made**

1. *Generally supervises all aspects of play.* The Referee exercises general supervision over all aspects of play, including, but not limited to, the conduct and actions of players, coaches, parents, umpires, ballpersons, groundskeepers, and the administrative crew. The Referee may use best judgment in all situations not specifically covered by the Rules of Tennis or USTA Regulations.
2. *Schedules matches.* The Referee is responsible for scheduling matches and assigning courts (including moving a match in progress to another court at any time). Normally a player's singles match will precede the player's doubles match, but this is not mandatory. A player's request for information as to the scheduled time of the player's first match shall be honored. See **USTA Regulation I.J.**
3. *Determines who may enter the playing area.* The Referee shall determine who may enter the playing area.

**FAC Comment I.M-1:** The playing area is the area inside the fences or backstops. Any designated spectator seating or standing area is not part of the playing area.

4. *Defaults players.* The Referee may default a player for cause.
5. *Considers appeals.* The Referee rules on appeals from players defaulted by the Chair Umpire. **USTA Regulation I.R.4.** refers to this situation.

**FAC Comment I.M-2:** The Referee should not reverse the Chair Umpire's default unless there is a compelling reason.

6. *Handles infractions observed in non-umpired matches.* In non-umpired matches, the Referee and Deputy Referees may take appropriate action with respect to any infraction of the Rules of Tennis or USTA Regulations they observe.
7. *Suspends and postpones matches.* The Referee is responsible for

suspending or postponing play when weather, light, surface conditions, or other circumstances justify so doing.

**FAC Comment I.M-3:** An *incomplete* match refers to a match that was started but not completed. It is anticipated that the match will be completed. The Referee shall record the time and score when the match was stopped, who was serving and from which side, and the reason for the interruption.

8. *Determines ball change pattern.* The Referee determines the ball-change pattern subject to the right of the Chair Umpire to order a ball change at other than the normal time when in the Chair Umpire's opinion abnormal conditions warrant so doing.
9. *Assigns and replaces umpires.* The Referee appoints and replaces or reassigns, when necessary, Chair Umpires, Line Umpires, and Net Umpires. The Referee shall not remove an umpire from a match because of a player's request. These duties may be delegated to the Chief Umpire, if there is one.
10. *Decides questions of law.* The Referee decides any question of law that a Chair Umpire is unable to decide or that is referred to the Referee as an appeal by a player. The Referee's decision in these cases shall be final.
11. *Appoints Deputy Referee.* The Referee must appoint a Deputy Referee to act as the Referee whenever the Referee will be away from the Referee's normal post and out of touch with it for any reason whatsoever, including participation in a match as a player or as an umpire. Either the Referee or Deputy Referee must be present at all times when play is in progress.
12. *Special grass court shoes.* When playing on grass the Referee may authorize the use of special grass court shoes.

**TABLE 2**

**DRAW SHEET TERMINOLOGY AND PROCEDURES**

The key to understanding draw sheet terminology is that a default occurs as a result of some action initiated by an official. Withdrawals, walkovers, and retirements occur as the result of actions initiated by a player.

- a. Withdrawals occur before the first match played or during the warm-up for the first match in an event.
- b. Walkovers occur when a player has completed a match in an event and is not able to start the next match in that event.
- c. Retirements occur when a player is not able to continue playing a match after it has started.

- d. Defaults occur when a player is not allowed by the Referee to begin or continue a match or refuses to play for reasons other than injury, illness, or personal emergency.

Generally withdrawals and walkovers are ignored for ranking purposes; retirements are treated as a match played; defaults may carry a ranking penalty.

**Withdrawals**

A withdrawal occurs when there has been an administrative error or when a player withdraws from the tournament before competing in the event because of injury, illness, or personal emergency. The Referee shall record the opponent as receiving a withdrawal, and the Referee shall write the reason for the withdrawal on the draw. The following codes are used by the TMS System to record withdrawals.

- Illness .....Wd [ill]
- Injury .....Wd [inj]
- Personal Emergency .....Wd [em]
- Tournament administrative error (e.g., tournament entered player in the wrong event) .....Wd [tae]
- Double withdrawal..... Wd / Wd

**Walkovers**

A walkover occurs when there has been an administrative error or when a player, after completing a match in an event, and before (or during the warm-up for) the next match in that event, decides not to play because of injury, illness, or personal emergency. (In a tournament without any alternate available to play, the Referee may allow a player who does not play a first match in the main draw because of injury, illness, or personal emergency to play in the consolation draw. The first match in the main draw is treated as a walkover instead of a withdrawal.) The Referee shall record the opponent as receiving a walkover, and the Referee shall write the reason for the walkover on the draw. The following codes are used by the TMS System to record walkovers:

- Illness .....Wo [ill]
- Injury .....Wo [inj]
- Personal Emergency .....Wo [em]
- Tournament administrative error (e.g., player told incorrect time by tournament) .....Wo [tae]
- Double walkover..... Wo / Wo

**Retirements**

A retirement occurs when a player is unable to continue playing a match or resume a suspended match because of injury, illness, or personal

emergency. The Referee shall record the score at the time of the retirement and shall show the opponent as receiving a retirement. The Referee shall write the reason for the retirement on the draw. The following codes are used by the TMS System to record retirements:

- Illness .....Ret [ill]
- Injury .....Ret [inj]
- Personal Emergency .....Ret [em]
- Adult decision (e.g., an adult such as a parent or coach pulls the child off the court during a match) .....Ret [ad]

**Defaults**

A default occurs when a player:

- is disqualified for cause or ineligibility (**USTA Reg. I.R.1-2**);
- is defaulted under the Point Penalty System (which includes penalties for lateness); or
- refuses to play for a reason other than injury, illness, or personal emergency.

The Referee shall record the score, if any, and shall show the opponent as receiving a default. The Referee shall write the reason for the default on the draw. The following codes are used by the TMS System to record defaults:

- Not showing up at a tournament .....Def [ns]
- Point Penalty System .....Def [pps]
- Player error (e.g., player intended to play but mistakenly showed up at the wrong time or location) .....Def [pe]
- Double default .....Def / Def

**Withdrawals, Walkovers, and Retirements Due to Injury, Illness, or Personal Emergency**

A Referee should give a player the benefit of the doubt when deciding whether the player’s reason for not playing is bona-fide. For example, a young female player may be too embarrassed to reveal her real reason for not wanting to play or not being able to continue playing. Other examples of bona-fide reasons for not playing could include being emotionally distressed over the break up of a relationship or over the death of a relative or friend. Bona-fide reasons other than illness or injury shall be coded as withdrawals, walkovers, or retirements due to personal emergencies.

**Defaults for Refusal to Play**

If a player refuses to play or continue to play a match and the Referee is convinced that the player has refused to play for a reason other than injury, illness, or personal emergency, the Referee shall record the match as Default (Point Penalty System or “pps”). If the player refuses to play the next match, the Referee shall record the match as Default (no show or “ns”). After the Referee has conclusively confirmed that a player refuses

to play the next match, the Referee need not wait until the scheduled time of the match to record the result.

#### **Abandoned Matches**

An abandoned match refers to a match that has started, but the Referee has decided that the match will not be completed. There is no winner or loser of such a match. The Referee shall write “abandoned” on the draw.

#### **Unplayed Matches**

An unplayed match refers to a match that the Referee decides will not be started for any reason other than a withdrawal, walkover, default, or retirement. There is no winner or loser of such a match. The Referee shall write “unplayed” on the draw.

### **N. Standards of Conduct**

1. *General.* Players, persons who appear to be associated with a player (including, but not limited to, parents and coaches), officials, and organizers of any tournament, match, or exhibition are under a duty to encourage and maintain high standards of proper conduct, fair play, and good sportsmanship. They are under an obligation to avoid acts which may be considered detrimental to the game of tennis. Such detrimental acts include, but are not limited to, the acts set out in **USTA Regulation I.N.**

The chairperson of any tournament, match, or exhibition may withhold all or part of any prize money or expenses payable to any player charged by the chairperson or by the Referee of such event with conduct inconsistent with those set out in **USTA Regulation I.N.**, *provided* a written complaint of such conduct is promptly filed with the Chairperson of the USTA Grievance Committee. Any prize money or expenses so withheld shall be withheld until a final determination of the charges in such complaint has been made in accordance with **Bylaw 43**. Immediately after such final determination, the funds withheld, less the amount of any fine, shall be promptly paid to the player, and the funds representing the amount of the fines shall be promptly paid to the USTA.

2. *USTA Anti-Doping Program.* The USTA is committed to ensuring fair and drug free competition. Individual athletes bear the ultimate responsibility for choosing for themselves to compete fairly and drug free. Participation in USTA tournaments constitutes consent to be tested for drugs. Use of banned substances and doping methods is cheating and may result in penalties, including suspension and permanent disqualification. The USTA in conjunction with the ITF has developed a program of education, testing, research, penalties, and rehabilitation. The USTA Board of Directors (hereinafter “Board”) has adopted and supports the USTA Anti-Doping Program.

Copies of this program may be obtained from the USTA and from USTA Sectional Associations.

**FAC Comment I.N-1:** The USTA publishes the *United States Tennis Association Anti-Doping Program*. See this book for the list of prohibited substances. The handbook is available from the USTA Publishing Department.

3. *Flat-soled shoes.* A player may not wear shoes other than flat-soled shoes without heels, except that a player may wear special grass court shoes when the Referee authorizes their use.
4. *Warm-up.* A player who refuses to warm-up with the opponent forfeits the right to a warm-up. During the warm-up or a re-warm-up, a player may have any person hit with the player if the opponent refuses to do so.
5. *Leaving the playing area.* Once a match has begun, a player may not leave the playing area without permission from the Chair Umpire. In a non-officiated match a player may leave the playing area for the purpose of contacting the Referee for a toilet break or equipment adjustment, provided the player does this with minimum delay.
6. *Practice during an intermission.* During an authorized intermission, the Referee may permit practice on the match court. However, practice with the match balls shall not be permitted.
7. *Request removal of official.* A player shall not request that an official be removed from a match.
8. *Inspection of ball marks.* A player shall not pass the net to inspect a ball mark.
9. *No coaching.* Except as permitted under **Rule 31** (team competition) of the ITF Rules of Tennis, a player may not receive coaching during any suspension or interruption of play due to the following:
  - a. Medical Time-Out or Bleeding Time-Out under **USTA Regulation I.W.;**
  - b. maladjustment of a player's clothing, footwear, or equipment under **Rule 30(c);**
  - c. Toilet Visit under **USTA Regulation I.W.9.;** or
  - d. seeking the assistance of the Referee under **USTA Regulation I.N.5.**Coaching is permitted during an authorized rest period under **Rule 30(e)** and during any other authorized suspension of play under either **USTA Regulation I.T.** or **Rule 30(d)**. A temporary interruption of play during which the players do not leave the playing area is not a "suspension" of play for these purposes. Coaching is not permitted during any warm-up.
10. *No abuse of players or officials.*
  - a. *No person shall abuse an official or player.* The Chair Umpire, referee, and any other official responsible for ensuring that a

match is played under conditions which are fair to all players shall make certain that no parent, relative, coach, or other person associated with a player abuses an official or player.

- b. *Official may request abusive person to desist or leave tournament area.* A player who enters a sanctioned tournament or match consents to being penalized under the Point Penalty System for abusive conduct by a person who appears to be associated with the player. If the official observes such conduct, the official shall suspend play and request that the person desist. If the abuse continues, the official may direct the person to leave the tournament area. In a flagrant case the official may immediately direct the person to leave without requesting the person to desist.
  - c. *Point Penalty System applies to abuse.* If the person refuses to follow the instructions to leave, then the official may penalize the player associated with the person under the Point Penalty System. **(USTA Regulation I.P.8.** outlines the right to appeal.)
11. *Player shall not enter two events at the same time.* A player shall not enter two or more tournaments, matches, or exhibitions scheduled to take place at the same time, in whole or in part, unless each committee (or whoever is in charge) involved understands the situation and concurs in writing with such arrangements as are made.
  12. *Player shall not enter a tournament intending to withdraw if the player's entry is accepted in another tournament.* A player shall not enter a tournament with the intention of withdrawing if the player's entry is accepted in another tournament, unless the Tournament Committee for the tournament in which the player has entered understands the situation and concurs with the contemplated action.
  13. *Player shall not fail to appear for reasons other than injury, illness, or personal emergency.* A player shall not enter a tournament and then fail to appear for a match (whether in the qualifying, main, or consolation draw), except for illness, injury, or personal emergency. If the player's reason for failing to appear is not one of these reasons or if the player gives no reason for failing to appear, then the match shall be recorded as a default.
  14. *Player shall not withdraw before the draw for reasons other than injury, illness, or personal emergency.* A player shall not withdraw from a tournament after entries have closed except for a injury, illness, or personal emergency.
  15. *Player shall not withdraw after the draw except for illness, injury, or personal emergency.* A player shall not withdraw from a tournament after the draw has been made, except for illness, injury, or personal emergency. If the player withdraws for other reasons, the match shall be recorded as a default.

The Tournament Committee may require that any player who withdraws from a tournament after the draw has been made and

before the start of play because of illness or injury:

- a. obtain a verification of such illness or injury from a medical professional;
- b. notify the Tournament Chairperson or Referee by telephone or telegram of such illness or injury immediately after such player determines that the player will be unable to play, and;
- c. deliver or mail such a verification to the Tournament Chairperson or Referee within four days from the date the player determines that the player will be unable to play.

If the Tournament Committee desires to impose this requirement, it shall publish a notice of the requirement in the materials furnished to players in connection with their entries into the tournament.

16. *Player shall not withdraw after the event has started except for illness, injury, or personal emergency.* A player shall not withdraw from a tournament (whether during the course of a match or before the start of a match and whether in the qualifying, main or consolation draw), except for illness, injury, or personal emergency. If the player withdraws for other reasons, the match shall be recorded as a default.

The Tournament Committee may require that any player who withdraws after the start of play because of illness or injury obtain a verification of the illness or injury from a medical professional. If the Tournament Committee desires to impose this requirement, it shall publish a notice of the requirement in the materials furnished to players in connection with their entries into the tournament, and it shall, at the tournament's expense, provide the services of a doctor to examine such player. The player may elect, at the player's expense, to obtain the services of another doctor, in which case the player shall do so without delay.

17. *Player shall not engage in unsportsmanlike conduct.* During the course of a match a player shall not engage in:
  - a. *Verbal abuse.* Swear at an official, a spectator or an opponent in a voice that can be heard by any person;
  - b. *Visible or audible profanity.* Use profanity or insulting, abusive or obscene language in any way that may be heard by any person or use obscene, insulting or abusive gestures;
  - c. *Racket abuse.* Throw in any manner a racket;
  - d. *Ball abuse.* Deliberately throw or hit a ball in the direction of an official or the spectators;
  - e. *Physical abuse.* Threaten or inflict bodily injury to anyone; or
  - f. *Other unsportsmanlike conduct.*
18. *Player shall not engage in gambling activity.* A player shall not:
  - a. associate with professional gamblers;
  - b. bet or act as a bookmaker on matches;
  - c. accept money or other consideration for losing a match or for winning by only a particular margin; or

- d. be a party to any payment of money or other consideration to another person to induce the person to lose a match or to win by only a particular margin.
- 19. *Point Penalty System.* A player shall not engage in conduct that calls for a penalty under the Point Penalty System. Any player who violates any USTA Tournament Regulation may be penalized under the Point Penalty System.

**O. Player Responsibilities under *The Code***

*The Code* shall apply to all matches played without a Chair Umpire and to matches played with a Solo Chair Umpire except to the extent the Solo Chair Umpire informs the players that the official is assuming some of their responsibilities.

*The Code* is a USTA publication originally written by Col. N.E. Powel. The principles set forth in *The Code* shall apply in cases not specifically covered by the USTA Regulations.

**P. Point Penalty System**

1. *Mandatory use in any sanctioned tournament.* The Point Penalty System applies to violations occurring during the warm-up and the match in any sanctioned tournament.
2. *Purposes of the System.* The purposes of the System are to:
  - a. deter unsportsmanlike conduct;
  - b. ensure compliance with the continuous-play rule; and
  - c. ensure on-time appearance for matches.

The objective of the Point Penalty System is not to punish, but to secure compliance with the Rules of Tennis and USTA Regulations.
3. *Code Violations for misconduct.* Misconduct shall be penalized pursuant to **Table 3**.
4. *Time Violations.* Time Violations shall be penalized pursuant to **Table 4**.
5. *Delay between points.* When practical in tournaments using a certified official in direct observation of the match, the time which shall elapse from the moment the ball goes out of play at the end of the point to the time the ball is struck shall not exceed 25 seconds.
6. *Officials authorized to impose penalties.* The imposition of penalties is primarily a function of the Chair Umpire, but the Referee may impose penalties in any umpired or non-umpired match on the basis of the Referee's observations or those of the Referee's designated assistants. If a Line Umpire observes a conduct violation or is the object of unsportsmanlike conduct by a player, the Line Umpire shall as soon as possible, without disrupting play in progress, inform the Chair Umpire. The Chair Umpire shall then make a decision under the Point Penalty System.
7. *Flagrant violations.* While the imposition of penalties normally follows the table, any flagrantly unsportsmanslike act may result in immediate default. If an umpire imposes the default, the player may

- d. be a party to any payment of money or other consideration to another person to induce the person to lose a match or to win by only a particular margin.
- 19. *Point Penalty System.* A player shall not engage in conduct that calls for a penalty under the Point Penalty System. Any player who violates any USTA Tournament Regulation may be penalized under the Point Penalty System.

**O. Player Responsibilities under *The Code***

*The Code* shall apply to all matches played without a Chair Umpire and to matches played with a Solo Chair Umpire except to the extent the Solo Chair Umpire informs the players that the official is assuming some of their responsibilities.

*The Code* is a USTA publication originally written by Col. N.E. Powel. The principles set forth in *The Code* shall apply in cases not specifically covered by the USTA Regulations.

**P. Point Penalty System**

1. *Mandatory use in any sanctioned tournament.* The Point Penalty System applies to violations occurring during the warm-up and the match in any sanctioned tournament.
2. *Purposes of the System.* The purposes of the System are to:
  - a. deter unsportsmanlike conduct;
  - b. ensure compliance with the continuous-play rule; and
  - c. ensure on-time appearance for matches.The objective of the Point Penalty System is not to punish, but to secure compliance with the Rules of Tennis and USTA Regulations.
3. *Code Violations for misconduct.* Misconduct shall be penalized pursuant to **Table 3**.
4. *Time Violations.* Time Violations shall be penalized pursuant to **Table 4**.
5. *Delay between points.* When practical in tournaments using a certified official in direct observation of the match, the time which shall elapse from the moment the ball goes out of play at the end of the point to the time the ball is struck shall not exceed 25 seconds.
6. *Officials authorized to impose penalties.* The imposition of penalties is primarily a function of the Chair Umpire, but the Referee may impose penalties in any umpired or non-umpired match on the basis of the Referee's observations or those of the Referee's designated assistants. If a Line Umpire observes a conduct violation or is the object of unsportsmanlike conduct by a player, the Line Umpire shall as soon as possible, without disrupting play in progress, inform the Chair Umpire. The Chair Umpire shall then make a decision under the Point Penalty System.
7. *Flagrant violations.* While the imposition of penalties normally follows the table, any flagrantly unsportsmanslike act may result in immediate default. If an umpire imposes the default, the player may

- appeal to the Referee. If the Referee imposes the default, the player may appeal to the Tournament Appeals Committee.
8. *Appeal of penalty to Referee.* A player's appeal of any penalty is limited to questions of law. See **Rule 29, Cases 1 & 2**.
  9. *Penalties to be imposed on a doubles team.* A penalty on a member of a doubles team is considered to have been imposed on the team.
  10. *Penalties treated as if points actually played.* All penalties under the Point Penalty System are treated as though the points or games actually had been played so far as serving order, court occupancy, and ball change are concerned. One exception, as the chart indicates, is that a player penalized for lateness also shall be deemed to have lost the toss provided for in **Rule 6**. The penalized player is allowed to choose an option but only after the opponent has chosen. The first ball change shall be calculated from the first game played. The choice to serve or receive shall apply to the first game played.
  11. *Time delays when each side is responsible.* If both players or teams are equally responsible for delay during a match, any penalty will be imposed upon the Server.
  12. *Penalties after medical condition develops.* Except during the warm-up, a player suffering from a medical condition may buy time with a penalty.
  13. *Penalties imposed between games or before a match.* A penalty imposed between games or before the start of a match shall apply to the first point of the next game scheduled to be played.
  14. *Point penalties.* A point penalty is scored as though the player had played and lost what would have been the next point.
  15. *Player may not decline penalty.* A player who is the beneficiary of a penalty imposed upon the opponent may not decline to accept it. A player who disobeys the instructions of an official in such a case is liable to being defaulted.
  16. *Reporting penalties to Referee.* After any code violation, the Referee should be promptly notified. After the match, officials shall report to the Referee each penalty imposed (especially any for unsportsmanlike conduct). The Referee shall report to the sectional or USTA grievance committee any penalties that resulted in a default or that the Referee considers to be serious breaches of conduct.
  17. *Other disciplinary action.* Nothing in the Point Penalty System rules out a subsequent imposition of monetary fines, suspensions, or other disciplinary actions by whatever governing body has jurisdiction.
  18. *Announcing score after penalty.* After a point or game penalty, the new score should be announced. After assessing a default, announcing the final score should be delayed until it is determined whether the defaulted player wishes to appeal.
  19. *Lateness.* Lateness for a match and for resumption of a suspended match shall be penalized pursuant to **Table 5**. Lateness after a rest period shall be penalized pursuant to **Table 6**.

20. *Default for failure to arrive on time.*
- a. *Discretion of Referee.* The Referee, in the Referee's sole discretion, after consideration of all relevant circumstances, may elect not to default a player or to reverse a prior declaration of a default for failure to arrive within 15 minutes of the time when the match was scheduled and called.
  - b. *Appeal of default.* If the Referee defaults a player for failure to arrive within 15 minutes of the time when the match was scheduled and called, the player may appeal the default to the Tournament Appeals Committee. The Committee may reverse the default in its sole discretion after consideration of all relevant circumstances.
  - c. *Penalties assessed before default.* If the Referee elects not to declare a default, or if a declared default is reversed by either the Referee or the Tournament Appeals Committee, any penalties for lateness assessed before the default shall stand unless the lateness was caused by an error of a tournament official. For example, if player A, after having been assessed a penalty of loss of toss plus 3 games, is defaulted for failure to arrive within 15 minutes of the time when the match was scheduled and called, and the default is subsequently reversed, the penalty of loss of toss plus 3 games stands, and player A begins play with the score 0-3.  
The player who received the benefit of the default shall have no right to appeal the reversal of the default.

**TABLE 3**  
**POINT PENALTY SYSTEM**  
**Table of Violations and Penalties**

**Code Violations**

***Delay***

- Not resuming play after a Medical Time-Out or Bleeding Time-Out.
- Not resuming play after treatment on a changeover or Set Break.
- Not playing within 25 seconds of having been directed to resume play.
- Passage of 25 seconds after any time violation.
- Leaving the playing area for an unauthorized reason.

***Conduct***

- Visible or audible profanity or obscenity.
- Abuse of racket, balls, or equipment.
- Verbal or physical abuse of a player or official.
- Coaching.
- Abusive conduct by a player or a person associated with a player. (**USTA Regulation I.N.10.** refers to this situation.)
- Retaliatory calls (obviously bad calls made in retaliation for the opponent's calls).
- Unsportsmanlike conduct (any other conduct that is abusive or detrimental to the sport).
- Violation of any USTA Tournament Regulation (**USTA Regulation I.N.19.**).

**Penalties**

Violations shall be penalized as follows:

- First Offense .....Point
- Second Offense .....Game
- Third Offense .....Default

<b>TABLE 4</b>	
<b>Time Violations</b>	<b>Penalties</b>
<ul style="list-style-type: none"> <li>• Delay between points or after warm-up.</li> <li>• Violation of the 90-second changeover or 120-second Set Break rules.</li> </ul>	Violations shall be penalized as follows: First offense.....Warning Each additional violation .....One Point Penalty

\*\*\*

<b>TABLE 5</b>	
<b>Lateness for Match or for Resumption of Suspended Match</b>	
<ul style="list-style-type: none"> <li>• Both players equally late up to 15 minutes.</li> <li>• Both players late but arrive at different times.</li> <li>• Both players are more than 15 minutes late.</li> </ul>	No penalty.  The penalty accrues on the arrival of the first player (A). The opponent (B) loses the toss and one, two, or three games depending on the time elapsed between A's arrival and B's arrival.  The Referee may default both players, or the Referee may reinstate the match using the principle in effect when both players are late but arrive at different times.
<b>Penalties</b>	
<ul style="list-style-type: none"> <li>• 5:00 minutes or less: Loss of toss plus 1 game.</li> <li>• 5:01 - 10:00 minutes: Loss of toss plus 2 games.</li> <li>• 10:01 - 15:00 minutes: Loss of toss plus 3 games.</li> <li>• More than 15:00 minutes: Default.</li> </ul>	
<p>A player is deemed to have arrived when the player checks in at the place designated for checking in and is properly clothed, equipped, and ready to play.</p> <p>The lateness penalty clock starts when the match is scheduled and called, a court is available, and a player has not arrived. The Referee is not required to keep a court open while awaiting a player.</p> <p>Except for a default, the Referee shall never assess more than a 3-game penalty for lateness.</p>	

**TABLE 6**  
**Lateness After a Rest Period**

• Both players equally late up to 5 minutes.	No penalty.
• Both players late but arrive at different times.	The penalty accrues on the arrival of the first player (A). The opponent (B) loses 1 game unless B arrives more than 5 minutes later than A, in which case B is defaulted.
• Both players exceed 5 minutes.	The Referee may default both players. The Referee may reinstate the match without penalties when both players are equally late. The Referee may reinstate the match and impose the penalties described above when both players are late but arrive at different times.

**Penalties**

- 5:00 minutes or less: 1 Game
- More than 5:00 minutes: Default

*For professional events lateness is not penalized in games.*

**FAC Comment I.P-1: Guidelines for Implementing The PPS**

An accepted method of match control is for an official to caution a player whose behavior is borderline. The official should never caution a player whose misconduct is clear; the official should issue a code violation.

Implementation of the Point Penalty System requires judgment. A “yes” answer to any of the following questions requires action under the PPS.

1. Is the player’s action dangerous to any person on or around the court?
2. Is the player’s action abusive towards any person on or around the court?
3. Is the player’s action unreasonably delaying the match?
4. Is the player’s action unsportsmanlike conduct (for example, making a retaliatory call)?

The following actions are generally penalized under the PPS.

1. *Racket abuse.* Breaking the racket, throwing the racket in a manner which endangers any person or damages any part of the court surface or equipment. Throwing a racket, which, even inadvertently strikes any person, should always be penalized.
2. *Ball abuse.* In anger or frustration, hitting, throwing, or kicking a

ball which is not in play thereby causing it to leave the playing area. Hitting, throwing, or kicking a ball in anger or frustration, which even inadvertently strikes any person, should always be penalized.

3. *Audible or visible obscenity.* Includes, but is not limited to:
  - a. words and gestures that are considered patently offensive to court personnel, players, or spectators;
  - b. references to sexual functioning; and
  - c. references to deities when associated with curses.Players must be aware of where they are playing and what is offensive and are responsible for their acts regardless of whether the result was intended.
4. *Verbal or physical abuse of a player or official.* Physical attacks (even if no one is hurt), traditional fighting words, ethnic or racial slurs, or references to sexual orientation.

**FAC Comment I.P-2:** *A player came back 90 seconds late after a rest period, and the Umpire penalized the player one game. Was this the correct ruling?* Yes. The PPS provides a game penalty for any lateness after a rest period, with default after five minutes.

