

World Sailing Umpired Fleet Racing Manual

Races using Addendum Q

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Foreword

FOREWORD

This manual is a state-of-the art description of today's umpiring skills and techniques. It is a learning tool for umpires starting their training while working towards qualification as IU, as well as for qualified IU's who want to keep their knowledge and techniques up to date and use this manual as a reference document or indeed anyone who finds themselves asked to fleet race umpire.

A willingness to learn and the relentless pursuit of consistent performance have proven to be the two key characteristics of today's successful umpire at any level. It is in the spirit of these two attributes that this manual has been written.

The writing of this manual was originally co-ordinated by Chris Lindsay. His task was a considerable one, and all umpires should be grateful for his effort and to the RYA for allowing what was originally a national document to be used as the basis of this World Sailing manual. Many umpires from around the world were involved in the project by writing sections, providing comments and suggestions, etc. Thus it is a team effort, and the International Umpires' Sub-committee sincerely wants to thank Chris and his team for devoting so much of their time to the project.

This manual cannot be perfect. Fleet racing, and with it umpiring, is a developing sport, which introduces new concepts, better techniques, etc. all the time. That is why this manual needs to be a living document that is upgraded regularly. Of course, this can only be done if umpires around the world write in with their comments and suggestions. Please contact the World Sailing office if you would like to contribute to the continuous improvement of this manual and the development of the umpires' role in the sport.

Thank you.

Sally Burnett
Chairman, International Umpires Sub-Committee

Introduction

Many judges and umpires are regularly being asked to umpire at fleet racing events, where decisions are made on the water. The objective has been to produce a system where penalties can be imposed and taken while boats are still racing. This enables both competitors and officials to avoid long evenings spent in the protest room and enables the winner to be identified at the end of the race.

Umpiring has many advantages to traditional protest hearings:

- Quick decisions, while the boats are still racing
- Most penalties are one/two-turns, and therefore less than disqualification
- Competitors can play to the whistle
- We know the winner at the finish line
- No more protest hearings (normally)
- Language (or lack of it), is not a disadvantage for the competitors because they do not have to explain and describe the incidents.
- The presence of the umpires encourages rules compliance

Match and team racing have routinely used umpires and in these disciplines having decisions being made on the water has become an accepted part of the game. The umpires closely follow the racing boats and respond to competitor's protests in real time, on the water. This largely avoids the need for contentious and lengthy protest hearings after racing, and allows the winner to be known with certainty at the finish line.

Recently, umpires have been introduced at fleet racing events for largely the same reasons. Medal races at the World Cup Series and Olympic Games are fully umpired. Many professional circuits, such as the TP52 Super Series, 44 Cup and GC32 Racing Tour are also umpired on the water. Events such as these have driven the need for more umpires skilled in umpiring fleet racing. Recognising this, in 2017 World Sailing ran the first International Umpire (IU) seminar for fleet racing in Lindau, Germany. It is now possible to qualify as an IU through match racing, team racing and fleet racing.

This guide aims to promote and develop umpired fleet racing, and to assist umpires appointed to events. It is by no means definitive, and will be improved through the experience and contributions of umpires across the world.

Section 1

The Rules

1 Rules

The use of umpires in fleet racing requires some rule changes which allow for decisions to be made on the water. It is important that you check and read the Sailing Instructions (SIs) carefully as often they are not standardised and confusion can result from differences in the rules event to event.

Typically, the changes affecting the decisions made on the water are grouped together in an addendum or attachment. World Sailing recommends the use of Addendum Q. Addendum Q is more commonly used for medal races at high-level events such as the Olympics and World Series events. Many lower-level events use similar addenda based upon this, but with changes and these often vary from event to event. If running an event that has modified the standard Addendum Q, organisers are strongly encouraged to use a different letter to describe the addendum, and leave 'Q' to refer to the unchanged World Sailing version (e.g Addendum U).

Note the use of Addendum Q is not universally available to events. At present, World Sailing has approved the use of Addendum Q at World Sailing 200-Point and 100-Point Events and for umpired fleet racing in the last race(s) of each series for the Olympic Classes. Use of the Addendum at other events requires the permission of World Sailing (for international events under RRS 86.2) or the events' National Authority (under RRS 86.3), as it changes rules of Part 2 which cannot be changed without the relevant permission.

1.1. Example Addendum for Umpired Fleet Racing

Q1.1 Changes to the Definitions and the Rules of Part 2

- (a) Add to the definition Proper Course: 'A boat taking a penalty or manoeuvring to take a penalty is not sailing a *proper course*.'
- (b) When rule 20 applies, the following arm signals are required in addition to the hails:
 - (1) for 'Room to tack', repeatedly and clearly pointing to windward; and
 - (2) for 'You tack', repeatedly and clearly pointing at the other boat and waving the arm to windward.

Instruction Q1.1(b) does not apply to boards, kiteboards, 2.4 Norlin OD and Hanse 303 classes.

Q1.2 Changes to Rules Involving Protests, Requests for Redress, Penalties and Exoneration

- (a) The first sentence of rule 44.1 is replaced with: 'A boat may take a One-Turn Penalty in accordance with rule 44.2 when, in an incident while *racing*, she may have broken one or more of the rules of Part 2 (except rule 14 when she has caused damage or injury), rule 31 or rule 42.'

It is common to replace a two-turns penalty with a one-turn penalty when races are umpired. After a protest, boats can take a one-turn penalty when they have broken a rule of part 2 (when boats meet), rule 31 (touching a mark) or rule 42 (propulsion). However, a one-turn penalty is not sufficient when a boat has broken a rule and caused damage (rule 14).

- (b) For boards, the One-Turn Penalty is one 360° turn with no requirement for a tack or a gybe.

- (c) Rule 60.1 is replaced with 'A boat may protest another boat or request redress provided she complies with instructions Q2.1 and Q2.4.'

This rule refers to later parts of the addendum and changes the requirements to protest and request redress.

- (d) The third sentence of rule 61.1(a) and all of rule 61.1(a)(2) are deleted. Rule B5 is deleted.

This change means that all boats (even those less than 6 m) must display a red flag in order to protest, but need not keep the flag displayed until they finish.

- (e) Rules 62.1(a), (b) and (d) are deleted. In a race where this addendum applies, there shall be no scoring adjustments for redress given under any of these rules for a previous race.

This rule removes most of the possibilities for granting redress to a boat. If this instruction is used, the only possible reason for granting redress is for giving help to a boat in danger. This is a severe limitation, but it ensures that the winner is known with certainty at the finish line, which is important during medal races. For most lower-level events this instruction may be undesirable and it may be changed to allow redress due to an improper action of the race committee etc. This is common at events with multiple races that are being umpired where it is not necessary to know the results of a race before the next race can be sailed.

- (f) The three sentences of rule 64.1 are replaced with: 'When the protest committee decides that a boat that is a party to a protest hearing has broken a rule, it may impose penalties other than disqualification, and may make any other scoring arrangement it decides is equitable. If a boat has broken a rule when not racing, the protest committee shall decide whether to apply any penalty to the race sailed nearest in time to that of the incident or to make some other arrangement.'

- (g) Rule 64.1(a) is changed so that the provision for exonerating a boat may be applied by the umpires without a hearing, and it