**FAC Comment I.P-3:** *A player took a Medical Time-Out because of cramping. Later in the match the player cramped again, acknowledged that it was a cramp, and was unable to continue play. The Roving Umpire assessed a code violation point penalty for delay and told the player to resume play. After another 25 seconds passed without the player resuming play, the official assessed a game penalty. Should the player have been defaulted because the player had already received a Medical Time-Out?* No. The Roving Umpire handled the situation correctly. Even after a Medical Time-Out a player may gain additional time through use of the PPS without being immediately defaulted. Once an official directs a player to resume play, the player must play within 25 seconds or be assessed another code violation.

**FAC Comment I.P-4:** *Player A was assessed a point penalty because of misconduct. In the next game, Player B, who was Player A's partner, committed a conduct violation and was assessed a penalty of one game. Player A and Player B protested, saying that since this was Player B's first offense they should have been assessed only a point. Is this correct?* No. An offense by either partner counts as a team offense, cumulatively.

**FAC Comment I.P-5:** *A player took a Medical Time-Out. Later the player received additional treatment for that condition during a changeover. The*

*treatment lasted more than 90 seconds, and the player was late in resuming play. The Chair Umpire assessed a warning against the player for a time violation. Was the Umpire's decision correct? No. A player may be treated during any changeover. But if the treatment lasts more than 90 seconds, the player is subject to a Code Violation for delay.*

**FAC Comment I.P-6:** *A player received a Code Violation point penalty. Shortly thereafter, when the player was assessed a game penalty for a second Code Violation, the player demanded that the Referee be called. Must this demand be met? If the appeal involves a question of law, the Referee must be called. Most appeals involving the PPS will involve questions of law. If the appeal involves only a factual issue, the Referee should not be called.*

**FAC Comment I.P-7:** *Player A is penalized loss of toss and a game penalty for lateness; Player B elects to serve. Player A then asks to serve, claiming that the penalty game counts as the first game of the match. Decision? Player B will serve the first game actually played. Player B's decision to serve applies to the first game actually served, not the penalty game.*

**FAC Comment I.P-8:** *Player A is penalized loss of toss and a game penalty for lateness. Player B asserts that Player A has lost the right to a warm-up. Is this correct? No. Player A is entitled to a warm-up.*

**FAC Comment I.P-9:** *The score is 2-0 and 15-15 in the third set with Player A serving. Player B has already received a Medical Time-Out for a heat-related condition. Player B appears to be cramping and is unable to play within 25 seconds. The official issues a Time Violation warning and orders Player B to resume play. Player B is not able to play within an additional 25 seconds. The official issues a Code Violation for delay and penalizes Player B with a point penalty. The score is now 30-15. Player B is not able to play within an additional 25 seconds. What should the official do? The official should treat this as another Code Violation for delay and penalize Player B with a game penalty.*

**FAC Comment I.P-10:** *Same situation as in FAC Comment I.P-9 except that the official has assessed Player B the game penalty, the score is now 3-0, and the players are taking their 90 seconds on the changeover. What happens if Player B does not resume play after the changeover? The official does not have to advise Player B to resume play. Instead the official should default Player B under the Point Penalty System.*

**FAC Comment I.P-11:** *Same situation as in FAC Comment I.P-9 except that with the score 30-15 after being assessed a point penalty, Player B asks for another Medical Time-Out. What should the official do?* The official should ask Player B why the player needs the Medical Time-Out. If Player B says that he is cramping, then the official should advise Player B that he is not entitled to a Medical Time-Out and should order Player B to resume play. The official should assess a game penalty against Player B if Player B is not ready to play within 25 seconds. If Player B states that the problem is a pulled a muscle, the official must allow a Medical Time-Out. If it is determined that Player B did not pull a muscle but instead is cramping, the Medical Time-Out ends. The official should tell Player B to resume play. If Player B does not resume play within 25 seconds, the official should assess a game penalty.

**FAC Comment I.P-12:** *What should happen when one player repeatedly fails to call out the score and officials have to be called to the court repeatedly to settle scoring disputes?* The official should tell the player that USTA Regulations require the Server to call out the score. In a particularly egregious case, the official may treat subsequent incidents as code violations for unsportsmanlike conduct.

**FAC Comment I.P-13:** *What should an official do when a player has been overruled more than once during a match?* At some point, an official may caution the player (or team) that future overrules will be penalized under the Point Penalty System as unsportsmanlike conduct. There is no hard and fast rule as to how many overrules is “too many.” An official should consider all factors including:

- the age and experience of the player;
- the closeness of the calls;
- the importance of the points on which the overrules have occurred;
- the factors that might have caused the player to miss the call (e.g., a sudden gust of wind blew the ball in at the last minute versus apparent outright cheating or a retaliatory call); and
- the frequency with which the overrules occur.

An official should consider cautioning a player if there have been two overrules during the same set. Once an official cautions a player that subsequent overrules will be penalized under the Point Penalty System, the official must penalize subsequent overrules.

**FAC Comment I.P-14:** *What should an official do when a player grunts so loudly that play on nearby courts is affected?* The official may treat loud grunting as a hindrance. If the official concludes that the grunting affected the outcome of the point on the Court where the grunting

occurred, the official may order that the point be replayed. The official should advise the player that subsequent loud grunting that affects the outcome of a point will be treated as a hindrance and will result in loss of the point. An official should not order a point replayed on an adjacent court even if the grunting may have affected the outcome of a point on that court.

**FAC Comment I.P-15:** *What should an official do when a player engages in loud outbursts in a foreign language?* If the loud outburst is in a language that the official does not understand, the official should caution the player that further foreign language outbursts that are not understood by the official will be penalized under the Point Penalty System as unsportsmanlike conduct.

#### **Q. Balls and Ball Change Pattern**

1. *The type of ball.* At the sectional championship level and above the type of ball shall be consistent throughout a tournament event unless the playing surface or conditions are changed. For example, both heavy duty felt balls and regular felt balls normally shall not be used in the same tournament event. Compliance is recommended for tournaments below the sectional championship level.
2. *Approved balls.* At all USTA events (including tournaments, leagues, and other events) the ball used must be on the list of balls approved by the USTA or must be otherwise authorized by the USTA. The USTA shall rule on whether any ball or prototype complies with the specifications adopted by the ITF pursuant to the ITF Rules of Tennis or is otherwise authorized for play. Rulings may be taken on the USTA's own initiative or upon application by any party with a bona-fide interest, including any player, equipment manufacturer, ITF, Sectional Association, District Association, or Organization Member. Rulings shall be made in accordance with the then current testing procedures adopted by the USTA. A list of balls approved by the USTA shall be published.

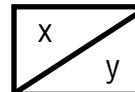
**FAC Comment I.Q-1:** A current list of the USTA approved balls is available on its web site at [www.usta.com](http://www.usta.com).

3. *Referee determines ball change pattern.* The Referee shall determine the ball change pattern subject to the right of the Chair Umpire to order a ball change at other than the normal time when the Chair Umpire determines that abnormal conditions warrant so doing.
4. *Number of balls.* New balls shall be used to start a match commencing

**BALL CHANGE CHART**  
**MAXIMUM NUMBER OF BALLS REQUIRED AND NUMBER OF**  
**3-BALL CANS REQUIRED FOR A MATCH**

	Ball Change	3 Balls In Play	4 Balls In Play	6 Balls In Play
3-Set Match	7 and 9	15 5	20 7	30 10
	9 and 11	12 4	16 6	24 8
	11 and 13	12 4	16 6	24 8
5-Set Match	7 and 9	24 8	32 11	48 16
	9 and 11	18 6	24 8	36 12
	11 and 13	18 6	24 8	36 12

x = number of balls  
y = number of 3-ball cans



**Fig. 9**

with the warm-up. At least three balls are recommended for use at matches at the sectional championship level. At least three balls shall be used for matches at tournaments above the sectional championship level.

When a tournament specifies new balls for a third set, new balls shall be used unless all players agree otherwise.

5. *Warm-ups.* Warm-ups in which the match balls are used are treated as the equivalent of two games of match play.
6. *Correcting ball change errors when balls are to be changed after a specified number of games.* Balls may be changed after a specified number of games, such as after the first nine games and every eleven games thereafter. If a ball change is missed, the new balls shall be put in play when the player, or pair in the case of doubles, who should have served with new balls is next due to serve. Thereafter the balls shall be changed so that the number of games between changes shall be as originally determined.
7. *Correcting ball change errors when balls are to be changed at the start of the third set.* In matches when a ball change is authorized only at the start of the third set and the ball change is missed, the new balls shall be put in play as soon as the mistake is discovered.
8. *Balls that become unfit for play.* If a ball becomes unfit for play (for example, ball breaks or loses compression), it shall be replaced immediately. If a ball becomes wet, it may be taken out of play temporarily until it dries, or it may be replaced.
9. *Replacement of balls.* If a ball has to be replaced during the warm-up or before the start of the third game after a ball change, the ball shall be replaced with a new ball. At all other times it shall be replaced with a ball of like wear to the remaining balls.
10. *Resuming play after suspension of a match.* In matches where a ball change is authorized only at the start of the third set, warm-up after a suspension may be conducted with the match balls.

In all other matches, warm-ups after a suspension should be conducted with balls other than the match balls. If other balls are not available, then the match balls may be used, but the balls should be changed two games sooner than the originally specified number of games.

When the Umpire or Referee determines that the condition of the balls has materially changed since suspension of play, the match shall be resumed with balls whose condition is equivalent to the condition of the balls that were being used before their condition materially changed. If this is not possible, the match shall be resumed with new balls and re-warm-up shall be conducted with the new balls.

11. *Practice during an intermission.* The Referee may permit practice on the match court during an intermission, but not with the match balls.

#### R. Disqualification or Default of a Player

1. *Referee may default player for cause.* The Referee may default a player for cause, which includes, but is not limited to, tardiness, misconduct, or failure to follow the Referee's instructions or those of the Chair Umpire or Roving Umpire.
2. *Disqualification of ineligible player.* Upon presentation of proof, the Referee shall disqualify a player who has entered a tournament for which the player is ineligible because of age or other restrictions that apply for that tournament. The Referee may reinstate the loser of the last match won by the disqualified player.
3. *Appeal to Tournament Appeals Committee of disqualification or unilateral default issued by Referee.* If the Referee disqualifies or unilaterally defaults a player, the player shall notify the Referee within 15 minutes of being notified of the disqualification or default of the player's intent to appeal to the Tournament Appeals Committee. The Tournament Appeals Committee's decision on any appeal shall be final.
4. *Appeal to Referee of default issued by Chair Umpire.* A player who has been defaulted by the Chair Umpire may appeal the decision to the Referee. The Referee's decision shall be final.

**FAC Comment I.R-1:** The player appeals by notifying the official who has disqualified the player of the player's intent to appeal. The official shall then contact the Referee. If the Referee disqualified the player, the Referee shall contact the Tournament Appeals Committee.

5. *Players shall not leave playing area while appeal is pending.* When a player appeals an on-court disqualification or default, the player must appeal before the players leave the playing area. When an appeal has been made, no player shall depart the playing area until the appeal has been acted upon.
6. *When defaulted player may play in other events.* A player who has been defaulted for misconduct shall not participate in any other events in that tournament. Tardiness is not considered misconduct. A default for misconduct, assessed against a doubles' player shall not prohibit the participation of the partner in other events in that tournament *unless*, in the judgment of the Referee, the conduct of both partners contributed to the default. A player who has been defaulted for a reason other than misconduct is entitled to play in all other events in the tournament, *provided that* a player who has been replaced in the main draw by an on-site alternate is not entitled to play in the consolations. See **USTA Regulation I.H.5.c.**
7. *Betting.* If a player bets on a match, the Tournament Committee shall immediately remove the offender from any further connection with the tournament.

### S. Match Formats

Most matches use the scoring system specifically described in **Rules 26, 27, and 28** (excluding Appendix II) of the ITF Rules of Tennis and are the best of three sets. In interscholastic, state, sectional, and national championships in the Boys' 18 and Girls' 18 divisions, the final round may be the best of five sets. In the Men's Open, 25, and 30 divisions, matches in any round may be the best of five sets.

Other match formats may be used. Results of matches using other formats shall be used for rankings unless prohibited by applicable district, sectional, or national ranking regulations. Other match formats include matches consisting of the best of three sets with a Match Tiebreak in lieu of the third set, pro-set matches, matches consisting of one set only, and short set scoring. The tournament entry form shall specify the format being used.

### T. Rest Periods

#### 1. Rest periods between matches.

- a. *Minimum rest period.* All players shall be entitled to a rest period of at least 30 minutes between matches.
- b. *Junior divisions.* Players in junior divisions shall be entitled to a rest period of 60 minutes between matches, except that players in junior divisions in doubles-only tournaments shall be entitled to a rest period of only 30 minutes between matches.
- c. *Senior divisions.* Players in Senior Mixed Doubles, Senior Parent-Child, and Senior 35, 40, and 45 divisions shall be entitled to a rest period of 60 minutes between matches. Players in senior divisions 50 and older shall be entitled to a rest period of 90 minutes between matches.
- d. *Wheelchair divisions.* A player shall be entitled to a rest period according to the following table:

Match Length	Rest Period
• 60:00 minutes or less	30 minutes
• 60:01 minutes to 89:59 minutes	45 minutes
• 90:00 minutes or more	60 minutes
- e. *NTRP.* Players in events without age restrictions in NTRP tournaments shall be entitled to a rest period of 60 minutes between matches.

Players in senior age divisions of NTRP tournaments shall be entitled to a rest period between matches as set forth in the preceding paragraph for senior divisions.
- f. *Additional rest between matches.* The Sectional Association, District Association, or the Referee may authorize additional rest when any of them concludes that the length of the match, heat, humidity, or other conditions justify an extension.
- g. *Participation outside age division.* When a junior player "plays up" in age division or when a senior player "plays down" in age division, the player is governed by the regulations of the

division in which the player plays.

- h. *Play in more than one age division.* Players who participate in more than one age division shall be entitled to only 30 minutes rest between matches in different age divisions.
- i. *Other format matches.* When match formats other than the best of three or best of five sets are played, the Referee, after notice, may shorten the rest periods, to not less than 30 minutes between matches.

2. *Rest periods between sets.*

- a. *Boys' 18 and Girls' 18 divisions.* No rest period is authorized during a best of three set match. After the third set in a best of five set match, a 10-minute rest period is mandatory. (But see **USTA Regulation I.T.1.k.**)
- b. *All other junior divisions.* After the second set a 10-minute rest period is mandatory.
- c. *Men's adult divisions (Open, 25, and 30).* No rest period is authorized except that a tournament may allow a rest period in a five set match. (See h. below.)
- d. *Women's adult divisions (Open, 25, and 30) and Mixed Doubles divisions (Open, 25, and 30).* After the second set any player is entitled to a rest which shall not exceed 10 minutes, except that a tournament may eliminate rest periods provided advance notice is given.
- e. *Senior, Parent-Child, Senior Parent-Child, Senior Mixed Doubles, and NTRP divisions.* After the second set any player is entitled to a 10-minute rest period.
- f. *Wheelchair Open divisions.* No rest period is authorized in a best of three set match.
- g. *All other Wheelchair divisions.* After the second set, a player is entitled to a rest period that shall not exceed 10 minutes.
- h. *Participation of wheelchair players in able-bodied divisions.* When a wheelchair player plays in an able-bodied division, the player is governed by the rest period regulations of that division.
- i. *Participation outside age division.* When a junior player "plays up" in age division or a senior player "plays down" in age division, the player is governed by the regulations of the division in which the player plays.
- j. *Matches with a tiebreak in lieu of the third set.* In matches consisting of the best of three tiebreak sets with a tiebreak in lieu of a third set, no rest period is authorized. The players are entitled to the 120-second Set Break.
- k. *Additional rest periods between sets.* When not otherwise authorized, the Referee may grant a 10-minute rest period after the second set of a best of three set match in the event of heat, humidity, or other conditions. The Referee shall announce the

rest period before the match.

- I. *Suspended matches.* When play is suspended for 10 minutes or more, any authorized rest period may be taken only after two consecutive sets in a best of three set match (three consecutive sets in a best of five set match) have been played without interruption. Completion of an unfinished set counts as one set.

**FAC Comment I.T-1:** *Should the Referee make every reasonable effort to give comparable rest periods to winners of matches who will play each other in the next round? Yes.*

**FAC Comment I.T-2:** *May the Referee shorten the rest period between matches in tournaments using No-Ad scoring? No, because No-Ad scoring is not an alternative match format.*

**FAC Comment I.T-3:** *A junior player enters the 16 singles and the 18 doubles divisions. The player is scheduled to play two singles followed by one doubles match. How much rest must the Referee offer the player between the matches? The Referee must offer the player 60 minutes between the singles matches because the matches are in the same division. The Referee is required to offer the player only 30 minutes between the second singles match and the first doubles match because these matches are in different divisions.*

**FAC Comment I.T-4:** *Same situation as in FAC Comment I.T-3 except that the player is scheduled to play a singles match, the doubles match, and the singles match. How much rest must the Referee offer the player between the matches? The Referee is required to offer the player only 30 minutes between each match because in each case the matches are in different divisions.*

#### **U. Suspension of Play**

1. *Referee may postpone or suspend play.* The Referee may postpone or suspend play when weather, light, surface conditions or other circumstances justify so doing. Suspension of a match because of darkness should be done only at the end of an even number of games in the set or at the end of a set.
2. *Chair Umpire may suspend play.* When, in the opinion of the Chair Umpire, playing conditions justify suspension of the match, the Chair Umpire may advise the Referee. When practicable the Chair Umpire should obtain the Referee's approval before suspending play.
3. *Player may not leave grounds during suspended match without permission of Referee.* When a match has been suspended, a player may not depart from the grounds until the player has obtained from the Referee either the time the player is next to play or clearance to depart.

## V. Tiebreaks and No-Ad Scoring

1. *Tiebreak.* The Tiebreak (first to 7 by a margin of 2) is described in **Rule 27(b)** of the ITF Rules of Tennis and determines the winner of any set in which it is used.
2. *Match Tiebreak.* **Appendix II** of the ITF Rules of Tennis authorizes a Match Tiebreak to be played in lieu of the deciding final set. There are two forms of the Match Tiebreak: 7 points (first to 7 by a margin of 2); and 10 points (first to 10 by a margin of 2).
3. *Tiebreak use mandatory.* Use of a Tiebreak is mandatory in all sets of any sanctioned tournament.
4. *Optional use of a Match Tiebreak in lieu of the deciding final set.* The Match Tiebreak (7-point or 10-point) may be used in lieu of a deciding final set in:
  - any tournament below the national championship level;
  - USTA Super National Championships when there is inclement weather; and
  - USTA National Open Championships.Any event electing to use the Match Tiebreak in lieu of a deciding final set shall announce the election on the entry form.
5. *Experimental Tiebreak.* The experimental Tiebreak is the same as the present Tiebreak except that ends are changed after the first point, then after every four points, and at the conclusion of the Tiebreak.
6. *When experimental Tiebreak is authorized.* For experimental purposes, a Sectional Association may authorize any tournament below the national championship level to use the experimental Tiebreak. For experimental purposes, the appropriate USTA competition committee may authorize the use of the experimental Tiebreak for any other tournament. Any tournament electing to use the experimental Tiebreak must announce the election before the start of tournament play.
7. *Recording the Tiebreak score.* When a Tiebreak is played, the score of the set shall be written 7-6(x) or 6-7(x), with (x) being the number of points won by the loser of the Tiebreak. For example, 7-6(4) means the Tiebreak score was 7-4, and 6-7(14) means the Tiebreak score was 14-16.

If a Match Tiebreak set is played in lieu of the third set, the Tiebreak score is recorded 1-0(x) with x being the number of points won by the loser of the tiebreak.
8. *Changing ends during a Tiebreak.* Changes of ends during a Tiebreak shall be made within the normal time allowed between points.
9. *Ball changes.* If a ball change is due at the start of a Tiebreak, it shall be deferred until the start of the second game of the next set. A Tiebreak counts as one game in determining ball changes.
10. *No-Ad scoring.* The No-Ad scoring system is described in **Rule 26(b)**. A tournament electing to use No-Ad scoring must announce the election before the start of tournament play *except* as set forth in **USTA Regulation I.V.11.** below.

11. *Change to No-Ad scoring.* The Referee may switch to No-Ad scoring from regular scoring before the start of play in any round without prior notice on the entry form when in the Referee's discretion the change is necessary to complete the tournament after inclement weather or other factors cause the tournament to fall behind its published schedule. **USTA Regulation III.A.8.b.** prohibits No-Ad scoring in National Junior Championships.
12. *Short Sets and Match Tiebreak.* A tournament electing to use "Short" Sets or "Match Tiebreak" scoring must announce the election before the start of tournament play. See **Appendix II to the ITF Rules of Tennis.**

**FAC Comment I.V-1: Service Order.** The player or team whose turn it was to serve first if a full set were played starts serving a Match Tiebreak that is played in lieu of a deciding final set. Consistent with the principle of **Rule 35**, either partner on a doubles team may serve first for their team.

**FAC Comment I.V-2: Receiving positions.** Consistent with the principle of **Rule 36**, a doubles team may change receiving positions at the start of a Match Tiebreak.

**FAC Comment I.V-3: Change of ends.** Players change ends at the start of a Match Tiebreak only if an odd-game changeover is due. During the Match Tiebreak, players change ends after every six points.

**FAC Comment I.V-4: Rest periods.** **USTA Regulation I.T.2.g.** states that there is no rest period when a Match Tiebreak set is played in lieu of a deciding final set. Nonetheless, players may take the normal 120 seconds before the start of a Match Tiebreak.

**FAC Comment I.V-5: Ball change.** There never is a ball change at the start of a Match Tiebreak that is being played in lieu of a deciding final set.

**FAC Comment I.V-6: Mistakes.** See **USTA Comments E2 and E2.1-10** for how to handle mistakes during Tiebreaks.

#### **W. Medical Time-Out, Bleeding Time-Out, and Toilet Visit**

1. *Medical condition.* Medical condition includes, but is not limited to, an injury, illness, or heat-related condition or cramping.
2. *Medical Time-Out.* A Medical Time-Out consists of evaluation time as determined by the Referee plus a maximum of three minutes treatment time.
3. *Request for a Medical Time-Out.* A request for a Medical Time-Out may be made by a player to the Referee, Chair Umpire, or other official at any time during the match or warm-up.

During the match or warm-up, if a player suffers from a medical condition or believes that medical diagnosis or treatment is required, the player may request a one-time Medical Time-Out for that medical condition. Subsequently, the player may request another Medical Time-Out for a *different* medical condition. If a player has taken a Medical Time-Out during the warm-up, the player may take a second Medical Time-Out during the match for that same condition if that condition is aggravated.

- a. *Qualified medical personnel available.* If qualified medical personnel or an athletic trainer is available, the 3-minute treatment time begins after the evaluation of the medical condition.
- b. *Qualified medical personnel not available.* If qualified medical personnel or an athletic trainer is not available, the Referee, Chair Umpire, or other official shall explain the Medical Time-Out rule and allow the player to be treated by any person selected by the player. The official may provide supplies. The 3-minute treatment time begins immediately after an official has explained the Medical Time-Out regulation.

The Referee, Chair Umpire, or other official may grant permission for any evaluation or treatment permitted under this regulation to occur off-court. Such permission shall not alter the 3-minute time limitation.

**FAC Comment I.W-1:** Because the 3-minute limit on treatment starts as soon as the official explains the Medical Time-Out regulation, the official may want to delay explaining the regulation. For example, when the supplies and equipment needed to treat a player are not nearby, the official may defer explaining the Medical Time-Out regulation until after the official has walked the player to the supplies and equipment. The time that it takes the player to get clothing and equipment (other than a racket) back into adjustment and the time it takes to walk back and forth to the court is not included in the treatment time but is included in the overall 15-minute limit of **USTA Regulation I.W.4.c.**

4. *When Medical Time-Out may be taken.*
  - a. *During the match.* During the match if a player suffers from a medical condition, aggravates a pre-existing condition, or aggravates a condition that developed during the warm-up, the player may receive a one-time Medical Time-Out:
    - immediately after the request;
    - on the next changeover;
    - after a qualified medical person or athletic trainer arrives, evaluates, and is prepared to treat the medical condition; or
    - after the Referee or other official arrives and explains the Medical Time-Out regulation.

If play is suspended until qualified medical personnel, an athletic trainer, or an official arrives, then play (or re-warm-up, if any) shall resume immediately after completion of evaluation and treatment.

- b. *During the warm-up.* During the warm-up if a player suffers from a medical condition or aggravates a pre-existing condition that prevents the player from starting the match as scheduled, the player may receive a Medical Time-Out:
- immediately after the request; or
  - at the end of the warm-up.

If a player is unable to compete after receiving a Medical Time-Out, then the match shall not begin.

- c. *Penalty.* If more than 15 minutes elapse between the time an official is notified of the medical condition and resumption of play (or re-warm-up, if any), the player shall be subject to the Point Penalty System

- d. *Bleeding Time-Out.* A player may request one Bleeding Time-Out for external bleeding from one area of the body. If the player develops external bleeding from a different area of the body or a new injury involving external bleeding from the same body part, the player may request an additional Bleeding Time-Out for the new bleeding condition. A Bleeding Time-Out shall be called whenever a player is bleeding externally. Play shall resume when the bleeding has been stopped and any blood on the court and the playing area has been removed and proper disposition made of any contaminated tennis balls. After the Bleeding Time-Out, the official in charge may authorize additional time, keeping in mind fairness to the other player and the 15-minute time limit. The Point Penalty System shall not be applied to any delay that is caused by treatment of bleeding or removing blood. If the bleeding or the removal of the blood takes more than 15 minutes or if the official in charge determines that the continuation of the match would likely involve continued interruptions and thus would not be fair to the opponent, the official shall require the player who is bleeding to retire.

**FAC Comment I.W-2:** A player may request one Bleeding Time-Out for bleeding from one particular area of the body, (for example, nose bleed). If the player develops external bleeding from another body part (for example, following a fall), the player is entitled to an additional Bleeding Time-Out for the new bleeding condition.

5. *Medical treatment during changeover or Set Break.* Within any 90-second changeover or Set Break, a player may receive on-court evaluation, treatment, or supplies from anyone for any treatable medical condition. The player, or another person on behalf of the player, shall notify the Referee, Chair Umpire, or other official before using any supplies for treatment of a medical condition.

**FAC Comment I.W-3:** If an official becomes aware that a player has a medical condition that is being treated on odd-game changeovers, the official should carefully monitor the changeovers to make certain that no player receives coaching.

6. *Limitation on Medical Time-Outs for heat-related conditions and cramping.* Only one Medical Time-Out shall be permitted for heat-related conditions and cramping in any match, even if the heat-related condition or cramping occurs in different parts of the body. (A player may receive a Medical Time-Out for a heat-related condition or cramping during the warm-up and another Medical Time-Out for the same condition during a match.)
7. *Non-treatable medical conditions.* Players may not receive a Medical Time-Out or treatment any time during a match or a warm-up for the following medical conditions:
  - a. Any medical condition that cannot be treated appropriately during a match, such as degenerative conditions not helped or eased by on-court treatment.
  - b. General player fatigue, such as fatigue not accompanied by cramps, vomiting, dizziness, blisters, or other similar treatable conditions.
  - c. Any medical condition requiring injections, intravenous infusions, or oxygen. Diabetics may be allowed to use devices to check blood sugar and may administer subcutaneous injections of insulin, if needed. Asthmatics may use handheld, non-battery, or non-electrical inhalers, if needed.
8. *Leaving the playing area.* A player requesting a Medical Time-Out or Bleeding Time-Out may leave the playing area to contact the Referee, the Deputy Referee, or other official in charge of the match. If an official is present, the player may not leave the playing area without the official's permission.
9. *Toilet visit.* A player may request one or more suspensions of play for a toilet visit. For each request, the Referee, the Deputy Referee, or other official in charge of the match shall decide if it is a genuine toilet emergency, as opposed to general player fatigue. If the request is not granted, play continues.
10. *Coaching not permitted.* No coaching shall be permitted during the suspension of play for either a Medical Time-Out or a toilet visit.

**FAC Comment I.W-4:** Whenever possible, toilet visits should take place during the 120-second Set Break.

**FAC Comment I.W-5:** *Early in the third set a player felt woozy and requested a Medical Time-Out. The Referee told the player that the player was not entitled to a Medical Time-Out because the player was suffering from non-treatable loss of physical condition. Was the Referee's decision correct?* No. The Referee should have allowed enough time for a qualified medical person or trainer to evaluate whether the player was suffering from general fatigue that was not accompanied by a treatable medical condition such as cramps, vomiting, some forms of dizziness, or blisters. If the player's general fatigue was accompanied by a treatable medical condition, then the Referee should have allowed it to be treated. Otherwise no treatment is allowed.

**FAC Comment I.W-6:** *Same situation as in FAC Comment I.W-5 except no qualified medical person or trainer is on site. The Referee's decision was not correct.* The Referee should have explained the Medical Time-Out rule to the player and allowed the player to be treated by whomever the player chooses.

**FAC Comment I.W-7:** *What happens if a player aggravates an old hamstring injury during the warm-up and then re-aggravates it during the match?* The player is entitled to a Medical Time-Out during the warm-up and again during the match.

**FAC Comment I.W-8:** *What happens if a player takes a Medical Time-Out during the warm-up because the player has just pulled a hamstring muscle and then aggravates that injury during the match.* The player is entitled to another Medical Time-Out during the match.

**FAC Comment I.W-9:** *A player requested a Medical Time-Out for treatment of leg cramps. The Referee granted the request. Can a player receive treatment for loss of physical condition?* Yes. A player may be treated as long as the condition is treatable. The ITF Rules of Tennis no longer distinguish between injuries and natural loss of physical condition.

**FAC Comment I.W-10:** *A player's left leg started cramping so the player requested and received a Medical Time-Out. One-half hour later the player's right forearm cramped up and the player requested another Medical Time-Out. The Referee gave the player another Medical Time-Out. Was the Referee's decision correct?* No. A player is entitled to only one Medical Time-Out for all cramping and heat-related conditions during a match.

**FAC Comment I.W-11:** *A junior player started bleeding from the nose. The only way that the bleeding could be stopped was by placing a piece of cotton in the player's nose. The player does not want to play with the cotton. What should the Referee do?* The Referee should explain that the player must choose between playing with the cotton and being required to retire.

**X. Responsibilities of the Tournament Committee and Referee After Completion of Tournament**

1. *Submit draw sheets to USTA within seven days.* Within seven days after the completion of a tournament, the Tournament Committee shall submit to the body issuing the sanction complete, legible draw sheets containing first and last names of all players, match scores, and other information that is required by the body issuing the sanction. Failure to submit these reports may bring about disciplinary action by the sanctioning body. The foregoing also applies to feed-in championships and consolations conducted as part of the tournament.
2. *Reports required by USTA Regulation I.N.* Within 30 days after the completion of a tournament, the Tournament Committee shall file such reports as are required by **USTA Regulation I.N.** Failure to submit these reports may bring about disciplinary action by the sanctioning body.
3. *Referee reports violations of USTA Regulations to grievance committee within three days.* Within three days after the end of a tournament, the Referee shall report, either orally or in writing, to the sectional or USTA grievance committee any violations of these USTA Regulations and in particular **USTA Regulations I.E.1., I.M.4., I.N.,** and any other conduct violations.

**Y. Reporting Violations of USTA Regulations**

Any player or official who observes a violation of USTA Regulations may file a written complaint with the Chairperson of the grievance committee of the Sectional Association where the tournament was held, or with the Chairperson of the USTA Grievance Committee. If the tournament included any nationally-ranked players, it would be preferable to file such a complaint with the Chairperson of the USTA Grievance Committee. (See **USTA Bylaw 43.**)

**II. OFFICIATING REGULATIONS**

**A. Referee (USTA Regulation I.C.3. further defines the role of the Referee)**

1. *General supervision of all aspects of play.* The Referee exercises general supervision over all aspects of play, including, but not limited to, the conduct and actions of players, coaches, parents, umpires, ballpersons, groundskeepers and the administrative crew. The Referee should use judgment in all situations not specifically covered by the Rules of Tennis and USTA Regulations.
2. *Determines who enters playing area.* The Referee shall determine who may enter the playing area.
3. *Decides points of law.* The Referee decides any point of law that an umpire is unable to decide or which is referred to the Referee by appeal from a player. The Referee's decision in such cases shall be final.
4. *Suspends and postpones matches.* The Referee is responsible for

**X. Responsibilities of the Tournament Committee and Referee After Completion of Tournament**

1. *Submit draw sheets to USTA within seven days.* Within seven days after the completion of a tournament, the Tournament Committee shall submit to the body issuing the sanction complete, legible draw sheets containing first and last names of all players, match scores, and other information that is required by the body issuing the sanction. Failure to submit these reports may bring about disciplinary action by the sanctioning body. The foregoing also applies to feed-in championships and consolations conducted as part of the tournament.
2. *Reports required by USTA Regulation I.N.* Within 30 days after the completion of a tournament, the Tournament Committee shall file such reports as are required by **USTA Regulation I.N.** Failure to submit these reports may bring about disciplinary action by the sanctioning body.
3. *Referee reports violations of USTA Regulations to grievance committee within three days.* Within three days after the end of a tournament, the Referee shall report, either orally or in writing, to the sectional or USTA grievance committee any violations of these USTA Regulations and in particular **USTA Regulations I.E.1., I.M.4., I.N.,** and any other conduct violations.

**Y. Reporting Violations of USTA Regulations**

Any player or official who observes a violation of USTA Regulations may file a written complaint with the Chairperson of the grievance committee of the Sectional Association where the tournament was held, or with the Chairperson of the USTA Grievance Committee. If the tournament included any nationally-ranked players, it would be preferable to file such a complaint with the Chairperson of the USTA Grievance Committee. (See **USTA Bylaw 43.**)

**II. OFFICIATING REGULATIONS**

**A. Referee (USTA Regulation I.C.3. further defines the role of the Referee)**

1. *General supervision of all aspects of play.* The Referee exercises general supervision over all aspects of play, including, but not limited to, the conduct and actions of players, coaches, parents, umpires, ballpersons, groundskeepers and the administrative crew. The Referee should use judgment in all situations not specifically covered by the Rules of Tennis and USTA Regulations.
2. *Determines who enters playing area.* The Referee shall determine who may enter the playing area.
3. *Decides points of law.* The Referee decides any point of law that an umpire is unable to decide or which is referred to the Referee by appeal from a player. The Referee's decision in such cases shall be final.
4. *Suspends and postpones matches.* The Referee is responsible for

suspending or postponing play when weather, light, surface conditions, or other circumstances justify. **USTA Regulation I.M.7.** refers to this situation.

5. *Assigns and replaces officials.* The Referee appoints and replaces or reassigns, when necessary, Chair Umpires, Line Umpires, and Net Umpires. The Referee shall not remove an official from a match because of a player's request. These duties may be delegated to the Chief Umpire, if there is one.

#### **FAC Comment II.A-1: Referee Procedures**

1. The Referee's primary duty is to be present whenever matches are being played. When the Referee is not present or is playing a match, the Referee shall arrange for a Deputy Referee to be present.
2. The Referee and other officials shall settle scoring disputes in non-officiated matches by using their best judgment. They should first attempt to get the players to reconstruct the score so that they agree on it. Thereafter, the following options are listed in order of preference:
  - counting all points or games agreed on by the players, with only the disputed points or games being replayed;
  - playing from a score mutually agreeable to the players; and
  - deciding the score by a coin toss.(See **USTA Comments 26.1-5.**)
3. The Referee shall obtain and prepare the scorecards unless the Referee delegates this duty to the Chief Umpire or the Chair Umpire.

#### **FAC Comment II.A-2: Deputy Referee Procedures**

The Referee may appoint a Deputy Referee to assist in the performance of the Referee's duties or to assume these duties when the Referee is absent.

#### **FAC Comment II.A-3: Field Referee Procedures**

A Field Referee is a Deputy Referee at a secondary site who shall:

1. act as the Referee at the secondary site (the decisions are final to the same extent that the Referee's decisions are final);
2. provide information to the players or officials regarding the scoring system, ball change, warm-up, and rest periods;
3. advise the other officials of their responsibilities including enforcement of the Point Penalty System and the foot fault rules;
4. oversee the conduct of play for all courts at the site, enforce the ITF Rules of Tennis, Point Penalty System, USTA Regulations, and *The Code*, and take appropriate actions with respect to any infractions that the Referee or the other officials observe;
5. assure that the singles sticks are installed for singles matches and removed for doubles matches and that the net is measured and properly tensioned at the start of the day and at appropriate times;

6. penalize a player who is late under the Point Penalty System;
7. avoid umpiring matches (when this is not possible, the Referee shall appoint a qualified Deputy Referee); and
8. when necessary serve simultaneously as the Field Referee and a Roving Umpire.

**FAC Comment II.A-4:** *Should the Referee bar cellular phones from the court?* Yes. The Referee is charged with ensuring the fairness of play and is given great discretion in carrying out this responsibility. Thus, the Referee should bar cellular phones from the courts.

#### **B. Chief Umpire**

The Chief Umpire appoints and replaces or reassigns, when necessary, Chair Umpires, Line Umpires, and Net Umpires in those tournaments where the Referee has delegated these duties to the Chief Umpire.

##### **FAC Comment II.B-1: Chief Umpire Procedures**

1. Obtain from the Referee the court availability, the number of officials to be used for each match, the ball change, and other pertinent information.
2. Recruit the necessary competent umpires, establish their availability, and schedule their daily court assignments.
3. After coordinating the time and place with the Referee, schedule a pre-tournament meeting of all umpires in order to discuss the general conditions involved in working the tournament.
4. Conduct a meeting of the involved umpires before each session of the tournament to give direction, inform them of changes in procedures or to review previous matches as a means to improve future performance.
5. Evaluate the work of all umpires and offer constructive criticisms and suggestions.
6. Prepare the scorecard for each match and maintain a file of all completed scorecards.
7. Furnish the media with any factual information they may request, subject to the approval of the Referee.
8. Designate the method of deployment of on-court officials during a match, following USTA standard procedures.

#### **C. Chair Umpire**

1. *Enforces the rules and regulations.* The Chair Umpire conducts the match in accordance with the ITF Rules of Tennis and USTA Regulations.
2. *Calls the lines when no Line Umpire is assigned.* In the absence of any Line Umpire or Net Umpire, the Chair Umpire assumes all their

- duties except those delegated to another umpire or to the players.
3. *Assigns the officials to the lines.* When the Referee or Chief Umpire has not given specific assignments to the various Line Umpires, then the Chair Umpire makes these assignments in the way best to utilize their services.
  4. *Enforces instructions as to who enters playing area.* The Chair Umpire shall enforce the Referee's instructions as to who may enter the playing area, and in the absence of instructions the Chair Umpire shall determine who may enter the playing area.
  5. *Requests replacement of official for good cause; rearranges assignment of officials.* The Chair Umpire may request that the Referee or the Chief Umpire replace one or more umpires if, and only if, the Chair Umpire determines that there is good and sufficient cause. In any case, play shall continue pending the decision. The Chair Umpire may rearrange the assignment of umpires at any time.
  6. *Calls the score.* The Chair Umpire calls the points, games, and sets at the end of each, respectively, and when asked to call them.
  7. *Sees that players change ends and play continuously.* The Chair Umpire sees that the players change ends in accordance with the rules (allowing them no delay or rest during a Tiebreak). The Chair Umpire sees that they resume play promptly at the end of an authorized rest period and sees that play is continuous.
  8. *Scorecard.* The Chair Umpire records the points, games, and sets on the scorecard. The Chair Umpire signs the scorecard at the end of the match and delivers it without delay to the Chief Umpire or the Referee. The failure of the Chair Umpire to sign or deliver the scorecard does not invalidate the match.
  9. *When Line Umpire is unable to make call.* When a Line Umpire is unable to make a call, the Chair Umpire may make the call. While a replay is to be avoided if at all possible, the Chair Umpire shall order a point replayed if a valid call cannot be made.
  10. *Suspension of match.* The Chair Umpire shall advise the Referee when playing conditions justify suspension of the match. When practicable, the Chair Umpire shall obtain the Referee's approval before suspending play.
  11. *Alters ball change.* The Chair Umpire may call for a ball change at other than the prescribed time when abnormal conditions warrant so doing.
  12. *Final decision on fact questions; overrules clear mistakes.* The Chair Umpire makes the final decision on every question of fact in the match, including the overruling of the Net Umpire or Line Umpire if required to correct a clear mistake.
  13. *Decisions on questions of law subject to appeal.* The Chair Umpire decides all questions of law, subject to an appeal by a player to the Referee. (**Rule 29 Cases 1 & 2** and **USTA Regulations I.R.4.** and **II.A.3.** refer to this situation.) The Referee also decides any question of law that a Chair Umpire is unable to decide. When the matter

under consideration affects the scoring of a match, the Chair Umpire shall immediately bring it to the Referee's attention and suspend play pending the decision. In all other cases of appeal, play shall be continued while the matter is being considered. The Referee's decision in such cases shall be final.

**FAC Comment II.C-1:** *What is the difference between a "question of fact" and a "question of law"?* "Questions of fact" involve whether a specific event happened. Examples include whether a ball is in; whether a ball touched a player, whether a ball bounced twice, and whether a Server's foot touched the baseline before the serve was struck. "Questions of law" involve the application of the rules or regulations to facts that have already been determined. Examples include determining whether an act was a hindrance; whether a player should have been assessed a code violation for misconduct; and the procedure for correcting errors in serving order, serving and receiving position, and ends.

14. *Defaults player for cause.* The Chair Umpire may default a player for cause, which includes, but is not limited to, tardiness after an intermission, misconduct, or failure by the player to comply with instructions.
15. *Calls service lets and "walking and running" foot faults.* The Chair Umpire calls service lets and foot faults that are in violation of the "walking or running" prohibition.
16. *Balls that touch ceiling.* On an indoor court where part of the ceiling area is obstructed from the view of the Chair Umpire and the Net Umpire, the Chair Umpire may assign the calling of touches in that area to one of the other umpires.
17. *Miscellaneous violations.* The Chair Umpire calls any violations during play in which:
  - a. a ball in play touches a player;
  - b. a player touches the net;
  - c. a player invades the opponent's court;
  - d. a player strikes the opponent's return before it has passed the net;
  - e. a not-up (double-bounce) occurs;
  - f. an illegal carry, double-hit or other illegal stroke is made; and
  - g. a ball in play passes through the net.These duties, or portions thereof, may be delegated to the Net Umpire.

**FAC Comment II.C-2: Chair Umpire Procedures**

1. Learn the basic facts about the match, such as name of tournament, division (men's, women's, singles, doubles, etc.), the round, best of sets, correct names, and residences of the players, and the ball change. This information should be on the scorecard. If it isn't, write the information on the card.
2. Your supplies should include a stopwatch, measuring device, and eraser-equipped pencils. Optional equipment includes a

- cap or visor, safety pins, adhesive tape, and bandaids.
3. When you go to the court (preceding the players), check the height of the net. Ensure that singles sticks are in place on opposite sides of the net, or removed for doubles; check the ball supply (including used balls) and equipment for the umpire's chair. Also, confirm the availability of players' supplies, water, towels, sawdust, etc.
  4. Have a pre-match conference with players. Be brief and informative. Always bring the players (in doubles at least one member of each team) together at the net. Discuss only necessary information, for example, the number of balls in use, the ball change pattern, and anything unusual such as longer warm-ups or reduced crews with the chair calling some of the lines. An example of such a discussion: "Gentleman, we're using 4 balls; change at 9 and 11." Toss a coin for winner's choice according to **Rule 6**.
  5. In making the pre-match announcement, be brief! An example: "Ladies and gentlemen, this is a third round match. To the left of the chair, from Rye, NY, Alex Adams and from White Plains, NY, Jerry Baker; to the right of the chair, from Greenwich, CT, Chris Clark and from Hicksville, NY, Don Dunn. This will be the best of three tiebreak sets. Adams and Baker won the toss and chose to receive." (This part of the introduction should be made after the two minute or one minute announcement during warm-up.) "Time. Balls to the right (left) of the chair." (Glance to see that the players and officials are ready.) "Don Dunn to serve...Play!"
  6. If there is any doubt, ask the players how to pronounce their names before or during the pre-match conference. Announce each player only as the player serves for the first time and again after any intermission. In announcing a match involving players from another country, introduce the visitor(s) first.
  7. Titles, such as Mr., Mrs., or Ms. are used only when directly communicating with a player or issuing a penalty. Use only the players' surnames on scoring. For example, "Advantage Adams."
  8. In doubles, use the Server's name when the Server's team has the advantage and use the name of the player receiving when the Receiver's team has the advantage.
  9. Call games as follows: "Game Smith; first game." In sets other than the first set, make it "First game, second set." Then: "Game, Jones; she leads 3-2," or "Game, Jones; Smith leads 3-2," or "Game, Jones; three all."  
Call sets as follows: "Game and third set, Smith; 7-5. Jones leads two sets to one." When there is a visible scoreboard present, it is not necessary to always refer to the previous sets. Note that the scores of previous sets are never given.
  10. When announcing a Tiebreak, use the following: "Game, Smith; 6-all, Tiebreak."

11. In calling the score in the tiebreak game, give the leader's score, then the score of the opponent, then the name of the leader, for example, "4-0, Scott", or "3-2, Jones-Smith" or "3-all." In Tiebreaks use "zero" instead of "love."
12. To prevent play from starting, say: "Wait, please." To interrupt play, say: "Let." Say: "Replay the point," if the interruption requires it. Don't say: "Play a let."
13. If there is an unusual interruption in play (injury time-out, equipment repair, etc.) be sure to inform the opposing player(s) and the crowd. Keep your announcement very brief and simple: "Ladies and gentlemen, Mr. Adams has injured *his* ankle and is taking a three minute injury time-out." The objective is to keep everyone informed of what is occurring on court.
14. When a player takes a three minute injury time-out, be sure to start your watch. Announce: "2 minutes," "1 minute," then "30 seconds" to let both the player and crowd know the time remaining.
15. The call for first serve let is: "Let, first serve"; on a second serve: "Let, second serve."
16. Remember at changeovers to call "Time" at 60 seconds. On Set Breaks, call "Time" at 90 seconds. If a player is late leaving the courtside chair, you may call "15 seconds" at the end of 75 seconds. This warning should be used sparingly and is not mandatory.
17. A code violation should be announced in accordance with the following examples: "Code violation, Delay of Game, Point Penalty, Mr. Adams"; "Code Violation, Ball Abuse, Game Penalty, Mr. Adams"; "Code Violation, Racket Abuse, Default, Mr. Adams." Always know what you are going to say before announcing a violation.
18. Time violations should be announced in accordance with the following example: "Time Violation, Warning, Mr. Baker." Each subsequent delay: "Time Violation, Point Penalty, Mr. Baker." Always know what you are going to say before announcing a violation.
19. An accepted method of match control is for an official to caution a player whose behavior is borderline. The official should never caution a player whose misconduct is clear; the official should issue a code violation.
20. An official may caution a player on a changeover to avoid a future time violation. For example, the official may quietly tell a player: "Watch the 25 seconds," if the player is getting close to a time violation between points. The player is now on notice that if the player is not ready within 25 seconds, the official will issue a time violation.
21. The following is an example of announcing the outcome of a match: "Game, set and match, Adams; 7-6, 6-2."
22. In recording the outcome of a match, use the term "default"

when a player fails to appear on time or is guilty of misconduct, for example “6-4, 2-4, default.” When a player is unable to continue a match because of a medical condition, the record should show the score at the time followed by the word “retired” and a description of the medical condition. For example, “6-1, 2-4, retired, cramps.” “Withdrawn” or “wd” is used to indicate that a player withdrew from an event before the first match was played. Walkover or “wo” is used to indicate that a player withdrew from an event after playing a first match in the event. See **Table 2**. “Incomplete” or “Inc.” is used to indicate a match that was interrupted but anticipated to be completed. “Abandoned” is used to indicate a match that will not be completed.

#### **FAC Comment II.C-3: Chair Umpire Techniques**

1. Promptness in announcing the score at the end of a game is one trait of a competent Chair Umpire. It gives the players confidence in the official.

Applause plays an important part in the timing of your score calling. Except for game ending points, you should always try to announce the score just as the applause is subsiding. An example for game ending points: “Game Smith,” (pause and let applause begin to subside), “Jones leads 2-1”. Occasionally, in an exciting match there will be prolonged applause that continues up to the instant the Server is ready to start the next point. If the players look to you for the score, of course give it. But even in matches where there is frequent applause there will be very brief and routine points. You will be able to quickly announce the new score before the few scattered handclaps start. That’s one place where variety and promptness are important.

Keep the score and the Server in mind to more accurately announce the score and mark your card at the end of the point. **WARNING:** don’t let your scorecard marking become so extensive that it keeps you from seeing something important between points. Remember the two most important things to keep in mind:

- a. Look at the point-losing player and
  - b. Check the Receiver as the Server is preparing to serve.
2. The Line Umpire’s calls should be so loud and clear that normally no repetition is necessary. It may be necessary to repeat an occasional call because of crowd noise or as an affirmation of a close call. In such cases your comment should be: “The ball was out” (or “good,” as the case may be). Don’t say: “The Line Umpire called it out,” obviously disclaiming responsibility for the call.
  3. If there is not a Net Umpire you will call lets. Don’t announce let unless the serve actually is good. You also make the calls for any uncovered lines. Do so in a clear voice so both players can hear you.

4. Always keep the point score in your head, using your scorecard to confirm it. Repeating the score silently to yourself is a good habit, particularly when a controversy is brewing.
5. Where a call of good is overruled, the approved wording is "Out, (give the correct score)." Where an out call is overruled, the approved wording is "Correction, the ball was good, replay the point (or give the correct score)."
6. Be alert to the players on close calls. A positive nod with eye contact with the player will often confirm a call. If verbal confirmation is required, the phrasing should be: "I saw the ball good (or out)" or "I agree with the call." Or simply say: "You don't want me to overrule on a ball that is that close." DO NOT SAY "It was not a clear mistake."
7. Four characteristics mark the delivery of a good Chair Umpire: a natural sounding but well-projected voice; proper inflection in calling the score; promptness; and some variety in timing and intensity. Avoid the monotony of having all your announcements sound alike. Always know what you are going to say before you open your mouth. Use a conversational tone of voice and avoid a sing-song delivery.
8. When all the players agree that a line or let call is in error, accept the players' version.
9. Do not cross your legs during play.

**FAC Comment II.C-4: Solo Chair Umpire Procedures**

1. When only a Chair Umpire is available to conduct a match, the official is called a Solo Chair Umpire. A Solo Chair Umpire will, in general, have the same duties and authority as the Chair Umpire with Line Umpires.
2. The responsibilities of the Solo Chair Umpire and the players are described below. Depending on the sophistication of the players, the Solo Chair Umpire should cover some or all of these responsibilities in a brief pre-match meeting.
  - a. The Solo Chair Umpire is there to help the players by assuring that the match is played under the fairest circumstances possible.
  - b. The players shall call all lines promptly and loudly. Any doubt about a line call should be resolved in favor of the opponent.
  - c. The Solo Chair Umpire overrules clear mistakes. This includes "out" balls that are called "good" and "good" balls that are called "out." If the Solo Chair Umpire overrules an "out" or "fault" call, then the player who made the call loses the point.
  - d. The Solo Chair Umpire makes all other calls including, but not limited to, footfaults, lets, not-ups, and code violations.

The Solo Chair Umpire may also explain the ball change policy and should conclude the meeting by asking if there are any questions.

3. The Referee or the Solo Chair Umpire may modify the above line-calling procedure with the exception that the overrule shall continue to be exercised. Two examples are that the Solo Chair Umpire might call all the lines or the service line only.
4. Sections may authorize Solo Chair Umpires to call all lines in designated events.
5. In certain professional and ITF events, the Solo Chair Umpire may be required to call all lines.

#### **FAC Comment II.C-5: Scorecard Marking Procedures**

Keep scorecard marking to a minimum. This allows you to spend more time watching the players and coaches for possible conduct violations. Brief examples of a modified scorecard are shown. Before going to court complete as much of the scorecard as possible including the players' names in cumulative game columns, first ball change, and ball number.

1. *Serves.* Aces are shown with A's, double faults with D's and missed first serves with a small dot in mid-line.
2. *Code Violations.* A point penalty for a Code Violation is shown by a "C" in the box of the player who was not penalized. (See third point of second game.) A game penalty is shown by writing "Game Penalty" on the line of the player who was not penalized (See second game.) (**Fig. 11**).
3. *Time Violations.* A warning given for the first time violation is shown by a "T" in the box of the offender. You should circle the "T". (See fifth point of second game.) Subsequent time violations are shown by a "T" in the box of the player who was not penalized (See eleventh point of second game.) (**Fig. 11**).
4. *Placement of the Server's initials and names.* The placement of the Server's initials indicates the end of the court (for example the Chair Umpire's right or left) from which the service is delivered.
5. *Cumulative game score.* The cumulative score is shown in the example with each player's score written after each game. You may write only the score of the winner of each game.
6. *Service breaks.* An "X" through the game number in the column captioned "GAME" indicates a service break. (See example in the third game.)
7. *Ball changes.* Underline the Server's column and the set score column to indicate a ball change. The wavy line after the fourth game means that a ball change should follow game 4. Some umpires also lightly shade the set score boxes or use a highlighter.
8. *Significant events.* You should make notes about significant events such as an injured player, cramps, toilet visits, and the precise nature of a conduct violation. Use the appropriate table on the back side of the card (**Fig. 12**).
9. *Service order in Tiebreak.* As soon as you know who serves first in the set, place the initials of the players in proper order over each box on the Tiebreak section.

Example of Scorecard Marking



OFFICIAL SCORECARD

EVENT			
Tournament <i>Frand at Court Invitational</i>			Date <i>Jan 1, 1998</i>
			Court # / Match # <i>1 / 1</i>
Format <i>F</i>	Division <i>Mens Singles</i>	No. of sets <i>3</i>	Format: Advantage <i>1 2 3</i> Setback <i>1 2 3</i> Tiebreak <i>1 2 3</i>
Surface: <input checked="" type="checkbox"/> Hard <input type="checkbox"/> Clay		Ball Change (minutes) <i>7:9 (6)</i>	# of Officials Chair (P) <i>7</i>
Supervisor <i>Bill Barber</i>		Chair Umpire <i>Rebel Good</i>	
Referee <i>Jay Snyder</i>			

MATCH			
Player 1 <i>James Jones</i>	From <i>Jacksonville</i>	Win	Loss
	<i>Florida</i>	<i>X</i>	<i>Rec</i>

VS.			
Player 2 <i>Sam Smith</i>	From <i>Syracuse</i>	Win	Loss
	<i>NY</i>		

RESULT				
Time called <i>1:05</i>	Time started <i>1:10</i>	Time finished <i>3:29</i>	Duration <i>2:19</i>	
Winner(s) <i>Sam Smith</i>			<i>7</i>	<i>3</i>
			<i>5</i>	<i>6</i>
				<i>4</i>

CHAIR UMPIRE	
Signature <i>R. E. Good IV</i>	Credentialed <i>USTA</i>

Fig. 10

Tiebreak		Set No. 3	Set No. 4	Match ball change 5-0	Match Time	Score
1	J	1	2	3	4	5
1	J	1	2	3	4	5
2	J	1	2	3	4	5
3	J	1	2	3	4	5
4	J	1	2	3	4	5
5	J	1	2	3	4	5
6	J	1	2	3	4	5
7	J	1	2	3	4	5
8	J	1	2	3	4	5
9	J	1	2	3	4	5
10	J	1	2	3	4	5
11	J	1	2	3	4	5
12	J	1	2	3	4	5
13	J	1	2	3	4	5
14	J	1	2	3	4	5
15	J	1	2	3	4	5
16	J	1	2	3	4	5
17	J	1	2	3	4	5
18	J	1	2	3	4	5
19	J	1	2	3	4	5
20	J	1	2	3	4	5
21	J	1	2	3	4	5
22	J	1	2	3	4	5
23	J	1	2	3	4	5
24	J	1	2	3	4	5
25	J	1	2	3	4	5
26	J	1	2	3	4	5
27	J	1	2	3	4	5
28	J	1	2	3	4	5
29	J	1	2	3	4	5
30	J	1	2	3	4	5
31	J	1	2	3	4	5
32	J	1	2	3	4	5
33	J	1	2	3	4	5
34	J	1	2	3	4	5
35	J	1	2	3	4	5
36	J	1	2	3	4	5
37	J	1	2	3	4	5
38	J	1	2	3	4	5
39	J	1	2	3	4	5
40	J	1	2	3	4	5
41	J	1	2	3	4	5
42	J	1	2	3	4	5
43	J	1	2	3	4	5
44	J	1	2	3	4	5
45	J	1	2	3	4	5
46	J	1	2	3	4	5
47	J	1	2	3	4	5
48	J	1	2	3	4	5
49	J	1	2	3	4	5
50	J	1	2	3	4	5
51	J	1	2	3	4	5
52	J	1	2	3	4	5
53	J	1	2	3	4	5
54	J	1	2	3	4	5
55	J	1	2	3	4	5
56	J	1	2	3	4	5
57	J	1	2	3	4	5
58	J	1	2	3	4	5
59	J	1	2	3	4	5
60	J	1	2	3	4	5
61	J	1	2	3	4	5
62	J	1	2	3	4	5
63	J	1	2	3	4	5
64	J	1	2	3	4	5
65	J	1	2	3	4	5
66	J	1	2	3	4	5
67	J	1	2	3	4	5
68	J	1	2	3	4	5
69	J	1	2	3	4	5
70	J	1	2	3	4	5
71	J	1	2	3	4	5
72	J	1	2	3	4	5
73	J	1	2	3	4	5
74	J	1	2	3	4	5
75	J	1	2	3	4	5
76	J	1	2	3	4	5
77	J	1	2	3	4	5
78	J	1	2	3	4	5
79	J	1	2	3	4	5
80	J	1	2	3	4	5
81	J	1	2	3	4	5
82	J	1	2	3	4	5
83	J	1	2	3	4	5
84	J	1	2	3	4	5
85	J	1	2	3	4	5
86	J	1	2	3	4	5
87	J	1	2	3	4	5
88	J	1	2	3	4	5
89	J	1	2	3	4	5
90	J	1	2	3	4	5
91	J	1	2	3	4	5
92	J	1	2	3	4	5
93	J	1	2	3	4	5
94	J	1	2	3	4	5
95	J	1	2	3	4	5
96	J	1	2	3	4	5
97	J	1	2	3	4	5
98	J	1	2	3	4	5
99	J	1	2	3	4	5
100	J	1	2	3	4	5
101	J	1	2	3	4	5
102	J	1	2	3	4	5
103	J	1	2	3	4	5
104	J	1	2	3	4	5
105	J	1	2	3	4	5
106	J	1	2	3	4	5
107	J	1	2	3	4	5
108	J	1	2	3	4	5
109	J	1	2	3	4	5
110	J	1	2	3	4	5
111	J	1	2	3	4	5
112	J	1	2	3	4	5
113	J	1	2	3	4	5
114	J	1	2	3	4	5
115	J	1	2	3	4	5
116	J	1	2	3	4	5
117	J	1	2	3	4	5
118	J	1	2	3	4	5
119	J	1	2	3	4	5
120	J	1	2	3	4	5
121	J	1	2	3	4	5
122	J	1	2	3	4	5
123	J	1	2	3	4	5
124	J	1	2	3	4	5
125	J	1	2	3	4	5
126	J	1	2	3	4	5
127	J	1	2	3	4	5
128	J	1	2	3	4	5
129	J	1	2	3	4	5
130	J	1	2	3	4	5
131	J	1	2	3	4	5
132	J	1	2	3	4	5
133	J	1	2	3	4	5
134	J	1	2	3	4	5
135	J	1	2	3	4	5
136	J	1	2	3	4	5
137	J	1	2	3	4	5
138	J	1	2	3	4	5
139	J	1	2	3	4	5
140	J	1	2	3	4	5
141	J	1	2	3	4	5
142	J	1	2	3	4	5
143	J	1	2	3	4	5
144	J	1	2	3	4	5
145	J	1	2	3	4	5
146	J	1	2	3	4	5
147	J	1	2	3	4	5
148	J	1	2	3	4	5
149	J	1	2	3	4	5
150	J	1	2	3	4	5
151	J	1	2	3	4	5
152	J	1	2	3	4	5
153	J	1	2	3	4	5
154	J	1	2	3	4	5
155	J	1	2	3	4	5
156	J	1	2	3	4	5
157	J	1	2	3	4	5
158	J	1	2	3	4	5
159	J	1	2	3	4	5
160	J	1	2	3	4	5
161	J	1	2	3	4	5
162	J	1	2	3	4	5
163	J	1	2	3	4	5
164	J	1	2	3	4	5
165	J	1	2	3	4	5
166	J	1	2	3	4	5
167	J	1	2	3	4	5
168	J	1	2	3	4	5
169	J	1	2	3	4	5
170	J	1	2	3	4	5
171	J	1	2	3	4	5
172	J	1	2	3	4	5
173	J	1	2	3	4	5
174	J	1	2	3	4	5
175	J	1	2	3	4	5
176	J	1	2	3	4	5
177	J	1	2	3	4	5
178	J	1	2	3	4	5
179	J	1	2	3	4	5
180	J	1	2	3	4	5
181	J	1	2	3	4	5
182	J	1	2	3	4	5
183	J	1	2	3	4	5
184	J	1	2	3	4	5
185	J	1	2	3	4	5
186	J	1	2	3	4	5
187	J	1	2	3	4	5
188	J	1	2	3	4	5
189	J	1	2	3	4	5
190	J	1	2	3	4	5
191	J	1	2	3	4	5
192	J	1	2	3	4	5
193	J	1	2	3	4	5
194	J	1	2	3	4	5
195	J	1	2	3	4	5
196	J	1	2	3	4	5
197	J	1	2	3	4	5
198	J	1	2	3	4	5
199	J	1	2	3	4	5
200	J	1	2	3	4	5
201	J	1	2	3	4	5
202	J	1	2	3	4	5
203	J	1	2	3	4	5
204	J	1	2	3	4	5
205	J	1	2	3	4	5
206	J	1	2	3	4	5
207	J	1	2	3	4	5
208	J	1	2	3	4	5
209	J	1	2	3	4	5
210	J	1	2	3	4	5
211	J	1	2	3	4	5
212	J	1	2	3	4	5
213	J	1	2	3	4	5
214	J	1	2	3	4	5
215	J	1	2	3	4	5
216	J	1	2	3	4	5
217</						

**CODE VIOLATIONS (POINT PENALTY SCHEDULE)**

Code	Penalty	Points	Time	Notes
W				
P	3	1-0	15-15	Yellow Card: "You are out of position" or "You are not ready to receive the ball"
G	3	1-0	As soon as possible	Green Card: "You are out of position" or "You are not ready to receive the ball"
D				

**ABBREVIATIONS (CODE OF CONDUCT)**

UD	Unsportsmanlike Display	DA	Ball Abuse	PA	Physical Abuse
ACB	Abuse of Chair	RA	Respect Abuse	CD	Chewing, Coughing
VCB	Verbal Abuse	UA	Verbal Abuse	UCB	Unsportsmanlike Conduct

**TIME VIOLATIONS**

Team / Player(s) Home						Team / Player(s) Guest					
Code	Penalty	Points	Time	Notes	Code	Penalty	Points	Time	Notes		
U	3	1-0	15-40		U						
F	3	1-0	3-4 seconds		F						
F					F						

**INTERFERENCE/CHLET BREAKS, ETC.**

Date	Course	Player	From	To	Player	Notes

Fig. 12

**FAC Comment II.C-6: Clay Court Ball Inspection Procedures**

A player has the right to request that a ball mark be examined on a point ending shot or when the player stops play during a point. If the Chair Umpire concludes that there is good reason to grant the request, the Chair Umpire (not the Line Umpire) should check the mark. The Chair Umpire should be sure to have the correct mark. If the Chair Umpire does not know where the mark is, the Chair Umpire may ask the Line Umpire for help in locating the mark. Once the Chair Umpire locates the mark, the Chair Umpire should inspect it and make the call. The Chair Umpire should not announce the score until the Chair Umpire is confident that the call was correct or has checked the mark.

**FAC Comment II.C-7:** *What happens if the Receiver does not play a second serve because the Line Umpire calls "fault" and immediately corrects the call?* The Server is entitled to two serves. But note that if the serve was a clear ace and that the umpire's call did not affect the Receiver's ability to play the ball, then the Server wins the point.

**FAC Comment II.C-8:** *The first service is a fault. The Server has begun the service motion for the second service when the Chair Umpire calls "wait, please" because a ball from another court has rolled onto the court or because there is some other interference. Is the Server entitled to two serves?* Yes. The Server was in the service motion, and this delay was caused by outside interference so the Server receives two serves.

**USTA Comment II.C-9:** *In a match with a Chair Umpire, a player's hat flies off. What should the Chair Umpire do?* The first time a hat flies off, a ball drops from a pocket, or some other item of clothing (including a towel) falls off, a Let shall be called regardless of whether the item lands in or out of the Court. The Chair Umpire shall caution the player that any subsequent similar incident shall result in a loss of point for deliberate hindrance.

**FAC Comment II.C-10:** *Player A drives a hard ball to Player B's baseline. The baseline umpire calls "out," then reverses the call to "good." What should the Chair Umpire do?* The Chair Umpire should accept the reversed call and allow the point to stand as won by Player A if the Chair Umpire is convinced beyond any doubt that the erroneous call did not affect Player B's chance to make a play.

**FAC Comment II.C-11:** *On a second service, a Line Umpire calls "fault" and immediately corrects it. Meanwhile the Receiver tries to return the serve but fails to make a good return. Is the Server entitled to two serves?* Yes. The Server is entitled to two serves on the ground that, assuming the corrected call to be the correct one, the Server had in fact put the ball in play. Once the ball is in play and a let is called for any reason, the point must be replayed.

**FAC Comment II.C-12:** *A serve that has landed in the proper court bounces and strikes a Line Umpire. The Receiver asks that a Let be called on the ground that the Receiver was hindered in playing the ball because it struck the Line Umpire.* If the Line Umpire was in proper position (in the chair or standing near it in the customary position for judging the sideline on a service), the point stands as played with the Server winning the point. If the Line Umpire had left the assigned position, either in an attempt to avoid being hit or for any other reason, the Chair Umpire may call a Let if the Chair Umpire feels that the Receiver could have played the ball if the Line Umpire had been properly positioned.

**FAC Comment II.C-13:** *Player A hits a fast serve near the far sideline. The Line Umpire is unable to make a call on it. Player A appeals to the Chair Umpire for a decision. The Chair Umpire says: "I know it was good, but unless the Line Umpire calls it, I can't." Was the Chair Umpire's decision correct?* No. If the Chair Umpire knew the ball was good, the Chair Umpire must make the call. If the Chair Umpire cannot make the call with certainty, the point should be replayed.

#### **D. Roving Umpire**

A Roving Umpire is an official who exercises jurisdiction over more than one court. Duties are similar to those of a Chair Umpire and include but are not limited to the following:

1. ensuring that assigned courts are ready for play;
2. enforcing the warm-up time and Point Penalty System;
3. resolving scoring disputes;
4. overruling line calls and calling foot faults when the Roving Umpire is in direct observation of the court; and
5. controlling spectators.

#### **FAC Comment II.D-1: Roving Umpire Procedures**

The Roving Umpire is a USTA certified official, preferably a certified Chair Umpire, who exercises officiating jurisdiction over the courts assigned.

The Referee or Field Referee shall advise the Roving Umpires of the courts to which they are assigned, and their responsibilities, the scoring system, ball use, ball change, warm-up and rest periods, and point penalty system. The Referee or Field Referee, taking into consideration court configuration and the regulations that apply to the event, shall advise the Roving Umpires on how to call foot faults and handle overrules and point penalty violations.

The Roving Umpire shall:

1. Exercise discretion when calling foot faults or dealing with any infractions so as not to disturb neighboring courts.
2. Install singles sticks when needed and when time permits, measure the net.

3. Enforce the warm-up time limit by advising the players when they have two minutes before the start of play.
4. Help resolve scoring disputes by using judgment. First attempt to get the players to reconstruct the score so that they agree on it. Thereafter, the following options are listed in order of preference:
  - counting all points and games agreed on by the players, with only the disputed points or games being replayed;
  - playing from a score mutually agreeable to the players; and
  - deciding the score by a coin toss.
5. Control spectators.
6. Enforce the point penalty system (code and time violations).
7. Overrule a player's line call only when in direct observation of that one court. (When a Roving Umpire overrules a player's out call, that player loses the point.)
8. Avoid staying on one court and officiate all courts uniformly.
9. Be highly visible, but not spy on the players.
10. Help resolve on-court disputes according to The *Code*.
11. Allow any player to call a let.

**FAC Comment II.D-2:** *The Receiver's cellular phone rings just as the Server is about to serve. The Receiver answers the phone and does not resume playing for about one minute. A Roving Umpire discovers the situation. What should the official do?* The official should penalize the player under the Point Penalty System for delay. The official should assess at least one penalty. If the official can determine with certainty that the delay was more than 50 seconds, then the official may assess two penalties.

**FAC Comment II.D-3:** It is improper for an official to warn a player that the player is in danger of footfaulting.

#### E. Net Umpire

1. *Calls "net" on lets.* The Net Umpire makes a call of "net," followed by a hand signal, any time a served ball touches the net in passing it.
2. *Makes calls delegated under USTA Regulation II.C.17.* The Net Umpire calls, if asked to do so by the Chair Umpire, any violations set forth in **USTA Regulation II.C.17**.
3. *Ball change.* The Net Umpire sees that balls are changed at the proper times and checks each new ball for suitability.
4. *Checks net.* The Net Umpire adjusts the net to the proper height before play begins, on changeover games at the start of each succeeding set, and at such other times as the Chair Umpire may desire, and makes sure that singles sticks are in place or removed, as required.
5. *Alternate scorecard.* The Net Umpire keeps an alternate scorecard as a check for the Chair Umpire if requested.

**FAC Comment II.E-1: Net Umpire Procedures**

1. The Net Umpire's primary duty is to call "nets." The Net Umpire sees that balls are changed at the proper times. The Chair Umpire may assign other duties such as setting up the court and calling through. The Net Umpire should sit comfortably, feet slightly apart but not protruding into the court. The Net Umpire should place a hand along the side of the net band and ahead of the net post (or singles stick) and sight along the top of the band. The hand away from the net should be used to touch the net. The hand should be raised and a verbal "net" call made to indicate a "net." The hand should be removed from the net once the ball is in play. Eyes and ears are by far the key elements in detecting nets.
2. Net Adjustment: Stand on the side opposite the buckle of the strap, so if you have to change the height you can depress the net with your body as you lean over it. This relieves any strain on the strap while you change the setting.

**F. Line Umpire**

1. *Calls line.* The Line Umpire calls all shots relating to the assigned lines.
2. *Unsighted signal.* The Line Umpire promptly indicates to the Chair Umpire by an unsighted signal when the official is unable to make a call.
3. *Corrections.* When a Line Umpire calls a ball out in error, the Line Umpire shall immediately make a correction. If a ball that was out was not called out immediately, the Line Umpire shall remain silent.
4. *Foot faults.* When assigned to a baseline, a sideline, or a centerline, the Line Umpire calls foot faults that pertain to a player's touching the line or the imaginary extension thereof. The Line Umpire should answer when a player asks what occasioned a call of foot fault.
5. *Code violations.* The Line Umpire shall report to the Chair Umpire any code violations that the Line Umpire saw or heard that were not heard or seen by the Chair Umpire.

**FAC Comment II.F-1: Line Umpire Procedures**

1. A Line Umpire's only calls are: "out," "fault," "foot fault," "correction," "safe," and "unsighted." "Safe" and "unsighted" are indicated by visual signals only. "Fault" is used only with respect to a serve that is out. "Correction" is used to indicate immediately that an erroneous call has been made. Not making any call on a ball is tantamount to calling it good.
2. Visual signals for "out" and "fault" follow the oral calls and are

made by extending the arm with the palm of the hand held vertically, fingers together, shoulder high, in the direction in which the ball is out. If the Line Umpire and the Chair Umpire are located on the same side of the Court, the Line Umpire's hand should be extended forward (not to the side) to facilitate the Chair Umpire seeing the signal. A "foot fault" is signaled by raising either arm to the vertical position. A "correction" is signaled by raising either arm to the vertical position followed by the corrected signal. A call of good or "safe" is signaled by holding both hands together, backs of hands to chair, approximately knee high in front of the body; the Line Umpire's hands should be tilted in the direction of the Chair Umpire when both officials are located on the same side of the court. "Un sighted" is signaled by placing the back of the hands to the Chair in a vertical position just below the eyes.

3. Make "out," "fault," "foot fault," and "correction" calls loudly and crisply followed by the proper hand signal. This is particularly important on balls that are hit at a high rate of speed or land near the line. A "safe" signal is used to reassure the Chair Umpire of a call when the ball has hit on, or within approximately 18 inches inside of a line. An "unsighted" call is used to tell the Chair Umpire that the Line Umpire was unable to see a shot.
4. To be valid, a Line Umpire's out call on A's shot to B's court that B plays must be made before B's shot has either gone out of play or has been hit by A. (See **Rule 17**. and **USTA Regulation I.O.1.j**.)
5. The Line Umpire should give the Server the benefit of any doubt in calling a foot fault. Do not make any call until the ball has touched the racket of the Server.
6. The Line Umpire must immediately inform the Chair Umpire if the Chair Umpire calls the score at variance with the Line Umpire's call, or if the Chair Umpire is making a procedural error, for example, wrong player starting to serve.
7. A Line Umpire who observes a code violation not seen or heard by the Chair Umpire shall report this to the Chair Umpire without interrupting a point. This should be done before the start of the next point.
8. With the exception of shoes and socks, white is a prohibited color for the clothing of a Line Umpire.
9. A Line Umpire is accountable to the Chair Umpire only.
10. A Line Umpire who has been overruled should accept the overrule without comment. Any query from a player concern-

ing a line call should be referred to the Chair Umpire.

11. A Line Umpire shall not call a “touch,” “not-up,” “carry,” “double-hit,” “through,” “invasion,” or “foul shot.”
12. When a Line Umpire’s relief does not appear on schedule, the Line Umpire shall continue working until the relief arrives.

#### **FAC Comment II.F-2: Line Umpire Techniques**

1. Any hand signal, once given, should be held momentarily to give the Chair Umpire the opportunity to observe the signal. A ball should never be called out until it has touched the ground or a permanent fixture.
2. *All Line Techniques (Except Service)*. Look to where the action is; as the ball passes the net and you have the possibility of a call, turn your eyes and head to the line in the area where the ball is going to land, thereby giving yourself the best chance to make the correct call. Focus directly on the line.

*Base Line*. Chair angled properly, maximum angle not farther than the intersection of the service line and the far side line. Body positioned so that head is directly on the line. Sit forward to look alert. Watch for foot faults.

*Long Lines*. Assume “ready position” as Server prepares to toss ball. Maintain ready position throughout point. The ready position should not be rigid or uncomfortable. Calls and signals are made from the ready position. Assume “at ease” position at point’s end. When calling the serve from behind the Receiver, select the best position from which to make the call. The following are acceptable:

- a. on the line, crouched low;
- b. inside the line in a normal ready position; and
- c. outside the line in a normal ready position.

Choose the option most comfortable for you which allows you to make the most accurate call. After the serve, move quickly into position to call the long line during play. The center service Line Umpire goes to “at ease” position just after the serve hits the court unless this umpire makes a call.

*Service Line*. Chair is straight on the line. Do not angle the chair. Lean forward to get best angle and view of Server preparing to serve. When Server is ready to toss ball, turn your head and focus your eyes directly on the near quarter of the line being served to. Lean forward if this will enable you to call the line with accuracy. If you still have a problem with served balls slipping under your vision, focus closer to you. Focus directly on the line.

3. A Line Umpire should sell calls with decisiveness, a crisp tone of voice, and a prompt hand signal following the voice. The Line Umpire should make some intelligent differentiation in the relative volume and urgency of calls. Obviously, it is not necessary for a service Line Umpire to shout “fault” loudly on a serve that hits the top of the net and lands 10 feet beyond the service line. This is not to encourage anyone to be overly casual or tardy in making calls.
4. In doubles, the Line Umpire calling the side line also calls the side service line. In making these calls, a Line Umpire should be in a position with an unobstructed view.
5. A Line Umpire who is in a player’s way should make a definite effort to avoid the player while maintaining his or her position.
6. A Line Umpire should not assume the role of a ballperson. However, this does not preclude handing a ball within easy reach to a player or a ballperson, or catching a towel thrown by a player and handing it to a ballperson.
7. A Line Umpire’s biggest problem is to maintain concentration and alertness. When seated, a Line Umpire should never relax completely or cross the legs during play. A Line Umpire should avoid distractions, e.g., conversing with a spectator.
8. Line Umpires should warm-up their eyes before going on court or during the warm-up.

**FAC Comment II.F-3: Clay Court Ball Inspection Procedures**

Line Umpires are not responsible for inspecting ball marks, but the Chair Umpire may ask for help in locating a mark. If a Line Umpire thinks that the Chair Umpire may need help in locating a mark, the Line Umpire should keep the umpire’s eyes on the ball mark instead of giving immediate eye contact to the Chair Umpire. If a Line Umpire is working on a short crew, the Line Umpire should stay in position until the umpire is sure that the mark does not have to be checked.

Do not get into a discussion with the player about the mark.

**FAC Comment II.F-4:** *On the second service, the Server has tossed the ball in the air and is about to strike it when the Line Umpire calls “foot fault,” whereupon the Server catches the ball instead of striking it. What should the Line Umpire do?* The Line Umpire should call “correction” (as there could be no fault if the ball were not struck, or struck at). The Chair Umpire should then inform the player that, as a result of an interrupted serve, the Server has two serves to come.

#### **G. Other Considerations for All Officials**

1. *Aiding a player.* No official, unless the official is a qualified medical person or athletic trainer, shall aid a player who is suffering from a medical condition. Nonetheless, any official may provide supplies.
2. *Applauding prohibited.* No official shall applaud a player.
3. *Infractions observed in non-umpired matches.* In non-umpired matches, the officials may take appropriate action with respect to any infraction of the rules or regulations they observe.
4. *Enforcing instructions as to who enters playing area.* The official in charge of the match shall enforce the Referee's instructions as to who may enter the playing area, and in the absence of instructions shall determine who may enter the playing area.
5. *Betting.* No official or member of the Tournament Committee shall bet on any match in the tournament. If an infraction occurs, the Tournament Committee shall immediately remove the offender from any further connection with the tournament.

#### **FAC Comment II.G-1: Court Monitors**

Court Monitors are not certified officials. They assume limited duties to help ensure fair and sportsmanlike play at sites lacking a sufficient number of certified officials. The Referee or Field Referee shall advise the Court Monitors of the courts to which they are assigned and their responsibilities, which include:

1. maintain control over assigned courts;
2. measure the net at the beginning of the first match and at other appropriate times;
3. time warm-ups and, when possible, announce "two minutes" at two minutes before the end of the warm-up, and announce "time" when play is to begin;
4. call foot faults, remembering that there is never a warning;
5. stop play when the monitor observes a code violation and seek assistance from the Referee or other official;
6. settle scoring disputes on a limited basis;
7. overrule clear mistakes if authorized to do so by the Referee;
8. time rest periods;
9. record scores of matches if requested;
10. inform the desk of open courts and of the progress of matches in play;
11. send for a certified official if there is a question of rule interpretation;
12. call the score if assigned to only one court.

#### **G. Other Considerations for All Officials**

1. *Aiding a player.* No official, unless the official is a qualified medical person or athletic trainer, shall aid a player who is suffering from a medical condition. Nonetheless, any official may provide supplies.
2. *Applauding prohibited.* No official shall applaud a player.
3. *Infractions observed in non-umpired matches.* In non-umpired matches, the officials may take appropriate action with respect to any infraction of the rules or regulations they observe.
4. *Enforcing instructions as to who enters playing area.* The official in charge of the match shall enforce the Referee's instructions as to who may enter the playing area, and in the absence of instructions shall determine who may enter the playing area.
5. *Betting.* No official or member of the Tournament Committee shall bet on any match in the tournament. If an infraction occurs, the Tournament Committee shall immediately remove the offender from any further connection with the tournament.

#### **FAC Comment II.G-1: Court Monitors**

Court Monitors are not certified officials. They assume limited duties to help ensure fair and sportsmanlike play at sites lacking a sufficient number of certified officials. The Referee or Field Referee shall advise the Court Monitors of the courts to which they are assigned and their responsibilities, which include:

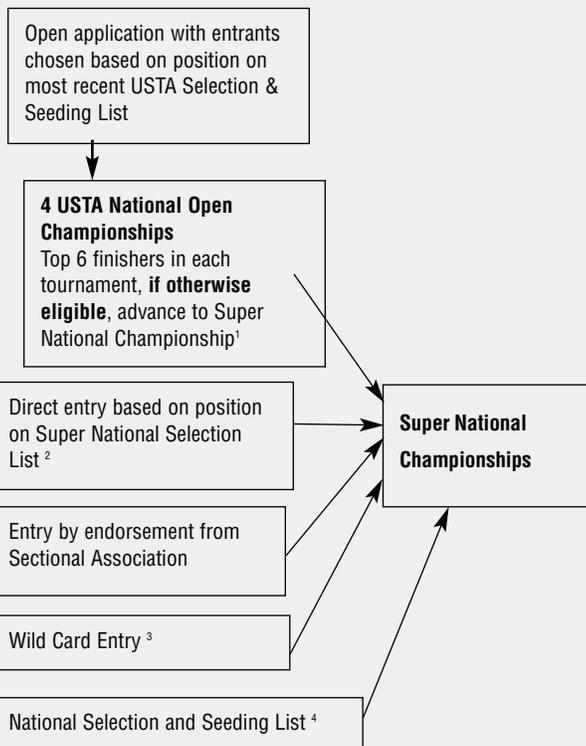
1. maintain control over assigned courts;
2. measure the net at the beginning of the first match and at other appropriate times;
3. time warm-ups and, when possible, announce "two minutes" at two minutes before the end of the warm-up, and announce "time" when play is to begin;
4. call foot faults, remembering that there is never a warning;
5. stop play when the monitor observes a code violation and seek assistance from the Referee or other official;
6. settle scoring disputes on a limited basis;
7. overrule clear mistakes if authorized to do so by the Referee;
8. time rest periods;
9. record scores of matches if requested;
10. inform the desk of open courts and of the progress of matches in play;
11. send for a certified official if there is a question of rule interpretation;
12. call the score if assigned to only one court.

### III. NATIONAL CHAMPIONSHIPS AND NATIONAL TOURNAMENT REGULATIONS

#### A. Junior National Tournament Regulations

1. *Overview of the national tournament system.* The USTA holds two levels of national championships for boys and girls in the 12, 14, 16, and 18 age divisions. The highest level of USTA national championship is known as the USTA Super National Championship. The second level of USTA national championship is known as the USTA National Open Championship. Both levels of national championships shall be the responsibility of the Youth Competition and Training Committee.
  - a. *USTA National Open Championships.* Each year the USTA shall hold four concurrent USTA National Open Championships in the winter, spring, summer, and fall for a total of 16 USTA National Open Championships. The top six finishers in each USTA National Open Championship qualify, if otherwise eligible, for a place in a subsequent USTA Super National Championship. The process for entry into USTA National Open Championships is set forth in **USTA Regulation III.A.4**. The eligibility requirements are set forth in **USTA Regulation III.A.2**.
  - b. *USTA Super National Championships.* Each year the USTA shall hold four USTA Super National Championships in each age division. These tournaments shall be known as the:
    - USTA Super National Spring Championship;
    - USTA Super National Clay Court Championship;
    - USTA Super National Hard Court Championship; and
    - USTA Super National Winter Championship.The process for entry into USTA Super National Championships is set forth in **USTA Regulation III.A.5**. The eligibility requirements are set forth in **USTA Regulation III.A.2**.
  - c. *Event levels.* For purposes of national ranking and calculating the Super National Selection List, higher level tournaments are given greater weight. The levels are:
    - Level 1 USTA Super National Championships
    - Level 2 USTA National Open Championships and international, intersectional, and zone team championships as designated in **USTA Regulation X.A.1**.
    - Level 3 Other events listed on the National Junior Tournament Schedule
    - Level 4 Sectional Championships
    - Level 5 District qualifiers and tournaments designated by the Sectional Associations

### Entry into USTA Super National Championships



1 Top six finishers in each *Winter* National Open qualify for place in *Spring* Super National. Top six finishers in each *Spring* National Open qualify for place in *Clay Court* Super National. Top six finishers in each *Summer* National Open qualify for place in *Hard Court* Super National. Top six finishers in each *Fall* National Open qualify for place in *Winter* Super National.

2 Players in positions 1-24 accepted when there is a draw of 192 in Super Nationals. Players in positions 1-16 accepted when there is a draw of 128 in Super Nationals.

3 Limits on wild cards: 4 for Spring and Winter Super Nationals; and 8 for Clay Court and Hard Court Super Nationals.

4 Remaining spots filled with endorsed players on National Selection and Seeding List.

**Fig. 13**

2. *Eligibility for USTA National Open Championships, USTA Super National Championships, and USTA Zone Team Championships.*
  - a. *Players eligible.* USTA Super National Championships, USTA National Open Championships, and USTA Zone Team Championships shall be open to:
    - i. *U.S. Citizens.* Citizens of the United States;
    - ii. *Permanent resident aliens.* Permanent resident aliens of the United States with proof of permanent alien status;
    - iii. *Diplomats.* Aliens who have resided in the United States continuously for more than one year and who are members of families of persons in the diplomatic or consular corps;
    - iv. *Refugees and asylees.* Aliens who have been granted Refugee Status, Asylee Status, or Temporary Protected Status, upon presentation of their passport with attached Form I-94 denoting the status granted by the U.S. Immigration and Naturalization Service;
    - v. *Puerto Rico, U.S. Virgin Islands, Samoa, or Guam.* Junior players residing in Puerto Rico, U.S. Virgin Islands, Samoa, or Guam who satisfy the citizenship or alien status requirements set forth in **USTA Regulations III.A.2.a.i-iv**. Such players who are U.S. citizens are eligible for wild card selection; and
    - vi. *British Columbia.* The USTA Pacific Northwest Sectional Association includes the Province of British Columbia, Canada. Canadian citizens and landed Canadian immigrants who reside in British Columbia shall have full rights of participation in these events but may be excluded from wild card selection.
  - b. *Loss of eligibility.* Players who have made a declaration of citizenship to a foreign country or who have accepted endorsement from another federation to an ITF junior or open event, except for those players from the Province of British Columbia, Canada, Puerto Rico, U.S. Virgin Islands, Samoa, and Guam mentioned in **USTA Regulations III.A.2.a.v-vi**, shall not be eligible to participate in these events.
  - c. *Reinstatement of eligibility.* An individual previously qualified to play in these events and who lost such right by accepting endorsement from another federation to an ITF junior or open event, by playing on a foreign team, or by loss of United States immigrant status may apply for reinstatement. The Wild Card Committee, in consultation with the USTA General Counsel and the Director of USA Tennis High Performance, shall rule on the request. The player may appeal the ruling to the USTA Board of Directors.
3. *National Selection and Seeding List.* At least monthly, the Youth Competition and Training Committee shall publish National

Selection and Seeding Lists for the 18, 16, 14, and 12 age divisions. The Committee shall determine the dates on which the lists are published. The Committee shall determine criteria for eligibility for inclusion on the lists and shall publish the requirements.

4. *Entries into USTA National Open Championships.*
  - a. *Entry.* A player submits an entry and entry fee to the USTA and designates the player's order of preference among the four locations.
  - b. *Eligibility of players with ATP, WTA, or ITF ranking.* A player with an ATP, WTA, or ITF ranking is eligible to enter only if the player's name appears on the most recently published National Selection and Seeding List as of the entry deadline.
  - c. *Selection process.* The USA Tennis Junior Competition Department selects the top entrants based on the most recently published National Selection and Seeding List as of the entry deadline. The USA Tennis Junior Competition Department shall give higher ranked players preference in their choice of location. Players not selected for their first choice remain in the pool of applicants for entry into the other tournaments. Those players who have not been selected after all four USTA National Open Championships draws have been filled shall be placed in order of their standing in alternate pools at all tournaments for which the players indicated a preference.
  - d. *Publication of selection.* The USTA shall post or publish the names of the entrants and alternates.
5. *Entries into USTA Super National Championships.*
  - a. *Entry and entry fee must be timely.* Entries and entry fees must be received by the Tournament Committee by the date stated in the published entry information.
  - b. *Entries.* The USA Tennis Junior Competition Department shall provide for the submission of entries using a system that permits the acceptance of entries by electronic and paper means.
  - c. *Sectional endorsement often required.* An entrant shall not be accepted into a tournament unless the entrant appears on a Sectional Endorser's endorsement list *except* for the entry of any player accepted in the draw by virtue of the player's:
    - position on the Super National Selection List;
    - finish among the top six at a USTA National Open Championship as set forth in **USTA Regulation III.A.5.e.ii.**; or
    - receipt of a wild card.
  - d. *Super National Selection List.* The USTA shall publish Super National Selection Lists with effective dates as of January 15, May 1, and October 1 of each year. Each list shall consist of:
    - amateur players who have an ATP ranking of 1000 or

better or amateur players who have a WTA ranking of 600 or better as of the effective date, which players shall be listed in the order of the ranking and shall be placed at the top of the list;

- ITF amateur players not previously listed who have an ITF ranking of 50 or better as of the effective date, which players shall be listed in the order of their ranking and shall be placed directly below the first group of players; and
  - amateur players not previously listed who have played in at least three Level 1-5 tournaments, at least one of which must be on the Junior National Tournament Schedule and at least one of which must have a starting date during the 4-month period before the effective date of the Super National Selection List, and who have at least one win over another player meeting this same tournament participation requirement, which players shall be listed in the order of strength of record calculated as of the effective date using the USTA computer ranking program and shall be placed directly below the second group of players.
- e. *Selection process.* Each Tournament Committee shall accept players who have submitted timely entries into the draw in the following order:
- i. *Players on Super National Selection List.* For a draw of 192, players listed in positions 1 through 24 on the Super National Selection List and for a draw of 128, players listed in positions 1 through 16 on the Super National Selection List. These players do not count against the Sectional Associations' quotas and do not require sectional endorsement.
  - ii. *Players who qualified from the USTA National Open Championships.* Players not previously selected who are among the top six singles finishers in the winter, spring, summer, or fall USTA National Open Championships shall qualify for entry, if otherwise eligible, for a place in the USTA Super National Championship as follows:

USTA National Open	qualifies for USTA Super National
Winter	Spring
Spring	Clay Court
Summer	Hard Court
Fall	Winter

A player who has been defaulted for any reason from the player's final scheduled match in singles or doubles, including a default for refusal to play or continue to play, shall not be eligible for selection *except that*

this provision shall not apply to a player whose doubles team has been defaulted *unless*, in the judgment of the Referee, the conduct of that player contributed to the default.

- iii. *Players within Sectional Associations' quotas.* Players not previously selected who are on the sectional endorsement lists and within the quota established by **USTA Regulation III.A.5.g.** shall be accepted in order as determined by their Sectional Endorsers.
- iv. *Wild cards.* The Tournament Committee shall accept those players granted wild cards by the Wild Card Committee. Thereafter the Tournament Committee may award additional wild cards subject to the following overall limits on wild cards:
  - USTA Spring Super National Championship .....4
  - USTA Winter Super National Championship .....4
  - USTA Clay Court Super National Championship.....8
  - USTA Hard Court Super National Championship....8Wild cards do not count against Sectional Associations' quotas.
- v. *Endorsed players on National Selection and Seeding List.* The Tournament Committee shall fill the remaining spots in the draw with endorsed players remaining on the most recently published National Selection and Seeding List in the order in which their names appear.
- f. *Players on Super National Selection List do not reduce their Sectional Associations' quotas.* Players accepted into the draw by virtue of their positions on the Super National Selection List shall not count as part of their Sectional Associations' quotas.
- g. *Sectional Associations' quotas.* Each Sectional Association shall be entitled to a quota of entries based on the ratio that the Sectional Association's junior membership enrollment bears to the total USTA junior membership enrollment. The USTA shall calculate the quota by multiplying this ratio by:
  - 100 for a draw of 192; or
  - 60 for a draw of 128.After filling the minimum quotas (see below), fractional values obtained from the above computation shall be rounded up in decreasing order until the tournament quota is filled. Enrollment shall be based on the aggregate totals in each Sectional Association and the USTA as of December 31 of the preceding year.
  - i. *Maximum quotas.* No Sectional Association shall have a maximum quota of more than: 16 entries in a draw of 128. There are no maximum quotas in draws of more than 128.
  - ii. *Minimum quotas.* Each Sectional Association shall have

a quota of no less than one entry in draws of 96 or less.  
Each Sectional Association shall have a quota of no less than two entries in draws of 128 or more.

- h. *Sectional Endorser provides list of players based on record.* Each Sectional Association shall designate Sectional Endorsers. Sectional Endorsers should be familiar with the playing records of the juniors within their Sectional Association. Sectional Endorsers shall provide the various tournament committees with a list of the best qualified players who are available, reside within the Sectional Association, and are recommended by the Sectional Association. The list shall rank the players in the order in which the Sectional Association believes their records place them. Sectional Endorsers may change the order of the endorsed players at any time before the draw is made.

**FAC Comment III.A-1:** The residence of all players is based on domicile.

- i. *Wild cards.*
  - i. *Eligibility for wild cards.* Each wild card applicant must be in good standing with the applicant's Sectional Association. A player may be in good standing without being endorsed.
  - ii. *Application.* Players may obtain wild card applications from their Sectional Associations and shall submit the applications and supporting documents to the Administrator of USA Tennis Junior Competition. The Administrator must receive the player's application and supporting documents on or before the entry deadline for the USTA Super National Championship.
  - iii. *Wild Card Committee.* The Wild Card Committee, which is comprised of the Coordinator of Junior Rankings, the Chairperson of the Youth Competition and Training Committee, and the Administrator of USA Tennis Junior Competition, shall consult with USA Tennis High Performance staff and the player's Sectional Association before granting a wild card.
  - iv. *Criteria.* Applications for wild cards will be considered in extreme cases where extenuating circumstances have made the normal procedure of qualification and endorsement impossible. Wild cards also may be granted based on the recommendation of the National Coaching Staff that a player has demonstrated significant potential at the national and international level.
- j. *Playing up.* Sectional Associations shall allow a player to compete and be endorsed in any age division for which the player

satisfies the USTA age eligibility requirement.

- k. *Withdrawals and alternates.*
  - i. *Withdrawals before the draw has been made.* The Tournament Committee shall replace any endorsed player who counts as part of a Sectional Association's quota and who withdraws before the draw has been made with the next player on that player's Sectional Association's endorsement list. The Tournament Committee shall replace any withdrawing player who does not count as part of a Sectional Association's endorsed player quota with the highest listed remaining player on the alternate list (as determined under **USTA Regulation III.A.5.k.ii.**).
  - ii. *Alternates.* Players on sectional endorsement lists who have not been accepted into the draw are called alternates. The first alternate is the highest listed player on the most recently published National Selection and Seeding List who appears on any Sectional Association's endorsement list but who was not accepted into the draw; the succeeding alternates are the succeeding highest listed such players who were not accepted. The Tournament Committee shall list the alternates on the draw in the order of their strength.
  - iii. *Withdrawals after the draw has been made.* After the draw has been made, the Tournament Committee shall replace any player who withdraws with the highest listed remaining player on the alternate list.
  - iv. *On-site alternates.* The Tournament Committee shall list the alternates who are on the site in the order of their strength. The Tournament Committee shall admit these alternates into the draw according to this list until completion of the first round.
- l. *Doubles qualifying.* Players who reach the doubles finals and are finishers in a USTA National Open Championship shall qualify for play in doubles in the next USTA Super National Championship, *provided* they have submitted timely entries. Players are not required to play with the same partner. These players shall be placed in the on-site alternate pool for singles in the order in which their names appear on the most recent National Selection and Seeding List. A player who has been defaulted for any reason from the player's final scheduled match in singles or doubles, including a default for refusal to play or continue to play, shall not be eligible for selection *except that* this provision shall not apply to a player whose doubles team has been defaulted *unless*, in the judgment of the Referee, the conduct of that player contributed to the default.

6. *Size of draws.*
  - a. *USTA Super National Championships (18, 16, and 14 age divisions).* The USTA Super National Spring Championship and the USTA Super National Winter Championship shall have a draw of 128 for singles and 64 for doubles. The USTA National Clay Court Championship and the USTA Hard Court Championship shall have a draw of 192 for singles and 96 for doubles.
  - b. *USTA Super National Championships (12 age division).* The USTA Super National Championships shall have a draw size of 128 for singles and 64 for doubles.
  - c. *USTA National Open Championships (18, 16, 14, and 12 age divisions).* Each USTA National Open Championship shall have a draw of 64 for singles and 32 for doubles.
7. *Draw regulations.*
  - a. *Feed-in-championship required.* Each USTA Super National Championship and each USTA National Open Championship shall run a feed-in championship. The USTA Youth Competition and Training Committee shall specify the format. The feed-in-championship shall be considered as part of the championship with which it is connected. Each player (including each losing quarterfinalist) shall play the feed-in-championship, unless the failure to do so is attributable to illness, injury, or personal emergency as verified by the Tournament Committee.
  - b. *Third-place play-off.* There shall be a play-off for third place in the main draw.
  - c. *Time when draws made.* The draws shall not be made more than seven days before the start of the tournament.
  - d. *Separating players from the same Sectional Association.* The draw shall avoid the presence in the same quarter of more than one of the first four players from the same Sectional Association who are in the tournament and whose names appear on the most recently published National Selection and Seeding List. This regulation does not apply to wild card entries.
  - e. *Remaking the draw.* If play has not begun, the draw may be remade:
    - if any one of the top four seeds withdraws;
    - if more than one seed after the top four seeds withdraws;
    - if two or more seeds in the same quarter withdraw.
8. *Match formats.*
  - a. *Match Tiebreak (7-point) shall be used.* The 7-point Tiebreak shall be used in all sets of all matches including the feed-in-championships.

- b. *No-Ad scoring prohibited.* No-Ad scoring may not be used in any match (main draw, feed-in championship, or play-off for third place).
- 9. *Scheduling limitations.* The scheduling guidelines in **USTA Regulation I.J.12.** are mandatory for all tournaments listed on the Junior National Tournament Schedule.
- 10. *Other tournaments under Youth Competition and Training Committee jurisdiction.*
  - a. The Youth Competition and Training Committee shall also be responsible for holding the following competitions:
    - USTA Boys' and Girls' 18 Interscholastic Championships;
    - USTA Boys' and Girls' 16 Intersectional Team Championships;
    - USTA Boys' and Girls' 16, 14, and 12 Zone Team Championships;
    - USTA Boys' 18 Junior Davis Cup Championships;
    - and
    - USTA Girls' 18 Junior Fed Cup Championships.
  - b. The eligibility requirements for these championships for players endorsed by their Sectional Associations are provided in **USTA Regulation III.A.2.**
  - c. Regulations for these competitions have been prepared by the Youth Competition and Training Committee. The regulations can be found in a separate publication entitled USTA Junior Championship Tournament Regulations.  
 Regulations for these competitions may be amended as set forth in **USTA Regulation XII.** However, between meetings of the Executive Committee these regulations shall be subject to amendment by the Board of Directors upon the recommendation of the Youth Competition and Training Committee.
  - d. Coaching shall be allowed only at the following USTA junior team tournaments:
    - USTA Boys' and Girls' 16 Intersectional Team Championships;
    - USTA Boys' and Girls' 16, 14, and 12 Zone Team Championships;
    - USTA Boys' 18 Junior Davis Cup Championships;
    - and
    - USTA Girls' 18 Junior Fed Cup Championships.
 Only the designated team coach shall be allowed to coach. Each team may have only one designated coach. Coaching may take place during changeovers and shall be conducted in an unobtrusive manner at the fence line with the coach

outside the playing area while the player remains inside the playing area.

11. *Suspension Point System.*
- a. *Application.* The Suspension Point System shall apply to tournaments listed on the Junior National Tournament Schedule. It applies to conduct:
    - during all matches (main draw, consolation, qualifying, and doubles);
    - during tournament activities;
    - at tournament facilities; and
    - at facilities, such as hotels, dormitories, and homes where players stay.
  - b. *Suspension points.* USA Tennis Player Development staff shall record suspension points upon being notified of the following violations:

VIOLATIONS	SUSPENSION POINTS
i. <i>Point Penalty System.</i> For each violation under the Point Penalty System ( <b>USTA Regulation I.P.</b> ) (excluding time violations for delay between points, after warm-up, after a 90-second changeover, after a Set-Break), two points shall be assessed for the following:	
• Point.....	2
• Game.....	2
• Default.....	2
ii. <i>Defaults.</i> In addition to the suspension points assessed under <b>USTA Regulation III.A.11.b.i.</b> , suspension points shall be assessed for the following:	
• Default for a flagrantly unsportsmanlike act on or off the court .....	8
• Default for refusal to play or continue to play for any reason other than illness, injury, or personal emergency .....	5
• Default for no-show.....	5
• Default due to late arrival for a match .....	1
• Disqualification for ineligibility .....	3
iii. <i>Withdrawals.</i>	
• Entering two or more tournaments, matches, or exhibitions scheduled to take place at the same time, in whole or in part, unless each Tournament Committee involved approves the multiple entries in writing .....	5
• Withdrawal from a tournament (singles or	

	doubles) after entries have closed for any reason other than injury, illness, or personal emergency .....	4
iv.	<i>Unsportsmanlike conduct.</i>	
	• Unsportsmanlike or inappropriate conduct off court at locations such as the tournament site, hotel, or housing .....	5
	• Not using best efforts to win .....	2
v.	<i>Gross misconduct.</i>	
	• Physical act of violence against another person on or off the court by a player, parent, relative, coach, or other person associated with a player .....	10
	• Illegal use of drugs or possession of illegal drugs .....	8
	• Possession or consumption of alcohol beverages .....	8
	• Gambling activity (as defined in <b>USTA Regulation I.N. 18.</b> ) .....	8
	• Destruction of property .....	8
vi.	<i>Playing while under suspension.</i> Competing in any sanctioned event while under suspension by the USTA or one of its Sectional Associations .....	10
vii.	<i>Suspension points received at international events.</i> Each suspension point assessed a player by the International Tennis Federation at events not on the Junior National Tournament Schedule .....	1
c.	<i>Persons authorized to file suspension point reports with the Referee.</i> The following persons are authorized to file suspension point reports with the Referee for offenses they personally witness:	
	• Tournament Committee members;	
	• Chief Umpire;	
	• Deputy Referees;	
	• on-court officials (including Roving Officials);	
	• Court Monitors, if specifically authorized by the Referee;	
	• club or facility managers;	
	• hotel or dormitory managers;	
	• families housing players; and	
	• player development staff.	
d.	<i>Notification to Administrator of USA Tennis Junior Competition and Sectional Associations of points levied.</i> The Tournament Committee shall promptly inform the Administrator of USA Tennis Junior Competition (hereinafter "Administrator") of any points levied against any player (foreign or American). The Administrator shall then inform the player's Sectional As-	

sociation of the suspension points and any resulting suspension, and the Sectional Association shall have the opportunity to submit, on behalf of the player, any additional information for consideration. Failure of the Administrator to notify a Sectional Association of suspension points and any resulting suspension shall not invalidate the points or the suspension.

- e. *Player suspension.* The Administrator shall suspend players according to the following schedule:
  - i. *First suspension.* If a player receives 10 suspension points within a 12-month period, the player shall be suspended from competing in USTA-sanctioned events for three months. (In the event no Super National Championship falls during the 3-month period, the player shall not be accepted into the Super National Championship event immediately following the 3-month suspension period.) Upon suspension these 10 points shall be cleared from the player's record. All other suspension points shall remain on the player's record and count towards a second suspension.
  - ii. *Second suspension.* If a player receives 8 suspension points within the 12 months immediately following the first suspension, the player shall be suspended from competing in USTA-sanctioned events for six months. Upon suspension these 8 points shall be cleared from the player's record. All other suspension points shall remain on the player's record and count towards a third suspension.
  - iii. *Subsequent suspensions.* If a player receives 6 suspension points within the 12-month period immediately following the second suspension (and any suspensions subsequent to the second suspension), the player shall be suspended from competing in USTA-sanctioned events for a period to be determined by the Administrator, the Chairperson of the Youth Competition and Training Committee, and one additional member of the Youth Competition and Training Committee to be appointed by the Chairperson. The suspension period shall not be less than one year and may be up to the remainder of the player's junior career. These 6 points shall be cleared from the player's record.
- f. *Written notice to player.* After the Administrator has determined that a player should be suspended, the Administrator shall send a notice by first class mail and by certified mail (return receipt requested) to the player at the address shown on the records of the USTA Membership Department. The notice

shall set forth:

- that the player is being suspended;
- the length of the suspension;
- the player's right to appeal the suspension under **USTA Regulation III.A.11.h**;
- the procedure for appealing the suspension; and
- a statement that if the player chooses not to appeal the suspension, then the suspension shall begin 21 days after the date the notice was mailed.

- g. *Player may request that suspension start immediately.* When a player accumulates sufficient points to be suspended, the player may request that the suspension period begin immediately. The player shall mail the request by certified mail, return receipt requested to the Administrator. If the Administrator confirms that the player has accumulated sufficient points to be suspended, the suspension shall begin on the date that the certified notice was mailed.
- h. *Right to appeal suspension to USTA Grievance Committee.* A player shall have the right to a hearing before the USTA Grievance Committee, if the player requests a hearing within 21 days of the Administrator's mailing the notice of suspension. The player shall send the request for a hearing to the USTA Grievance Committee and to the Administrator by certified mail, return receipt requested. The player shall pay any expenses that are incurred for the player or the player's representative to attend or participate in the hearing.
- i. *Effective date of suspension.*
- i. If a hearing before the USTA Grievance Committee is not requested, the suspension shall begin 21 days after the Administrator mails the certified notice of suspension to the player or such earlier date as may be requested in writing by the player under **USTA Regulation III.A.11.g**.
  - ii. If a hearing before the USTA Grievance Committee is requested and if the suspension is affirmed by the Committee, then the suspension shall begin one day after the date of the order of the USTA Grievance Committee affirming the suspension.
12. *ITF junior events.* In compliance with ITF rules, in order to be endorsed by the USTA into ITF junior events, a player shall be a United States citizen as evidenced by possession of a valid U.S. passport, birth certificate (not conclusive in all cases), or Certificate of Naturalization.
13. *Participation of players from Puerto Rico and U.S. Virgin Islands on international teams.* A player residing in Puerto Rico who meets the eligibility criteria of **USTA Regulations III.A.2.a.i-iv** may play on the Puerto Rico or United States international teams. A player resid-

ing in the U.S. Virgin Islands who meets the eligibility criteria of **USTA Regulations III.A.2.a.i-iv.** may play on the U.S. Virgin Islands or United States international teams. Once a player has competed for one team, the player may not compete on the other team unless reinstated.

#### **B. Adult and Senior National Tournament Regulations**

1. *Tournaments authorized.* There shall be one or more annual USTA National Championships for men and women in each of the following age divisions (the age specified is the minimum age): Professional, Collegiate, Open, 30, 35, 40, 45, 50, 55, 60, 65, 70, 75, 80, 85, and for men only, 90.

There shall be one or more annual USTA National Championships for the Father-Son, Father (60 & Over)-Son, Father (70 & Over)-Son, Mother-Daughter, Mother (60 & Over)-Daughter, Father-Daughter, Father (60 & Over)-Daughter, Husband-Wife, Mixed Doubles, 30 Mixed Doubles, 40 Mixed Doubles, 50 Mixed Doubles, and 60 Mixed Doubles divisions.

2. *Consolations.* All Category I USTA National Championships shall hold consolation draws. The Adult/Senior Competition Committee shall specify the formats.
3. *Eligibility.* USTA National Championships shall be open to citizens of the United States and to non-citizens.
4. *Entry and entry fee must be timely.* Entries and entry fees must be received by the Tournament Committee by the date stated on the entry form.
5. *Surfaces.* USTA National Championships may be held on four surfaces: hard, grass, clay, and indoor.
6. *Playing semifinals and finals on designated surface.* Semifinal and final rounds shall be played on the surface specified in the title or entry form unless more than 24 hours of inclement weather or other cause prevents them from being played on the specified surface. For purposes of this regulation, the designation "hard courts" includes all types of hard courts, and the designation "clay courts" includes all types of clay courts.
7. *Limitation on number of matches played per day.* Under normal conditions the scheduling guidelines in **USTA Regulation I.J.12.** are mandatory for all USTA Adult and Senior National Championships.
8. *Third-place play-offs.* The tournaments shall have the losing semifinalists play off for third place. For scheduling purposes, such play-offs are considered part of the main draw.
9. *Practice courts.* Practice courts should be available on the day before the start of the championships and on each day during the championships.
10. *Scheduling.* Rounds in the main draw should take precedence over consolation rounds. For example, the second consolation singles

- match of the day for any player should be scheduled after the main draw doubles each day. However, a player may be required to play one consolation singles match before a main draw doubles match.
11. *Scoring system.* All matches (main draw, qualifying, and consolation) shall be played based on the USTA Adult/Senior National Ranking Regulations set forth in **USTA Regulation X.B.4.** No-Ad scoring may be used.
  12. *USTA Senior National Team Championships.* Annually there shall be three USTA National Intersectional Team Championships in age divisions and formats as determined by the Adult/Senior Competition Committee, as follows:
    - Doubles only, men and women;
    - Women's; and
    - Men's.
    - a. *Match limitations in team events.* The match limitations set forth in **USTA Regulations I.J.12.** and **III.B.7.** shall not apply to participants in team events who enter both singles and doubles.
    - b. *Tournament Directors' discretion.* Tournament Directors may impose entry and scheduling limitations provided they are announced before the start of the event.
  13. *USTA National and Regional NTRP Championship Regulations*
    - a. *Tournaments authorized.* Up to three annual USTA National NTRP Championships and up to nine USTA Regional NTRP Championships for men and women shall be permitted. It is the Adult/Senior Competition Committee's and the Tournament Committee's responsibility to select the dates, sites, NTRP levels of play, and events offered for each USTA National NTRP Championship and each USTA Regional NTRP Championship.
    - b. *USTA Regional NTRP Championships.* Entry shall be open to any USTA member who turns 19 years old before the end of the calendar year and who has a current NTRP rating in the appropriate level. Self-rated players must have played at least two matches at the appropriate level.
    - c. *USTA National NTRP Championships.* Entry shall be by invitation only. Those invited shall include finalists in the current year's USTA NTRP Regional Championships, USA League Sectional Championships, and players endorsed by their Sectional Associations based on sectional NTRP standings. USTA membership and current NTRP rating in the appropriate level are required. Players must be 19 years old before the end of the calendar year. Invitations and entry forms shall be sent via regular mail or electronic mail to eligible players approximately 60 days before the event.
    - d. *Tournament format.* All USTA National NTRP Championships shall use a Compass Draw format. The Tournament

Committee shall determine the draw format of all USTA Regional NTRP Championships. The Tournament Committee and the Referee may change the format of the tournament due to weather delay or other unforeseen circumstances.

- e. *Scoring system.* The Tiebreak shall be used at 6-all in each set. A Match Tiebreak shall be played in lieu of the third set. The Tournament Committee and the Referee may change the scoring system of the matches due to weather delay or other unforeseen circumstances.
- f. *Awards.* Awards shall be given to the champions and the finalists in all levels in men's and women's divisions.

### **C. Wheelchair National Tournament Regulations**

1. *Tournaments authorized.* There shall be one or more annual USTA Wheelchair National Championship for men and women in each of the following divisions: Men's Open; Women's Open; Quad Open; Men's A, B, and C; Women's A and B; Quad A; Junior (18 and under); and Senior (40 and over) Doubles. These Championships shall be open to citizens and non-citizens.
2. *Consolation draw required.* All Category I and Category II USTA Wheelchair National Championships shall include consolation draws in singles. The USA Wheelchair Tennis Committee shall specify the formats.
3. *Entry and entry fee must be timely.* Entries and entry fees must be received by the Tournament Committee by the date stated on the entry form.
4. *Surfaces.* USTA Wheelchair National Championships may be held on hard, clay, and indoor surfaces.
5. *Playing semifinals and finals on designated surface.* Semifinal and final rounds shall be played on the surface specified in the title or entry form unless more than 24 hours of inclement weather or other cause prevents them from being played on the specified surface. For purposes of this regulation, the designation "clay courts" includes all types of clay courts.
6. *Limitation on number of matches played per day.* Under normal conditions, the scheduling guidelines in **USTA Regulation I.J.12.g.** are mandatory for all USTA Wheelchair National Championships.
7. *Third place playoffs.* The USTA Wheelchair National Championships shall have the losing semifinalists in all divisions play off for third place. For scheduling purposes, such play-offs are considered part of the main draw.
8. *Practice courts.* Practice courts should be available on the day before the start of the Championships and on each day during the Championships.
9. *Scheduling.* Rounds in the main draw should take precedence over consolation rounds. For example, the second consolation singles of

the day for any player should be scheduled after the main draw doubles each day. However, a player may be required to play one consolation singles match before the main draw doubles match.

10. *Scoring system.* All matches shall use formats authorized for national ranking consideration in **USTA Regulation X.C.5.**

#### **D. Medal and Prize Regulations**

1. *Gold, Silver, and Bronze Balls.* Gold balls shall be awarded to the winners, silver balls to the runners-up, and bronze balls to the third-place main draw play-off winners in the following events:
  - a. USTA Super National Championships;
  - b. USTA Wheelchair Men's National Open, USTA Wheelchair Women's National Open, and USTA Wheelchair Quad National Open; and
  - c. events listed in **USTA Regulation III.B.1.**
2. *Gold Davis Cup insignia.* Gold Davis Cup insignia shall be awarded to the captain and each member of a United States Davis Cup team nominated to represent the United States in the Final Round and to the captain and each nominated member of the opposing team.
3. *Miniature Wightman Cup reproductions.* Miniature reproductions of the Wightman Cup shall be awarded to the captain and each member of the United States Wightman Cup Team.
4. *Gold Fed Cup charm.* A gold Fed Cup charm shall be awarded to the captain and each member of a United States Fed Cup Team.
5. *Restrictions on trophies and awards presentations.* It is the policy of the USTA not to accept trophies or awards bearing the name of a commercial or business concern and not to permit the presentation of any such trophy or award at USTA National Championships.

### **IV. COLLEGIATE AND SCHOLASTIC TOURNAMENTS**

#### **A. A Method for Making the Draw**

1. *Separating players from same schools.* When a scholastic or collegiate draw involves players from the same school or university, such entries shall be placed in separate halves or quarters, as evenly as possible, depending upon the number of entries from that school or university.
2. *Distribution of byes.* Byes shall be distributed among the seeded players in the order of their seeding. If the number of byes exceeds the number of seeded players and if less than one player for each four lines on the draw sheet has been seeded, then the byes shall be placed as though one player for each four lines on the draw sheet had been seeded. Any remaining byes shall be placed as provided in the Tournament Regulations.

## B. Scoring

1. *Championship rounds.*
  - a. *Main draw.* Two points for each match won.
  - b. *Third-place play-off.* One-half point for play-off for third and fourth place if feed-in is used through the quarterfinal round; but, no points for play-off for third and fourth place if feed-in through quarterfinals is not used.
  - c. *Byes.* If a player receives a bye in the first round, 4 points are given only if the second-round match is won.
  - d. *Defaults.* A default shall always be considered as a match won and points awarded accordingly.
2. *Consolation rounds with feed-in through the quarters.*
  - a. *Matches played.* One point for each match won.
  - b. *Byes.* If player receives a first-round bye, one point is given if the second-round match is won.
  - c. *Defaults.* In all instances a default shall be considered as a match won and points awarded accordingly.
3. *Consolation rounds with no feed-in through quarters.* One-quarter point for loser of finals and one-half point for winner of finals.
4. *Ties.* In the event of a tie, co-titles shall be awarded.

## V. SANCTIONING REGULATIONS

### A. General Information

1. *Meaning of sanctioning.* The USTA sanctioning process is intended to aid the public, the player, and the tennis promoter. It helps to assure uniformity of the rules of play; it permits the ranking of players on a basis of an accepted standard; it encourages an orderly schedule of tournaments which accommodates the reasonable needs of players, the promoters and the sponsors of organized competition; and it fosters the aim of providing the public with tennis competition of high caliber and ethical standards. Sanctioning indicates that a particular tournament is an official USTA approved tournament, that the ITF Rules of Tennis and USTA Regulations will be followed, that proper draws will be made and that the results of the tournament will be considered by the applicable USTA National, Sectional, District, or local ranking committees.
2. *Discrimination not allowed.* Sanctioned tournaments shall be conducted without regard to race, creed, color, or national origin.
3. *Use of USTA name in reference to tournament.* To the extent determined by the USTA, the sponsors of a USTA sanctioned tournament may use the name, initials, and logo of the USTA.
4. *Use of certified officials recommended in sanctioned tournaments.* The USTA recommends that every on-court official, Net Umpire, Line Umpire, Chair Umpire, and Referee, in any sanctioned tournament be a member of the USTA Officials Council and certified in

accordance with **USTA Regulation XI**, in the appropriate classification. This recommendation shall be transmitted with every sanction application.

5. *Sanction fees*. Sanction fees are charged for the award of sanctions. These vary according to the class, type, and size of the tournament.
6. Collection of sanction fees.
  - a. *Form AA*. The USTA shall be responsible for collecting the sanction fees for all tournaments required to be sanctioned on an application for sanction Form AA as hereinafter provided.
  - b. *Forms A & B*. The Sectional Association in whose territory the tournament is held shall be responsible for collecting the sanction fees for all events required to be sanctioned on an application for sanction Forms A and Form B as hereinafter provided.
7. *Sanction will not be issued if prior sanction fee is delinquent*. A sanction shall not be issued for any tournament if the applicant, promoter, holder, or other person or entity directly or indirectly owning or controlling the tournament is delinquent in the payment of any sanction fee charged for a sanction previously applied for and issued, *unless* the delinquent sanction fee is paid or is waived by the Board.
8. *Definition of tournaments*. Tournaments include tournaments, exhibitions, challenges (individual and team), and other matches, events, or competitions. Such tournaments are classified as amateur, professional, or open.
9. *Specification in title of whether tournament is open to professionals*. All USTA tournaments should specify the category in the title, especially if the entry is restricted to amateurs or to professionals. Absence of such title will indicate that the tournament is open to both amateurs and professionals, although for clarity, the word "Open" should be included when applicable.
10. *Title for USTA National Championships*
  - a. *Sex, age, and surface of tournament*. The title for all USTA National Championships shall include, where applicable, the age, sex, surface, and any other divisions of the tournament. For example, "The USTA Women's 35 Hard Court National Championship."
  - b. *Commercial identification*. No other name, such as that of a tournament sponsor, may, without prior approval of the Board and solely with respect to tournaments whose contracts are negotiated for and require approval by the Board, be included in the official title of a USTA National Championship.
  - c. *Use of initials USTA and US*. The initials USTA shall be used in identifying all such National Championships, except that the initials US only may be used in identifying the US Open.

## B. Application for Sanctions

1. *Sanction forms.* Member Organizations may apply to hold any amateur, professional, or open tournament that they choose. Member Organizations must apply for a sanction:
  - on Form A or Form B through their Sectional Association; or
  - on Form AA through the Youth Competition and Training Committee, Adult/Senior Competition Committee, or USA Wheelchair Tennis Committee.
2. *USTA National Championships.* Applications to hold USTA National Championships and applications to hold those tournaments listed in **USTA Regulations III.A.1.a-b., III.A.10., III.B.1., III.B.12., III.B.13., and III.C.1.** shall be submitted on Form AA to the appropriate competition committee. These tournaments must be approved by the Sectional Association and the appropriate competition committee. The sanction certificate may be issued only by the USTA office. The Youth Competition and Training Committee may sanction USTA Junior National Championships for up to three years.
3. *Tournaments requiring Sectional Association's approval only.* The Sectional Associations have been authorized to give final approval and issue sectional sanction certificates for all other tournaments. Applications to hold these tournaments must be submitted on Form A or Form B. Blank sanction forms may be obtained from the Sectional Associations or the USTA. The Sectional Associations shall send a copy of the approved sanction Form A or Form B to the USTA office.
  - a. *Tournaments requiring sanction on Form A.* All of the following tournaments require application for sanction on Form A:
    - tournaments charging spectators admission where the gross revenues of the tournament are anticipated to exceed \$5,000;
    - tournaments paying player expenses when total player expenses to be paid are anticipated to exceed \$5,000; and
    - tournaments offering prize money in excess of \$5,000.
  - b. *Tournaments requiring sanction on Form B.* Applications for sanctions for all other tournaments shall be on Form B.

## C. Sanction Fees

If more than one of these categories is applicable, the type requiring the larger sanction fee will apply.

1. *Intra-club tournaments.* A tournament conducted only for members of the club does not require a sanction. A sanction may be applied for, if it is desired that this be an official USTA event to be considered for ranking purposes. Application for such sanction is made on Form B. Approval is granted by the Sectional Association. The Sectional Association will also issue the sanction certificate, forwarding an information copy to the USTA. The fee for this type of event is \$35.00 payable to the Sectional Association. Payment

shall accompany the application. (If spectator admissions are charged, or player expenses are paid, or prize money is offered, the above is not applicable, but the following paragraphs will apply. )

2. *Tennis leagues.* USA League Tennis and USA Team Tennis are hereby approved by the USTA without any sanction application. Other tennis leagues may obtain USTA approval for league matches to be played within a calendar year on a single Sanction Form B, and a fee of \$15, provided no prize money is paid, no spectator admission is charged, and no player expenses are paid.
3. *Interscholastic and intercollegiate tournaments.* Interscholastic and intercollegiate matches, tournaments and events conducted by scholastic or collegiate officials and limited to students do not have to be sanctioned, but the same may be sanctioned by the appropriate Sectional Association with or without the payment of a sanction fee.
4. *City, Intercity, State, District, Sectional, and other tournaments where no spectator admissions are charged (or, if charged, gross revenues are not anticipated to exceed \$5,000), no player expenses are paid (or, if paid, are not anticipated to exceed \$5,000), and less than \$5,000 prize money is offered.* Application for sanction is made on Form B. Approval is granted by the Sectional Association. The Sectional Association will also issue the sanction certificate, forwarding an information copy to the USTA. The fee for this type of event is \$35 payable to the Sectional Association. Payment shall accompany the application.
5. *City, Intercity, State, District, Sectional, and other tournaments where spectator admissions are charged and gross revenues are anticipated to exceed \$5,000 or player expenses to be paid are anticipated to exceed \$5,000, but less than \$5,000 prize money is offered.* Application for sanction is made on Form A. Approval is granted by the Sectional Association. The Sectional Association will issue the sanction certificate. The fee for this type of event is \$100, payable to the Sectional Association. Payment shall accompany the application.

For junior tournaments, the entry fees, donations, and contributions shall not be counted in the gross revenues test. Generally, this will mean that junior tournaments may be sanctioned under **USTA Regulation V.C.4.**
6. *Prize money tournaments over \$5,000 other than Form AA Tournaments.* Application for sanction is made on Form A. Approval is granted by the Sectional Association. The Sectional Association will issue the sanction certificate. The sanction fee is payable to the Sectional Association.

The total fee for this type of tournament shall be an amount equal to 1% of the prize money; however, such fee shall not exceed \$2,000, nor shall it be less than \$100.

Not less than one-third of such sanction fee, or \$100, whichever is greater, must accompany the application. The remainder of the fee, if any, shall be paid within 30 days after the completion of the event.

7. *Definition of gross revenues.* For purposes of **USTA Regulation V.**, gross revenues means all monies received for:
  - entry fees charged in all events;
  - the admissions to the grounds, courts, and stands after deduction of governmental and municipal taxes;
  - sales of advertising less direct expenses; and
  - contributions from whatever sources, including sponsors.
8. *USTA National Championships.*
  - a. *Submission of Bids.* Bids shall be submitted on Form AA to the chairperson of the appropriate competition committee on or before August 1 of the year before the championship. The bid shall contain a complete description of the applicant's facilities, proposed tournament organization, and such other information as may be pertinent in considering competing bids. Bids for USTA Junior National Championships shall also include the number of years, up to three years, for which the Organization Member is applying for the sanction.
  - b. *Site shall be USTA Organization Member.* The host site of each USTA National Championship shall be an Organization Member.
  - c. *Sectional Association must approve bid.* The appropriate competition committee shall consider only those bids that have the approval of the Sectional Association of the site.
  - d. *Final approval of bids for USTA National Championships.* Bids for USTA Adult/Senior and USTA Junior National Championships so submitted shall be referred to the appropriate competition committee for its review, recommendation, and final approval.
  - e. *Sanctions shall be awarded as soon as possible after the bid deadline.* All bids shall be considered. Sanctions for USTA National Championships for the next year shall be awarded as soon as possible after the bid deadline.
  - f. *Right of bidders to appear before the Adult/Senior Competition Committee or the Youth Competition and Training Committee.* The chairperson of the appropriate competition committee shall inform all bidders of competing bids. Representatives of all bidders shall be permitted to appear and make presentations in support of their bids at all meetings in which the bids are considered.
  - g. *Chairperson of the appropriate competition committee shall notify the successful bidders.* Upon award, the chairperson of

the appropriate competition committee shall send a sanction application to the successful bidder, who shall complete the application and return it and the sanction fee to the USTA within 30 days.

- h. *Sanction fee for USTA National Championship in which prize money is not offered.* The sanction fee for a USTA National Championship in which prize money is not offered shall be \$100, per national championship division, which amount is to accompany the application.
- i. *Sanction fee for USTA National Championship in which prize money is offered.* If prize money is to be offered, the sanction fee will be \$100 per division, or 1% of the prize money, whichever is greater. However, unless the paragraph immediately below is applicable, the fee shall not exceed \$2,000.
- j. *Sanction fees for the US Open and for tournaments awarded by USTA Board.* The US Open Championship, any USTA National Championship which is awarded by the USTA Board, and any special event which is awarded by the USTA Board are subject to a negotiated sanction fee between the sponsoring Sectional Association or Association, or non-member, and the USTA or its specifically designated representative. Such agreement shall not become binding on the USTA until approved by the Board.

The Sectional Association in whose territory such an event is held shall receive that part of the sanction fee as shall be agreed upon by the USTA and the Sectional Association. The division, if any, of such sanction fee shall be negotiated by the President and Secretary-Treasurer of the USTA with the President and Treasurer of the respective Sectional Association. The payment to the Sectional Association shall not exceed \$2,000.

#### **D. Television, Film, and Radio Rights**

1. *Rights for Form A sanctioned prize money tournaments over \$5,000 (Tournaments described in USTA Regulation V.C.6.).* The television, film and radio rights for all such tournaments shall, unless the Sectional Association is notified otherwise by the Tournament Committee at least 120 days before the start of the tournament or at the time of filing of the sanction application, whichever is later, be reserved by the USTA to facilitate the sale of such rights on a national or multi-event basis. The net proceeds of the sale of such rights shall be divided 80% to the tournament and 20% to the Sectional Association.
2. *USTA National Championships.* The television, radio and film rights for all sanctioned USTA National Championships are reserved by the USTA.

In the event that television, radio, or film rights are relinquished by the USTA and subsequently sold in connection with a USTA National Championship, the proceeds from such television, radio and

film rights shall be divided between the USTA and the sanction holder as follows:

- the first \$1,000 shall belong to the sanction holder;
- the next \$9,000 shall be divided 50% to the sanction holder and 50% to the USTA;
- the next \$10,000, 35% to the sanction holder and 65% to the USTA; and
- all amounts over \$20,000, 25% to the sanction holder and 75% to the USTA, unless other arrangements have been mutually agreed to before the award of the sanction.

#### **E. Compliance with Sanction Requirements**

1. *Policy of USTA to not assume financial responsibility for events.* It is the policy of the USTA not to assume financial responsibility for any event. Events shall be conducted wherever possible on a profitable basis. Any loss incurred shall be the sole responsibility of the sponsoring entity.
2. *Applicant for sanction agrees not to discriminate.* An applicant for any event, by requesting such sanction from the USTA or a Sectional Association, agrees that it will not discriminate against any participant because of participant's race, creed, or color. A violation of this provision may result in a refusal by the USTA or a Sectional Association to issue any further sanctions to such applicant.
3. *Tournament may lose sanction if it does not comply with USTA Regulation V. and the terms of the sanction.* The failure of a tournament to comply with any requirement of **USTA Regulation V.** or any other condition imposed by the body issuing the sanction may result in forfeiture of the sanction.

### **VI. USA LEAGUE TENNIS**

#### **A. Description**

USA League Tennis shall consist of team competition for men and for women with advancement from local competition to sectional and national competition to determine annually a championship team in each approved level of competition.

#### **B. Rating System**

The official system used to determine the levels of competition shall be a rating system approved by the Board of Directors.

#### **C. Eligibility**

Any individual who competes in USA League Tennis must be a current member of the USTA in good standing and be domiciled within the boundaries of a USTA Sectional Association or participate through a USTA Direct Member Club. Any individual competing in the adult league shall have reached the age of 19 years before or during the calendar year in which the player plays the player's first local league match. Any individual competing in the senior league shall have reached the age of 50 years before or during the calendar year in which the player plays the player's first local league match.

#### **D. Authority for Committee to Adopt League Regulations**

The USA League Tennis shall be conducted in accordance with the **USTA League Regulations**, which shall include grievance procedures for league matters, as adopted and amended by a committee appointed by the USTA President and in accordance with procedures determined and approved by the Board.

### **VII. USA TEAM TENNIS (YOUTH)**

#### **A. Description**

The USA Team Tennis (Youth) program shall consist of team competition for boys and girls with advancement from local competition to district, sectional, or national competition.

#### **B. Eligibility**

Any individual who competes in the USA Team Tennis (Youth) program need not be a current member of the USTA. Any individual competing in USA Team Tennis shall be 18 years of age or under.

#### **C. Authority for Committee to Adopt USA Team Tennis (Youth) Regulations**

The USA Team Tennis (Youth) program shall be conducted in accordance with regulations as adopted and amended by a committee appointed by the USTA President.

### **VIII. REGULATIONS GOVERNING AMATEUR AND PROFESSIONAL STATUS**

#### **A. Definitions**

Amateur and professional tennis players are within the jurisdiction of the USTA.

1. *An amateur shall not receive pecuniary advantage because of skills as a tennis player.* A tennis player is an amateur if the player does not receive and has not received, directly or indirectly, pecuniary advantage by the playing, teaching, demonstrating, or pursuit of the game except as expressly permitted by the USTA.
2. *Definition of professional.* All other tennis players who accept the authority of, and who are in good standing with, the USTA shall be designated as professionals.
3. *An amateur remains amateur throughout tournament.* A player starting play in a tournament as an amateur shall remain an amateur for the purposes of that tournament.

#### **B. Warning**

**Acceptance of the expenses or prizes or undertaking employment allowed by these regulations may jeopardize the amateur's eligibility under rules and regulations of the amateur's school or another amateur organization in which the amateur is interested. Before accepting any expenses or prizes or undertaking any tennis related employment, an amateur should consider the eligibility rules of the amateur's school and any other amateur organization in which the amateur is interested.**

#### **C. Acts That Will Cause the Loss of Amateur Status**

1. *Prize money.* An amateur may not play for a money prize or any

other prohibited prize nor sell a prize or transfer the right to a prize to another person.

2. *Teaching and coaching.* An amateur may not teach, coach, instruct, or demonstrate the game except as authorized in **USTA Regulation VIII.D.**
3. *Films and books.* An amateur may not accept money or gain pecuniary advantage by permitting the taking of tennis action films or television films of the amateur or by permitting the use of his or her name as the author of any book or article on tennis of which he or she is not the actual author.
4. *Services.* An amateur may not accept money for services not actually rendered.
5. *Endorsements.* An amateur may not permit the amateur's name, initials, or likeness to be placed on tennis equipment or apparel of which the amateur is not the actual manufacturer, wholesaler, retailer, or seller. An amateur may not permit the use of the amateur's name, initials, or likeness in the advertising or other sales promotion of any goods of any manufacturer, wholesaler, retailer, or seller.

**D. Acts That an Amateur May Engage in Without Losing Amateur Status**

1. *Reasonable expenses actually incurred.* An amateur may be reimbursed for reasonable expenses actually incurred in connection with participation in a tournament, match, or exhibition. See **USTA Regulation VIII.E.**
2. *Scholarships to a school.* An amateur may receive a scholarship or other benefits authorized by the amateur's school that do not affect eligibility as a tennis player for the school.
3. *Tennis camp and school scholarships.* An amateur may receive a scholarship or other special award:
  - that recognizes a particular achievement by the amateur (other than a prize won through participation in a tournament event) or which recognizes a particular ability and financial need of the amateur; and
  - that permits the amateur, at no cost or at a reduced cost, to attend a tennis camp or school, to participate in a tennis clinic, or to receive tennis lessons, *provided that* the recipient has been selected from a group of eligible recipients in accordance with rules established by the donor of the scholarship or special award.
4. *Employment in the sporting goods industry.* An amateur may enter into a bona-fide arrangement for services (as an individual proprietor, partner, employee, agent, or consultant) with a manufacturer or seller of sporting goods or other products, *provided* the services to be performed will not violate any of these regulations.
5. *Student employment as salaried tennis instructor.* An undergraduate or a graduate student in regular full-time attendance at a recognized

high school, college, or university, or a faculty member as described in **USTA Regulation VIII.D.6**, shall not lose amateur status because of accepting employment as:

- a counselor at a summer camp;
- an assistant to a teaching professional;
- an employee or tennis instructor at a club or establishment where tennis is played;
- an employee or tennis instructor of a Sectional or District Association, a city recreation department or its equivalent, or a recognized tennis patrons organization; or
- an employee in a public junior development program.

Remuneration for any such employment may only be on a salary basis and may not be on a fee-for-lesson basis.

6. *Faculty members serving as tennis coaches.* Regular full-time faculty members of a recognized high school, college, or university may teach tennis to the pupils or coach the tennis team as part of their faculty assignments, without affecting their amateur standing.
7. *Physical education teachers.* An amateur may be a physical education or sports teacher who receives pecuniary advantage by giving elementary tennis instruction. Remuneration for any such employment may only be on a salary basis and may not be on a fee-for-lesson basis.

**E. Expenses That May Be Reimbursed Without Causing Player to Lose Amateur Status**

1. *Reasonable expenses actually incurred.* An amateur may be reimbursed for reasonable expenses actually incurred in connection with participation in a tournament, match, or exhibition.
2. *Documentation of expenses.* Where practicable, expenses must be supported by receipts or other evidence of payment.
3. *Lodging.* An amateur may accept reimbursement for reasonable lodging expenses.
4. *Food.* An amateur may accept reimbursement for reasonable food expenses.
5. *Travel.* Travel expenses are allowable for travel to a tournament from home or a previous tournament (if in fact travel was from a previous tournament). Travel expenses are also allowable for actual return to the amateur's home from the tournament. Reimbursement shall be limited to the following:
  - air, rail or bus fare at coach rate;
  - local transportation; and
  - automobile expenses at a rate established from time to time by the Board, per vehicle plus tolls.
6. *Entry fees.* Entry fees are allowable expenses.
7. *Expenses before and during a tournament.* Expenses incurred at a tournament site for the period starting a maximum of two days

before the start of a tournament and ending on the day after the player is eliminated from the tournament are allowable in accordance with these regulations.

8. *Expenses of a spouse, parent, coach or chaperone.* Expenses for a non-playing spouse, a parent, a chaperone traveling with an amateur, or a coach are allowable in accordance with these regulations. Expenses for a coach shall be related to practice for and participation in the tournament at the tournament site.
9. *Miscellaneous expenses.* Expenses for laundry and soft drinks are allowable if not provided by the tournament or host.
10. *Documentation of expenses to USTA.* Upon the written request of the USTA Grievance Committee, Executive Committee, or the Board, an amateur shall fully inform such committee or Board as to:
  - a. all expenses paid in connection with participation in any tournament, match, or exhibition, including the furnishing to such committee or Board of such additional information as may be requested and including a sworn statement as to such expenses if so requested; and
  - b. the details of any employment in the sporting goods industry or other arrangement described in **USTA Regulation VIII.D.4.**, including furnishing to such committee or Board any written agreement, correspondence, and memoranda relating thereto, including a sworn statement as to such details if so requested.

Failure to comply promptly and fully with the request shall be grounds for immediate suspension, which suspension shall continue until the amateur has so complied with such request.

**F. Reimbursement of These Expenses Will Cause Player to Lose Amateur Status**

1. *Reimbursements conditioned on round reached.* Any and all arrangements for payment of expenses cannot be conditioned on the round reached. A tournament may enter into an arrangement for payment of part or all of an amateur's allowable expenses, as defined in this **USTA Regulation VIII.**, conditioned upon the tournament obtaining sufficient funds for the payment.
2. *Reimbursement of expenses paid by someone else.* An amateur may not accept reimbursement for an expense if someone else (for example, a sponsor) has paid such expense, unless the amateur actually returns such payment to the sponsor.
3. *Lost income.* Lost opportunities for income, attributable to playing a tournament, are not allowable expenses.
4. *Equipment and clothing.* Equipment and clothing are not allowable expenses.
5. *Expenses not reimbursable by virtue of action of Sectional Association or USTA Grievance Committee.* No amateur may receive, directly

or indirectly, expenses of any kind in connection with playing tennis if permission to receive such expenses has been refused either:

- by the amateur's Sectional Association; or
- by the USTA Grievance Committee, pending final action pursuant to **USTA Bylaw 43**.

An amateur who has been refused permission to receive the expenses may appeal to the USTA Grievance Committee or the Board.

#### **G. Organization Member's Role in Reimbursement of an Amateur's Expenses**

1. *Direct arrangements between Organization Member and amateur.* All arrangements (including the payment of expenses) for participation by an amateur in a sanctioned tournament, match, or exhibition shall be made by the Organization Member holding such event directly with the amateur, the amateur's Sectional Association, the Sectional Association in which the event is being held, the team captain of any recognized USTA team (whether on a national, sectional, or district level), or the chairperson for any sanctioned national or international tournament, match, or exhibition.

Payments made to hotels for indebtedness incurred for lodging, meals, etc., or to common carriers for transportation will be considered as having been paid directly to the amateur.

Failure to comply with the above policy will be grounds for immediate suspension, which suspension shall continue until the Organization Member has so complied with the policy.

2. *Expenses not reimbursable by virtue of action of Sectional Association or USTA Grievance Committee.* No Organization Member may pay, directly or indirectly, expenses of an amateur if permission to pay the expenses has been refused either:
  - by the Organization Member's home Sectional Association; or
  - by the USTA Grievance Committee, pending final action pursuant to **USTA Bylaw 43**.

An Organization Member that has been refused permission to pay the expenses may appeal to the USTA Grievance Committee or the Board.

3. *Organization Member may lose future sanction of its tournaments if it violates USTA Regulation VIII.* An Organization Member that disregards any provision of **USTA Regulation VIII**, shall be deemed to have acted in a way detrimental to the welfare of the game and may be denied by the Board further sanctions to hold tournaments, matches, or exhibitions. Any Organization Member charged by the Board with having so acted may, at its request, have a hearing before the USTA Grievance Committee pursuant to **USTA Bylaw 43**.

#### **H. Amateur Prizes**

1. *Value of prizes for amateurs may not exceed \$250 per event.* The maximum value of a prize that may be won by an amateur in any one

event is \$250. Thus, if an amateur participates in both the singles and doubles events in a particular tournament, the amateur could accept a prize having a maximum value of \$250 for participation in the singles event and another prize having a maximum value of \$250 for participation in the doubles event.

2. *Allowable prizes.* A prize may include (but is not necessarily limited to) the following:
  - trophy or medal;
  - merchandise (for example, apparel, suitcases, rackets, silverware);
  - gift certificate;
  - membership or playing privileges at a tennis club with the amateur having the right to designate the club;
  - tennis lessons with the amateur having the right to designate the professional or organization providing such lessons;
  - scholarship with the amateur having the right to designate the school; and
  - tax deductible contribution by the Tournament Committee with the amateur having the right to designate the recipient of the contribution.
3. *Cash prizes may not be given to amateurs.* A prize cannot be cash or any award which may be surrendered for cash.
4. *Donation of prize money to school or tennis organization by Tournament Committee.* If a player cannot accept prize money or a prize because the player is an amateur, then the Tournament Committee or sponsor has the discretion to give the prize money or prize to:
  - a high school or college;
  - the athletic department of a high school or college (which may be for a specific use such as the tennis team);
  - a Sectional Association; or
  - a tennis patrons organization that is approved by its Sectional Association for receipt of the prize money or prize (provided that the player does not determine the recipient).

#### **I. Enforcement Procedure over Amateur Status**

1. *Role of USTA President and USTA Grievance Committee in payment of amateur expenses.* The President and the USTA Grievance Committee, acting jointly, may exercise such supervision and control over the payment and acceptance of expenses as may in their judgment be necessary to insure an observance of these regulations. The President and the Chairperson of the Grievance Committee, acting jointly, are authorized to engage and pay for such investigative services as they may deem necessary and proper to insure the proper enforcement of these regulations.
2. *Sectional Association jurisdiction over amateur status.* A Sectional Association may elect to exercise jurisdiction over its amateurs and require that they obtain special permission from it before accepting

expenses in connection with their participation in a tournament, match, or exhibition. Election by a Sectional Association to follow such procedure will become effective only upon receipt of formal notice by the Secretary of the USTA.

3. *Consequences of violating USTA Regulation VIII.* A violation of any of the above regulations by an amateur will jeopardize the player's amateur status. Also, a violation of any of the above rules by an amateur or by a club or other organization holding a tournament, match, or exhibition, shall be subject to disciplinary action pursuant to **USTA Bylaw 43** or pursuant to the procedures of any appropriate District or Sectional Association.

#### **J. Reinstatement to Amateur Status**

1. *Reinstatement of a professional.* If an amateur has become a professional and then wishes to be reinstated as an amateur, the following principles shall be applicable when the request for reinstatement is the first such request:
  - a. *Player was professional for less than one year and grossed less than \$3,000.* If the period of time from the date the player first became a professional through the date on which the player ceased professional activities is less than one year, and if during such period the aggregate of prize money won and of other gross income received from professional activities is less than \$3,000, reinstatement as an amateur may be granted effective as of the date between three months and six months following the date on which the player ceased professional activities.
  - b. *Player was professional for between one and two years and grossed less than \$10,000.* If the period of time from the date the player first became a professional through the date on which the player ceased professional activities is a year or more, but is less than two years, and if during such period the aggregate of prize money won and of other gross income received from professional activities is less than \$10,000, reinstatement as an amateur may be granted effective as of the date between six months and one year following the date on which the player ceased professional activities.
  - c. *Player was professional for between two and three years and grossed less than \$25,000.* If the period of time from the date the player first became a professional through the date on which the player ceased professional activities is two years or more, but is less than three years, and if during such period the aggregate of prize money won and of other gross income received from professional activities is less than \$25,000, reinstatement as an amateur may be granted effective as of the date between one year and 18 months following the date on which the player ceased professional activities.

- d. *Player was professional for less than three years, grossed less than \$25,000, and subparagraphs a., b., and c. do not apply.* If the period of time from the date the player first became a professional through the date on which the player ceased professional activities is less than three years, and if during such period the aggregate of prize money won and of other gross income received from professional activities is less than \$25,000, and if none of subparagraphs a., b., and c. is applicable, reinstatement as an amateur may be granted effective as of a date reasonably consistent with the principles set forth in subparagraphs a. through c. above.
  - e. *Player was professional for more than three years or grossed more than \$25,000.* If the period of time from the date the player first became a professional through the date on which the player ceased professional activities is three years or more, or if the aggregate of prize money won and of other gross income received from professional activities is \$25,000 or more, reinstatement as an amateur may be granted effective as of a date reasonably consistent with the principles set forth in subparagraphs a. through c. above.
2. *Player who has turned professional more than once.* If an amateur has become a professional after having been previously reinstated as an amateur, and then wishes to be reinstated again as an amateur, the effective date for any such reinstatement may be considerably longer than the periods indicated in **USTA Regulation I.J.1.**
  3. *Board may reinstate player after receiving recommendation of the USTA Grievance Committee.* Any reinstatement shall be by the Board on evidence satisfactory to it that such reinstatement is merited. Before taking such action, the Board will obtain the recommendation of the USTA Grievance Committee.

## **IX. GENERAL RANKING REGULATIONS**

**FAC Comment IX.-1: USTA Regulation IX.** applies to all district, sectional, and national rankings *except that* it does not apply to national rankings when it is inconsistent with **USTA Regulation X. National Ranking Regulations.**

### **A. Definition of Ranking Period**

Anything in these USTA Regulations to the contrary notwithstanding, ranking data for all categories shall be obtained from all qualified tournaments (see **USTA Regulation IX.C.**), and the ranking period for all players shall be January 1 through December 31 *unless* the applicable national, sectional, or district regulations provide for a different ranking period.

## **B. Eligibility for Ranking**

1. *Citizens and certain resident aliens are eligible.* Only citizens of the United States, resident aliens in possession of a valid alien registration receipt card, aliens who have resided in the United States continuously for more than one year and who are members of families of persons in the diplomatic or consular corps, and aliens whose primary legal residences are in the Province of British Columbia, Canada, shall be considered for rankings.
2. *USTA membership required.* Only persons enrolled with the USTA as an Adult Member, Junior Member, Family Member, Life Member, or Honorary Member and in good standing at the close of the ranking year shall be considered for a ranking.

## **C. Results Considered for Rankings**

1. *USTA sanctioned tournaments.* If the players involved satisfy the eligibility requirements for the event and if the applicable district, sectional, or national ranking regulations do not prohibit ranking consideration of the tournament format or match format, then matches in any USTA sanctioned tournament shall be considered for district, sectional, or national ranking when:
  - a. the main draw play for adult, senior, or wheelchair events is scheduled to begin during the ranking year; or
  - b. the main draw play for junior events is scheduled to begin during the applicable ranking period.

This regulation shall not apply to national rankings for Professional Men's Singles and Professional Women's Singles. Rankings in these divisions are based on ATP and WTA criteria.

2. *Qualifying and consolation matches* Qualifying, feed-in-championship, and consolation matches shall be considered.
3. *District and Sectional Association ranking regulations.* Notwithstanding **USTA Regulation IX.C.1.**, District and Sectional Associations may adopt regulations that set forth which tournaments are considered for ranking in their respective districts or sections. Two examples are tournaments based on strength of field and tournaments that use tournament management software.
4. *Matches generally may count in only one division.* No match may count for ranking in more than one division.
5. *Results from tournaments based on race, creed, color, or national origin not counted.* Results of any tournament from which entrants have been excluded from participation by reason of race, creed, color, or national origin shall not be considered for ranking purposes.
6. *Exhibitions not counted.* Exhibitions shall not be considered for ranking purposes.

## **D. Treatment of Defaults, Withdrawals, Walkovers, and Retirements**

1. *Defaults before first service, walkovers, and withdrawals.* Except as provided in **USTA Regulation X.A.5.**, the following are not considered

for ranking purposes:

- a default which occurs before the first service of a match;
  - withdrawals; and
  - walkovers.
2. *Defaults during a match.* All completed matches and all matches in which a player is defaulted during the course of the match are considered for ranking purposes. Any such default is a loss for the player defaulted and a win for the player who advances.
  3. *Retirements.* A retirement is a loss for the player retiring and a win for the player advancing.

#### **E. Ranking Considerations**

1. *Ranking based on record.* Rankings shall be based solely upon the players' records for the year under consideration.
2. *Wins, losses, and exposure.* Wins, losses, and exposure shall all be considered. A strong win record is essential for a high ranking and significant wins are required for any ranking. A strong record is generally preferred over a long record. Exposure is important and should be measured by the number of good quality opponents that a player plays, rather than solely by the number of events played. Comparative scores may be considered only when records are otherwise equal.
3. *Insufficient data.* An insufficient data category shall be used for those players or teams with an outstanding record but who do not meet the minimum ranking requirements of the applicable district or sectional ranking regulations.
4. *Class A category and numerical groupings.* A Class A category or numerical groupings may be used when considered appropriate by a ranking committee for giving recognition to players or teams that qualify for a ranking but did not receive specific numerical rankings.
5. *Ranking lists in Junior divisions shall show birth date of players.* All ranking lists for the junior age divisions, whether national, sectional, or district, shall show the date of birth of each player so ranked as officially recorded on the USTA registration cards.

### **X. NATIONAL RANKING REGULATIONS**

**FAC Comment X.-1: USTA Regulation X.** applies only to national rankings. It does not apply to sectional or district rankings. **USTA Regulation IX. (General Ranking Regulations)** applies to national rankings *except when* it is inconsistent with **USTA Regulation X. (National Ranking Regulations.)**

#### **A. Junior National Rankings**

1. *Minimum tournament participation requirements.*
  - a. *Singles*—A total of 20 participation points accumulated by completing tournaments in the age division during the ranking

period with at least 6 participation points obtained by completing at least one Level 1 event or two Level 2 events. Event participation points are assigned according to the following table.

Level	Events	Participation points for each event
1	USTA Super National Championships .....	6
2	USTA National Open Championships.....	4
	Boys' and Girls' 18 Junior International Hard Court Championships .....	4
	Boys' and Girls' 18 Junior International Grass Court Championships .....	4
	USTA Boys' 18 Junior Davis Cup Championships .....	4
	USTA Girls' 18 Junior Fed Cup Championships .....	4
	USTA Boys' and Girls' 16 Intersectional Team Championships ..	4
	USTA Boys' and Girls' 16, 14, and 12 Zone Team Championships .....	4
3	Other events listed on the Junior National Tournament Schedule..	4
4	Sectional Championships .....	2
5	District qualifiers and sectional designates .....	2

A player may receive no more than:

- 6 participation points from playing in Level 4 tournaments; and
- 10 participation points from playing in Level 5 tournaments.

b. *Doubles*—One Level 1 event and two other tournaments or two Level 2 events and one other tournament.

2. *Head-to-head matches in international junior events.* The results of head-to-head matches between juniors eligible for a USTA ranking which occur in ITF Junior Circuit Group A events shall be considered for ranking.

The results of head-to-head matches that occur in other ITF Junior Circuit tournaments between juniors eligible for a USTA ranking shall also be considered, *provided that* the participation of the junior player is authorized by the USTA.

Because of the problem of collecting data, it shall be the player's responsibility to see that the ranking committee has the results from the non-Group A ITF junior events.

3. *Relative weight of junior tournaments.* The ranking weights for singles play are:

	Main Draw 3rd Place Playoff	Consolation FIC
Level 1 Events	60	55
Level 2 Events	55	50
Level 3 Events	50	45
Level 4 Events	45	40
Level 5 Events	40	35

International junior events as described in **USTA Regulations X.A.** are treated as Level 3 events.

4. *Wins required for national ranking in Junior divisions.*
  - a. *Singles.* Players otherwise eligible for a USTA national singles ranking who meet minimum tournament participation requirements set out in **USTA Regulation X.A.1.** and have at least two wins over a player or players meeting the minimum tournament participation requirements shall be ranked.
  - b. *Doubles.* Doubles teams meeting the minimum tournament participation requirements and having a win over another team meeting the minimum tournament participation requirements shall be ranked. The ranking committee may also rank other teams that meet the minimum tournament participation requirements.
5. *Treatment of defaults, withdrawals, and walkovers.*
  - a. *Effect of not playing.* A player shall not receive tournament participation points if the player does not play a match in the tournament.

**FAC Comment X.A-1:** A player who does not play in a tournament does not receive participation credit.

- b. *Effect of default or walkover.* Each player is required to play all the player's matches, including any form of required consolation and place-playoff.
 

If a player does not play a match for a reason other than injury, illness, or personal emergency, the match is recorded as a walkover. If a player refuses to play a match for a reason other than injury, illness, or personal emergency, the match is recorded as a default. For ranking purposes, each default and each walkover is treated as a penalty loss for the player under the USTA junior ranking program. The opponent does not receive credit for a win. Both the player and the opponent receive participation points for the tournament.
6. *Responsibilities of junior players seeking national ranking.* Juniors shall update and correct their records. Each player seeking national ranking shall submit the results of all Level 4 and 5 events and all non-Group A ITF junior events to the USA Tennis Junior Competition Department upon completion of the event. Players are

responsible for reviewing their player records and promptly submitting corrections.

7. *Limit on number of Level 4 and 5 events.*
  - a. *Number of Level 4 and 5 events.* Except as may be approved pursuant to petition in **USTA Regulation X.A.7.b.**, the number of Level 4 and 5 events (excluding district qualifiers) that a Sectional Association may hold during a calendar year shall not exceed 12 in each age division.
  - b. *Petition to exceed the limit of the number of Level 4 and 5 events.* Sectional Associations may petition the Youth Competition and Training Committee to exceed the number of Level 4 and 5 events set forth in **USTA Regulation X.A.7.a.** The Chairperson of the Committee must receive the petition and supporting documents no later than October 1 of the year before the year in which the event shall be held. The Committee shall use its strength of field criteria when deciding whether to grant a petition. All allowed additional events shall be designated as Level 5 events.
8. *Matches considered for junior national rankings.* Matches that use the scoring system specifically described in **Rules 26, 27, and 28 (excluding Appendix II)** of the ITF Rules of Tennis and that are the best of three Tiebreak sets or the best of five Tiebreak sets shall be considered for national junior rankings.

Annually, the Youth Competition and Training Committee shall determine those additional formats that shall be considered for national rankings. Notice of these formats shall be published in *Friend at Court* and the Junior National Tournament Schedule. **See Table 7.**

**FAC Comment X.A-2:** The scoring systems described in **Rules 26, 27, and 28** include Ad and No-Ad scoring; Advantage Sets and Tiebreak Sets; and Best of 3 Sets and Best of 5 Sets Matches. Other scoring methods (Short Sets and Match Tiebreaks in lieu of the deciding final set) are described in **Appendix II to the ITF Rules of Tennis.**

9. *Sanctioned team matches.* Sanctioned team matches and interscholastic and intercollegiate tournaments shall not be considered as one of the required tournaments for a national ranking *except that* USTA Boys' 18 Junior Davis Cup Championships, USTA Girls' 18 Junior Fed Cup Championships, USTA Boys' and Girls' 16 Intersectional Team Championships, USTA Boys' and Girls' 16, 14, and 12 Zone Team Championships, and any sanctioned intersectional tournament shall be considered in their respective divisions.
10. *Qualifying rounds included for purposes of meeting minimum ranking requirements.* For the purpose of **USTA Regulation X.A.**, a USTA

**Table 7  
Match Formats Considered for  
Junior National Ranking**

**2003 USTA Sanctioned Events**

The chart shows which match formats count for Junior National Ranking. When the Youth Competition and Training Committee authorizes a Referee to use other formats to complete a tournament because of inclement weather, matched using these formats also count for Junior National Ranking.

	Super National Chmps. & BG 16 Intersectional Team Championships	BG 16, 16 & 14 National Open Championships	BG 12 National Open Championships	Jr. Davis Cup/Jr. Fed Cup	Zone Team Chmps.	Level 3-5 Events
<b>SINGLES MATCH FORMATS</b>	Best of 3 Tiebreak Sets	x	x		x	x
	Best of 5 Tiebreak Sets - B18 Super National Hard Courts Only	x				
	Best of 3 Tiebreak Sets with a 10-point Match Tiebreak in lieu of 3rd Set			x		x
	Best of 3 Tiebreak Sets with a 7-point Match Tiebreak in lieu of 3rd Set					x
	Best of 3 Short Sets					x
	Best of 3 Short Sets with a 10-point Match Tiebreak in lieu of 3rd Set					x
<b>DOUBLES MATCH FORMATS</b>	Best of 3 Tiebreak Sets	x				x
	Best of 5 Tiebreak Sets - B18 Super National Hard Courts Only	x				
	Best of 3 Tiebreak Sets with a 10-point Match Tiebreak in lieu of 3rd Set			x	x	x
	Best of 3 Tiebreak Sets with a 7-point Match Tiebreak in lieu of 3rd Set					x
	8-game pro-set with a 10-point Match Tiebreak at 8 games all		x			x
	8-game pro-set with a 7-point Match Tiebreak at 8 games all			x		x
	Best of 3 Short Sets					x
	Best of 3 Short Sets with a 10-point Match Tiebreak in lieu of 3rd Set					x

National Championship shall include all qualifying rounds or qualifying tournaments that do not pay separate sanction fees.

11. *USA Team Tennis matches not considered.* USA Team Tennis matches shall not be considered for national age division ranking.
12. *Matches generally may count only in one division.* No match may count for ranking in more than one division *except that* Level 1 and 2 non-team events in the Boys' and Girls' 18 age divisions shall be considered in those divisions and the Adult Open divisions.

#### **B. Adult and Senior National Rankings**

##### **1. Minimum requirements.**

###### **a. Men**

- i. *Professional Men's Singles and Doubles*—The requirements of the ATP for receiving an ATP ranking and the eligibility requirements of only **USTA Regulation IX.B.**

Professional rankings in men's singles and doubles shall follow the requirements of the ATP for receiving an ATP ranking and shall be in the order of the ATP rankings as of December 31.

- ii. *Men's Collegiate Singles and Doubles*—ITA ranking requirements and **USTA Regulation IX.B.** eligibility requirements.

- iii. *Men's Open Singles and Doubles*—One Category I USTA National Championship and two of the following tournaments:

- Any Open Division Sectional Championship;
- Any Category II USTA National Championship;
- Any USTA Satellite, Futures, or Challenger professional tournament, including the qualifying;
- Any of the four ITA Division I National Championships (National Collegiate Championships, ITA National Intercollegiate Clay Court Tennis Championships, All-American Championships, National Indoor Intercollegiate Tennis Championships); or
- Level 1 and 2 non-team events in the Boys' 18 division.

Three professional tournaments consisting of USTA Satellite, Futures, or Challenger tournaments may be substituted for one Category I USTA National Championship. A second Category I USTA National Championship may be substituted for the two other tournaments.

- iv. *Men's 30 Singles and Doubles*—One Category I USTA National Championship and two other tournaments. A

second Category I USTA National Championship may be substituted for the two other tournaments.

Play in tournaments in at least two sections is required.

- v. *Men's 35, 40, 45, 50, 55, 60, 65, 70, and 75 Singles:*
- Two Category I USTA National Championships and one other tournament; or
  - One Category I USTA National Championship and two Category II USTA National Championships; or
  - One Category I USTA National Championship and one Category II USTA National Championship and two other tournaments.

Play in tournaments in at least two sections is required

*Men's 35, 40, 45, 50, 55, 60, 65, 70, and 75 Doubles:*

- One Category I USTA National Championship and two other tournaments. A second Category I USTA National Championship may be substituted for the two other tournaments.

Play in tournaments in at least two sections is required.

- vi. *Men's 80, 85, and 90 Singles and Doubles*—One Category I USTA National Championship and one other tournament.

b. *Women*

- i. *Professional Women's Singles and Doubles*—The requirements of the WTA for receiving a WTA ranking and the eligibility requirements of only **USTA Regulation IX.B.**

Professional rankings in women's singles and doubles shall follow the requirements of the WTA for receiving a WTA ranking and shall be in the order of the WTA rankings as of December 31.

- ii. *Women's Collegiate Singles and Doubles*—ITA ranking requirements and **USTA Regulation IX.B.** eligibility requirements.

- iii. *Women's Open Singles and Doubles*—One Category I USTA National Championship plus two of the following tournaments:

- Any Open Division Sectional Championship
- Any Category II USTA National Championship

- Any USTA Satellite, Futures, or Challenger professional tournament, including the qualifying
- Any of the four ITA Division I National Championships (National Collegiate Championships, ITA National Intercollegiate Clay Court Tennis Championships, All-American Championships, National Indoor Intercollegiate Tennis Championships)
- Level 1 and 2 non-team events in the Girls' 18 age division.

Three professional tournaments consisting of USTA Satellite, Futures, or Challenger tournaments may be substituted for one Category I USTA National Championship. A second Category I USTA National Championship may be substituted for the two other tournaments.

- iv. *Women's 30 Singles and Doubles*—One Category I USTA National Championship and two other tournaments. A second Category I USTA National Championship may be substituted for the two other tournaments.

Play in tournaments in at least two sections is required.

- v. *Women's 35, 40, 45, 50, 55, 60, 65, 70, and 75 Singles:*
- Two Category I USTA National Championships and one other tournament; or
  - One Category I USTA National Championship and two Category II USTA National Championships; or
  - One Category I USTA National Championship and one Category II USTA National Championship and two other tournaments.

Play in tournaments in at least two sections is required.

- Women's 35, 40, 45, 50, 55, 60, 65, 70, and 75 Doubles:*
- One Category I USTA National Championship and two other tournaments. A second Category I USTA National Championship may be substituted for the two other tournaments.

Play in tournaments in at least two sections is required.

- vi. *Women's 80 and 85 Singles and Doubles:*
- One Category I USTA National Championship and one other tournament.

- c. *Mixed Doubles*

- i. *Open Mixed Doubles:*

- Two Category I USTA National Championships; or
  - One Category I USTA National Championship and one Category II USTA National Championship; or
  - One Category I USTA National Championship and two other tournaments.
- ii. *30 Mixed Doubles:*
- Two Category I USTA National Championships; or
  - One Category I USTA National Championship and one Category II USTA National Championship; or
  - One Category I USTA National Championship and two other tournaments.
- iii. *40, 50, 60 Mixed Doubles:*
- Two Category I USTA National Championships; or
  - One Category I USTA National Championship and one Category II USTA National Championship; or
  - One Category I USTA National Championship and two other tournaments.
- d. *Family*
- i. *Father-Son Doubles*—One Category I USTA National Championship and two other tournaments. A second Category I USTA National Championship may be substituted for the two other tournaments.  
Play in tournaments in at least two sections is required.
- ii. *Father (60 & Over)-Son Doubles*—One Category I USTA National Championship and one other tournament.
- iii. *Father (70 & Over)-Son Doubles*—One category I USTA National Championship and one other event.
- iv. *Father-Daughter Doubles*—One Category I USTA National Championship and one other tournament.
- v. *Father (60 & Over)-Daughter Doubles*—One Category I USTA National Championship and one other tournament.
- vi. *Father (70 & Over)-Daughter Doubles*—One Category I USTA National Championship and one other tournament.
- vii. *Mother-Daughter Doubles*—One Category I USTA National Championship and one other tournament.
- viii. *Mother (60 & Over)-Daughter Doubles*—One Category I USTA National Championship and one other tournament.
- ix. *Mother (70 & Over)-Daughter Doubles*—One Category I

USTA National Championship and one other tournament.

x. *Mother-Son Doubles*—One Category I USTA National Championship and one other tournament.

xi. *Husband-Wife Doubles*—One Category I USTA National Championship and one other tournament.

2. *Relative weight for Adult and Senior tournaments.* The relative ranking weights are as follows:

Category I USTA National Championships.....56 (Surface Nationals)	
Category II USTA National Championships.....52 (Other tournaments on National Championships Schedule)	
Sectional Championships .....	48
All other tournaments .....	40

**Note:** Consolation matches, including feed-in championship matches, have the same relative weight as main draw matches.

3. *Senior events sanctioned by the ITF or an ITF member nation.* Results of head-to-head matches between USTA players in senior events sanctioned by the ITF or an ITF member nation shall be considered for ranking if reported to the USTA. Players are responsible for reporting match results to the appropriate ranking chairperson because of the problems of data collection.

4. *Matches considered for Adult and Senior national ranking.* Matches that use the scoring system specifically described in **Rules 26, 27, and 28 (excluding Appendix II)** of the ITF Rules of Tennis and that are the best of three sets or the best of five sets in all sanctioned tournaments shall be considered for ranking.

Matches that use other formats in main draws and qualifying rounds of USTA National Championships shall be considered for ranking if their use is authorized *in advance* by the Adult/Senior Competition Committee. Matches that use other formats in consolation draws of USTA National Championships shall be considered for ranking if the Adult/Senior Competition Committee or the Adult/Senior Ranking Review Board approves of their consideration for ranking.

**FAC Comment X.B-1:** The scoring systems described in **Rules 26, 27, and 28** include Ad and No-Ad scoring; Advantage Sets and Tiebreak Sets; and Best of 3 Sets and Best of 5 Sets Matches. Other scoring methods (Short Sets and Match Tiebreaks in lieu of the deciding final set) are described in **Appendix II to the ITF Rules of Tennis**.

Matches that use other formats in all other tournaments shall be considered for ranking unless their use for ranking is prohibited by the Adult/Senior Competition Committee.

5. *Sanctioned team matches.* Sanctioned team matches and inter-scholastic and intercollegiate tournaments shall not be considered as one of the required tournaments for a national ranking *except that* USTA Adult Intersectional Championships, USTA Senior Intersectional Championships, and any sanctioned intersectional tournament shall be considered in their respective divisions.
6. *Qualifying rounds included for purposes of meeting minimum ranking requirements.* For the purpose of **USTA Regulations X.A.**, and **X.B.**, a USTA National Championship shall include all qualifying rounds or qualifying tournaments that do not pay separate sanction fees.
7. *NTRP tournament matches not considered.* NTRP tournament matches shall not be considered for national age division ranking.
8. *USA League Tennis matches not considered.* USA League Tennis matches shall not be considered for national age division ranking.
9. *Matches generally may count in only one division.* No match may count for ranking in more than one division, *except that* results from the ITA championships shall be considered in both the Collegiate and the Open divisions and *further except that* Level 1 and 2 non-team events in the Boys' and Girls' 18 age divisions shall be considered in those divisions and the Open divisions.

#### **C. Wheelchair National Rankings**

1. *Minimum participation requirements—Singles.*
  - a. *Men's Open, A, B, and C; Women's Open and A; Quad Open and A*—Four tournaments, two of which must be Category I or Category II USTA Wheelchair National Championship.
  - b. *Women's B*—Three tournaments, one of which must be a Category I or Category II USTA Wheelchair National Championship.
  - c. *Junior (18 and under)*—Two tournaments, one of which must be a Category I or Category II USTA Wheelchair National Championship.
2. *Minimum participation requirements—Doubles.*
  - a. *Men's Open, A, B, and C; Women's Open and A; Quad Open and A*—Three tournaments, two of which must be Category I or Category II USTA Wheelchair National Championships.
  - b. *Women's B, Junior (18 and under), and Senior (40 and over)*—Two tournaments, one of which must be a Category I or Category II USTA Wheelchair National Championship.
3. *One win required.* Singles players and doubles teams must have at least one win to be considered for ranking.
4. *Relative computer weights for Wheelchair tournaments.* The relative ranking weights are as follows:

Category I USTA Wheelchair National Championships (Surface Nationals and the US Open)	Main Draw	75
	Consolation	70
Category II USTA Wheelchair National Championships (Other tournaments on National Championships Schedule)	Main Draw	60
	Consolation	55
All other tournaments	Main Draw	50
	Consolation	45

5. *Matches considered for Wheelchair national ranking.* Matches that use the scoring system specifically described in **Rules 26, 27, and 28 (excluding Appendix II) of the ITF Rules of Tennis** and that are the best of three sets or the best of five sets in all sanctioned tournaments shall be considered for ranking.

Matches that use other formats in main draws, qualifying draws, and consolation draws of USTA Wheelchair National Championships shall be considered for ranking if their use is authorized in advance by the USA Wheelchair Tennis Committee.

Matches that use other formats in all other tournaments shall be considered for ranking unless their use for ranking is prohibited by the USA Wheelchair Tennis Committee.

Results of head-to-head matches between USTA players in ITF sanctioned tournaments held outside the United States shall be considered for ranking if reported to the USTA. Players are responsible for reporting match results to the ranking coordinator.

**FAC Comment X.C-1:** The scoring systems described in **Rules 26, 27, and 28** of the ITF Rules of Tennis include Ad and No-Ad scoring, Advantage Sets and Tiebreak Sets, and Best of 3 Sets and Best of 5 Sets Matches. Alternative scoring methods (Short Sets and Match Tiebreaks in lieu of the deciding final set) are described in **Appendix II to the ITF Rules of Tennis**.

6. *Matches generally may count in only one division.* No match may count for ranking in more than one division. If divisions are combined and a player is placed in a higher division, the player shall receive participation credit for the division in which the player originally entered.

**FAC Comment X.C-2:** If the Wheelchair B and C divisions are combined in a tournament, the tournament shall be considered a B division event. Wins and losses shall count toward a B division ranking only. A player who entered the C division, however, shall receive participation credit for a C division event.

#### **D. National Ranking Considerations**

1. *Ranking based on record.* Rankings shall be based upon the *players'* records for the year under consideration. Comparative scores and rounds reached may be considered only when records are otherwise equal.
2. *Insufficient data.* An insufficient data category shall be used for those players or teams who have won a Category I USTA Championship (Adult/Seniors or Wheelchair) or a Level I event (Juniors) but who do not meet the applicable minimum ranking requirements in **USTA Regulation X.A., X.B., or X.C.**
3. *Players of sufficient strength shall be ranked.* Any player who qualifies for a national ranking and has a record of sufficient strength as determined by the ranking committee shall be ranked.

#### **E. Ranking Committees**

1. *USTA President shall establish ranking committees.* Ranking committees shall be established under the Adult/Senior Competition Committee, the Youth Competition and Training Committee, and the USA Wheelchair Tennis Committee to rank each division listed in **USTA Regulations X.A, X.B., and X.C.** The President shall determine the appropriate number of committees, appoint the chairperson of the Adult/Senior Competition Committee, the Youth Competition and Training Committee, and the USA Wheelchair Tennis Committee and appoint coordinators and other individuals who are responsible for Adult, Senior, Junior, and Wheelchair ranking divisions.

Once the committees have been approved, any vacancy caused by death, illness, or resignation may be filled by the appropriate competition committee chairperson, or in the chairperson's absence or incapacity, by the appropriate coordinator, in each case subject to the approval of the USTA President.

2. *Ranking committee responsibilities.* The ranking committees' responsibilities shall be:
  - Junior ranking committees shall oversee rankings for Boys and Girls in 18, 16, 14, and 12 age divisions;
  - Adult ranking committees shall oversee rankings for Professional, Collegiate, Open, Men's 30, Women's 30, Open Mixed Doubles, 30 Mixed Doubles, Father-Son, Father-Daughter, Mother-Daughter, and Husband-Wife divisions;
  - Senior ranking committees shall oversee rankings for Men's 35, 40, 45, 50, 55, 60, 65, 70, 75, 80, 85, 90; Women's 35, 40, 45, 50, 55, 60, 65, 70, 75, 80, 85; Mixed Doubles (40, 50, and 60); Father (60 & Over)-Son; Father (60 & Over)-Daughter; Mother (60 & Over)-Daughter; Father (70 & Over)-Son; and Mother (70 & Over)-Daughter divisions; and

- Wheelchair ranking committees shall oversee rankings for Men's Open, A, B, and C; Women's Open, A, and B; Quad Open and A; Junior (18 and under); and Senior (40 and over) divisions.
3. *Size of ranking committees.* All ranking committees shall have no fewer than two nor more than five members, including the chairperson. When a ranking committee consists of an even number of members, the appropriate ranking coordinator may act as an additional member of the committee.

#### **F. Publishing of Rankings, Protests, and Appeals**

1. *Terminology.* The following terminology shall be used for USTA rankings:
  - a. *Monthly rankings.* Junior singles rankings shall be calculated as of the last day of each month based on the results during the preceding 12 months.
  - b. *Preliminary.* This is the first ranking determined by the junior ranking committee for doubles play and by the adult or senior ranking committee for both singles and doubles play. The preliminary rankings and the individual player records will be made available to each potentially ranked player within 45 days following the end of the ranking year.
  - c. *Tentative.* This is the ranking determined by the junior ranking committee for doubles play and the adult or senior ranking committee for both singles and doubles play after protests of ranking and additional corrected data have been received and acted upon by the appropriate ranking committee. This ranking represents the last action by the committee and can only be changed by the Ranking Review Board. These tentative rankings, which have no official standing until certified by the Ranking Review Board, may be given general release only by the USTA.
  - d. *Final.* These are the rankings in all divisions which have been certified as official USTA rankings by the applicable Ranking Review Board and which shall be subsequently published in the *USTA Yearbook*.
2. *Corrections and protests must be submitted within 20 days after preliminary rankings are released.* Any corrections to the player's record or any protests to the preliminary rankings must be received by the chairperson of the individual ranking committee involved within 20 days after the preliminary rankings and individual record forms have been made available to the players. Each player must sign his or her own protest. The committee shall receive and evaluate the corrections and protests and notify the USTA office, the protesters, and all other players significantly affected of its rulings or of its inability to make a ruling or rulings. These are the tentative rankings.
3. *Ranking Review Boards.* There shall be two separate ranking review boards: an Adult/Senior Ranking Review Board and a Junior Ranking

Review Board. Each shall be comprised of a chairperson and from two to four individual ranking committee members to be selected by the President. These Boards shall be listed in the Call of the Annual Meeting and shall meet at the site of and before the Annual Meeting. These Ranking Review Boards shall issue all appropriate final rankings. These Boards shall make these rankings final by:

- approving the preliminary rankings of each division in which there was no protest and no new data supplied, or
- approving the tentative rankings of each division to which there was no further appeal of the tentative rankings, or
- considering all appeals to tentative rankings and all data from players possibly affected thereby and resolving these appeals.

Only players who have protested the preliminary ranking and still do not feel that they have received proper consideration and players who are adversely affected by any changes to the preliminary rankings may file appeals with the appropriate Ranking Review Boards. Junior singles rankings and wheelchair rankings are not subject to appeal. All relevant data shall be made available to the Ranking Review Boards by the individual ranking committee.

If an appeal comes before a Ranking Review Board in a division represented on this Board by the chairperson of that division, this chairperson shall be disqualified from serving on this Board during consideration of this appeal.

4. *Correction of junior singles records.* Player records shall be published on the Internet on or before the 15th day of the month following the end of each 12-month ranking period.

Junior singles players must submit corrections of their records to the USA Tennis Junior Competition Department. Only record corrections received by the 25th day of the month following the end of each 12-month ranking period shall be included in the final rankings for that ranking period.

Junior singles rankings are not subject to positional protest or appeal.

Players who are excluded from the monthly rankings may appeal their exclusion to the Junior Ranking Review Board. To be timely, such appeals must be received by the 25th day of the month following the end of each 12-month ranking period.

5. *Correction of Wheelchair singles and doubles records.* Wheelchair player records shall be published on the Internet on an ongoing basis. Wheelchair players should check their records and submit verifiable additions and corrections to the ranking coordinator. Wheelchair rankings are done by computer and are not subject to positional protest or appeal.

6. *Responsibilities of adults and seniors seeking national ranking.* Each adult or senior player shall update the appropriate player and team

record sheet immediately upon receipt and submit any additional tournament results or changes to the appropriate ranking committee.

7. *Responsibilities of wheelchair players seeking national ranking.* Each wheelchair player shall check the appropriate singles and doubles records on the Internet and submit any additions or corrections to the ranking coordinator. Each player who has competed against another USTA player in an ITF-sanctioned event shall report the verifiable results to the ranking coordinator.
8. *Ranking information confidential until released by USTA.* Members of any ranking committee shall not divulge any of the results of their deliberations or any other information concerning the rankings before their release by the USTA.

## **XI. REGULATIONS FOR CERTIFICATION OF OFFICIALS**

### **A. Officials Council**

The Officials Council operates on the district, sectional, and national levels for the purpose of teaching, developing, evaluating, and certifying officials. Any individual USTA member who complies with the certification requirements of this regulation becomes a member of the Officials Council.

### **B. USTA Officials Committee**

The USTA Officials Committee shall administer and supervise the Officials Council. The Committee shall assure that an adequate number of approved schools are held each year. It shall also prepare the annual certification application and test for each category of officials. It shall be responsible for developing officiating techniques and procedures and for evaluating officials.

### **C. Sectional and District Officials Committees**

Each Sectional and District Association shall designate an officials committee with a chairperson and a vice chairperson. These committees shall assist the USTA Officials Committee with the administration of the Officials Council. The Sectional and District committees may establish their own requirements for non-members of the Officials Council; that is, officials from outside the covered geographic area or honorary members.

### **D. Definitions**

1. *Certified Officials:* Provisional Umpire, Associate Official, Sectional Umpire, Sectional Chair Umpire, Sectional Referee, USTA Line Umpire, USTA Chair Umpire, USTA Referee, USTA Chief Umpire, National Line Umpire, National Chair Umpire, National Referee, Professional Line Umpire, Professional Chair Umpire, Professional Referee, Professional Chief Umpire, and Intercollegiate Official.
2. *Year:* The calendar year.
3. *National Chairperson of Officials:* The Chairperson of the USTA Officials Committee appointed by the USTA President.
4. *Evaluation:* The rating of an official's performance by a trained USTA Trainer-Evaluator.

5. *Satisfactory evaluation*: A satisfactory evaluation is an evaluation which evidences acceptable performance at the certification level for which the official is applying.
6. *National evaluation*: An evaluation by a National Trainer-Evaluator who is approved by the National Chairperson of Officials.
7. *Sectional evaluation*: An evaluation by a Sectional Trainer-Evaluator who is approved by the Sectional Chairperson of Officials and the National Chairperson of Officials.
8. *Tournaments*: USTA sanctioned or approved tournaments, ITF, ATP, WTA, intercollegiate tournaments, high school tournaments, and generally recognized foreign tournaments. Tournaments with more than one division and tournaments with a qualifying, main draw, or consolation event count only as one tournament for certification purposes. The same tournament may not be used to meet the requirements for being certified as a Chief Umpire and Referee. A collegiate dual match may not be used as a tournament for the purpose of certification as a Referee.
9. *On-Court officials*: Certified officials excluding Referees and Chief Umpires.
10. *Friend at Court (FAC)*: The USTA Officials Handbook.

#### **E. Certification**

Certification cards are issued for a period from January 1 to December 31 of the current certification year. Tests, official's data cards, and dates of schools shall be available through the district, sectional, and national chairpersons of officials.

#### **F. General Certification Requirements**

1. *Vision*. Each year, each on-court official shall attest to having vision of 20/20, either corrected or uncorrected. Every even year, each on-court official (excluding Provisional Umpires) shall include with the certification application a physician's or an optometrist's statement attesting that the official has 20/20 vision, either corrected or uncorrected.
2. *Tests*. Each certified official shall pass the written test for each category in which the official is certified.
3. *Schools*. Each certified official shall successfully complete an approved school for each certification category. The National Chairperson of Officials has the right to approve all training schools. The Sectional Chairperson may approve schools as delegated by the National Chairperson. The USTA Officials Committee determines the school requirements for each category, and the National Chairperson of Officials shall approve all instructors.
4. *Official's data card*. The official's data card is the work record and certification application. Each official shall send this card to the official's Sectional Chairperson of Officials. The Sectional Chairperson shall approve or disapprove the application and also shall obtain the approval or disapproval of the application by the official's

District Chairperson, if there is one. The Sectional Chairperson shall send the card to the USTA Officials Office. Certification as a national or professional official shall require the approval of the National Chairperson of Officials.

5. *USTA membership and certification.* Each certified official shall be a USTA member. Field Referees, Roving Officials, Sectional Trainer-Evaluators and National Trainer-Evaluators shall be certified officials.
6. *Number of tournaments.* Every year an official shall meet the certification requirements by serving in the preceding year in, at minimum, the specified number of tournaments, matches, or days. By October 15, each official shall submit the official's data card for the current calendar year to the Sectional Chairperson.
7. *Code of Conduct.* All officials shall adhere to the standards in the Officials' Code of Conduct as set forth in *Friend at Court*.

#### **G. Specific Certification Requirements**

1. *Provisional Officials:*
  - a. *Provisional Umpire.* A Provisional Umpire is exempt from the school requirement but must pass a written test. A person becomes a Provisional Umpire immediately upon passing the written test for Provisional Umpires.
    - i. *Advancement to Sectional Official.* If later during the same calendar year the official meets the work requirements for becoming certified as a Sectional Official, the official may become certified as a Sectional Official by passing the applicable test or tests. The official is excused from meeting the school requirement only during the first year as a Provisional Umpire.
    - ii. *Certification in year following advancement to Sectional Official.* If an official advances from Provisional Umpire to a Sectional Official during the year, the official will not be re-certified during the next year as a Sectional Official until the official has passed the applicable test or tests and has successfully attended an approved school.
  - b. *Provisional Referee.* A Provisional Referee shall have attended the required school or schools conducted by an approved USTA Trainer/Evaluator and shall have passed all applicable tests required of a Referee. A Provisional Referee may serve as a Referee for events below the sectional championship level. If during the same calendar year the Provisional Referee meets the work requirements for a Sectional Referee, the Provisional Referee may then become certified as a Sectional Referee.
2. *Associate Umpire:*
  - a. shall be certified by a foreign national tennis association recognized by the International Tennis Federation;
  - b. does not have to fulfill the general certification requirements

- except the USTA membership requirement; and
- c. shall pay a yearly fee to offset expenses of mailings.
3. *Sectional and USTA Officials.* Each year Sectional and USTA Officials shall pass the written tests for the categories in which they are certified. Tests shall apply for certification in the calendar year following the year in which they are taken. Each year these officials shall successfully complete a school for the categories in which they are certified. Schools apply toward certification in the calendar year following the year in which they are completed.
- a. *Sectional Umpire:* shall have officiated for a total of five of the following:  
 Line Umpire matches;  
 Chair Umpire matches; or  
 Roving Umpire days.  
 Chair umpire matches used to qualify for this category may not be used to also qualify for Sectional Chair Umpire.
- b. *Sectional Chair Umpire:* shall have served as a Chair Umpire in five matches.
- c. *Sectional Referee:* shall have served as a Referee or as a Deputy Referee for an entire tournament.
- d. *USTA Line Umpire:*
- i. shall have officiated as a Line Umpire for 20 matches; and
  - ii. shall have received satisfactory evaluation(s) as a Line Umpire.
- e. *USTA Chair Umpire:*
- i. shall have officiated as a Chair Umpire in ten matches;
  - ii. shall have been previously certified as a Sectional Chair Umpire; and
  - iii. shall have received satisfactory evaluation(s) as a Chair Umpire.
- f. *USTA Referee:* shall have served as a Referee for three tournaments, one of which may have been as a Deputy Referee.
- g. *USTA Chief Umpire:* shall have served as a Chief Umpire for one tournament.
4. *National and Professional Officials.* Tests and schools for the National Officials and Professional Officials shall be required only at the direction of the USTA Officials Committee.
- a. *National Line Umpire:*
- i. shall have officiated as a Line Umpire for 20 days in matches at USTA National Championships, intercollegiate national championships, ITF International Championships, or professional tournaments with prize money of at least \$10,000. At least ten of these days shall have been in USTA, ITF, ATP, or WTA tournaments with prize

- ii. money of at least \$50,000;
  - ii. shall have been certified as a USTA Line Umpire or higher line category within the previous two years; and
  - iii. shall have received satisfactory national evaluations as a Line Umpire.
- b. *National Chair Umpire:*
- i. shall have officiated in 15 matches as a Chair Umpire in matches at USTA National Championships, intercollegiate national championships, ITF International Championships, or professional tournaments with prize money of at least \$10,000. At least ten of these matches shall have been in USTA, ITF, ATP, or WTA tournaments with prize money of at least \$50,000;
  - ii. shall have been certified as a USTA Chair Umpire or higher chair category within the previous two years; and
  - iii. shall have received satisfactory national evaluations as a Chair Umpire.
- c. *National Referee:* shall have served as a Referee in four tournaments, two of which shall have been in USTA National Championships, ITF International Championships, intercollegiate national championships, or professional tournaments with prize money of at least \$10,000.
- d. *Professional Line Umpire:*
- i. shall have officiated as a Line Umpire for 50 days in professional tournaments with prize money of at least \$50,000. Thirty of these days shall have been in USTA, ITF, ATP, or WTA tournaments with prize money of at least \$150,000;
  - ii. shall have been certified as a National Line Umpire or higher line category within the previous two years; and
  - iii. the National Chairperson of Officials shall consider reports and evaluations from tournament supervisors and Referees in certifying these officials.
- e. *Professional Chair Umpire:*
- i. shall have officiated as a Chair Umpire in 30 matches in professional tournaments with prize money of at least \$50,000. Twenty of these matches shall have been in USTA, ITF, ATP, or WTA tournaments with prize money of at least \$150,000;
  - ii. shall have been certified as a National Chair Umpire or higher Chair Umpire category within the previous two years; and
  - iii. the National Chairperson of Officials shall consider reports and evaluations from tournament supervisors and Referees in certifying these officials.

- f. *Professional Referee*: shall have served as a Referee in five tournaments, all of which shall have been USTA National Championships, ITF International Championships, intercollegiate tournaments, or professional tournaments with prize money of at least \$10,000. At least three of these tournaments shall have been USTA, ITF, ATP, or WTA tournaments with prize money of at least \$10,000.
- 5. *Professional Chief Umpire*: shall have served as a Chief Umpire of three USTA National Championships, ITF International Championships, collegiate tournaments or professional tournaments with prize money of at least \$10,000. Two of these tournaments shall have been professional tournaments with prize money of at least \$150,000.
- 6. *Intercollegiate Official*: shall have officiated for a total of five days, which may be any combination as a Chair Umpire, Roving Umpire, or Referee for intercollegiate dual matches or tournaments.
- 7. *Waivers*: The National Chairperson of Officials may waive any certification requirement, except the vision and USTA membership requirements.

**H. Denial of Certification and Decertification**

- 1. The District, Sectional, or National Chairperson of Officials, for good cause, may refuse to approve an official's application or certification category, even though that official has met the technical certification requirements.
- 2. The National Chairperson of Officials may decertify an official for cause.
- 3. Recertification of a decertified official shall have the approval of the National Chairperson of Officials.

**I. Appeal Procedure**

- 1. An official whose District Chairperson of Officials refuses to approve the official's application or certification category may appeal that decision to the Sectional Chairperson of Officials. If the Sectional Chairperson of Officials denies the appeal, the official may appeal to the National Chairperson of Officials. The decision of the National Chairperson shall be final.
- 2. An official whose Sectional Chairperson of Officials has refused to approve the official's application or certification category may appeal that decision to the National Chairperson of Officials. The decision of the National Chairperson shall be final.
- 3. If the National Chairperson of Officials refuses to approve an official's application or certification category that has been previously approved by the official's Sectional Chairperson, that official may appeal to the USTA Officials Committee. The decision of the Committee shall be final.
- 4. If an official has been decertified by the National Chairperson of Officials, the official may appeal to the USTA Officials Committee. The decision of the Committee shall be final.

5. Any appeal shall be in writing and shall be sent by certified mail.
6. Any person submitting a written appeal shall be entitled to prompt written notification of all decisions. All decisions shall be sent by certified mail.

**J. Honorary Officials**

The USTA Officials Committee, with the approval of an individual's District and Sectional Chairmen of Officials, may honor an individual as follows:

1. *Life Umpire*: An official who has been certified for 20 years, plus all those who have been designated as "Life Umpire" before March 19, 1982.
2. *Umpire Emeritus*: An official who through long or special service as a certified official deserves a special place of recognition.
3. *Honorary Umpire*: A person who has made a major contribution to areas related to officiating, even though the person may not have been active as an on-court official.

**K. Records**

1. The USTA Officials Committee shall maintain records for each official, including the official's address, certification, and evaluations.
2. Evaluations shall be provided annually to the appropriate Sectional Chairperson of Officials.
3. Upon request, a District Chairperson, Sectional Chairperson, or Sectional President shall receive copies of records for the chairperson's respective district or section.
4. An official shall receive a copy of the official's record yearly.

**L. Notification**

The USTA Officials Committee shall periodically notify members of the Officials Council of rules, regulations, changes by the USTA, ITF, and ITA in rule interpretations, and other pertinent information.

**XII. AMENDMENTS**

The USTA Regulations may be amended provided any such amendment is not inconsistent with any provision of the USTA Constitution or the USTA Bylaws.

**A. Amendment by the Members**

Amendments may be adopted by the affirmative vote of a majority of the members of the USTA present and voting at any meeting of the members, provided that notice of the proposed amendment be included by the Secretary-Treasurer of the USTA in the notice of the meeting at which the amendment is to be considered.

**B. Amendment by the Executive Committee**

Amendments may be adopted by the affirmative vote of a majority of the members of the Executive Committee present and voting at any meeting of the Executive Committee, provided that notice of the proposed amendment be included by the Secretary-Treasurer of the USTA in the notice of the meeting at which the amendment is to be considered.

### **C. Process for Submitting an Amendment**

1. *Persons authorized to submit amendments.* An amendment proposed to be made by the voting members of the USTA or the Executive Committee may be submitted only by a Sectional Association (through its President or Secretary), a member of the Executive Committee, or a chairperson of a USTA committee. A USTA committee chairperson shall submit a proposed new USTA Regulation or amendment only if the committee, by majority vote, has specifically authorized the chairperson to do so. The chairperson shall forward the proposal to the Secretary-Treasurer of the USTA and shall circulate it to such other bodies as the committee may direct.
2. *Written proposals must be received by Secretary-Treasurer of USTA at least 90 days before meeting.* All proposals must be submitted in writing to the Secretary-Treasurer of the USTA at least 90 days before the meeting at which the same are to be considered.
3. *Proposals of extreme urgency.* If notice is provided to all members of the Executive Committee at least 15 days before the scheduled meeting date of the Committee, any proposal concerning a matter of extreme urgency which could not have been foreseen 90 days before the meeting may be considered, provided such proposal be determined by the affirmative vote of a majority of the members of the Executive Committee present and voting to be of extreme urgency.

### **D. Amendment by the Board**

Amendments may be adopted by the affirmative vote of a majority of the members of the Board present and voting at any meeting of the Board held during intervals between meetings of the Executive Committee, provided that:

1. *Amendment included in notice.* Notice of the proposed amendment or new regulation shall be included by the Secretary-Treasurer of the USTA in the notice of the meeting at which the amendment is to be considered; and
2. *Twenty-day advance notice required within USTA.* The Secretary-Treasurer of the USTA shall mail a copy of each amendment or new regulation proposed to be made by the Board to each member of the Executive Committee, to each Sectional President who is not a member of the Executive Committee, to the Chairperson of the Constitution and Rules Committee, to each Sectional Association office, and to the chairperson of any USTA committee which is affected by the proposed amendment, not less than 20 days before the date of the meeting at which the action is to be considered.

### **E. Amendments Passed by Executive Committee and Board Are Subject to Amendment at Next Meeting of the Members**

Pursuant to **USTA Bylaw 63**, amendments passed by the Executive Committee or by the Board are subject to approval, disapproval, or

amendment at the next Annual or Special Meeting of the Membership upon the request of the voting delegates at such meeting with sufficient strength to constitute a majority vote of the membership.

**F. Secretary-Treasurer of USTA Shall Provide Certain USTA Officials with a Copy of Amendment Within Sixty Days of Its Adoption**

The Secretary-Treasurer of the USTA shall provide a copy of each amendment that is adopted to each member of the Executive Committee, to each Sectional President who is not a member of the Executive Committee, to each Sectional Association office, to the Chairperson of the Constitution and Rules Committee, and to the chairperson of any USTA committee that is affected by the amendment, within 60 days after such action.

**G. Effective Date of Amendments**

1. *Tournament Regulations and Officiating Regulations.* Amendments to **USTA Regulations I and II** shall be effective on January 1 following their adoption, unless the Executive Committee or Board votes that an amendment shall have a different effective date, in which case it shall be effective on the date specified.
2. *Other regulations.* Amendments to all other USTA Regulations shall be effective immediately unless a later date is specified.

**H. Amendments to *The Code*, USTA Comments to the ITF Rules of Tennis, and Comments to the USTA Regulations**

Amendments to *The Code* shall be subject to approval in accordance with the procedures applicable for approval of USTA Regulations *provided that* any such amendment may be approved by the Chairperson of the Constitution and Rules Committee and the General Counsel if they agree that it is a conforming change required because of an amendment to the ITF Rules of Tennis or a USTA Regulation.

If the Chairpersons of the Tennis Rules Committee and the Officials Committee jointly request that a change be made in the USTA Comments to the Rules of Tennis or the FAC Comments to the USTA Regulations, the Chairperson of the Constitution and Rules Committee and the General Counsel may authorize the change if they determine that it is consistent with the ITF Rules of Tennis and USTA Regulations and that it is not inconsistent with previous applicable actions of the USTA.

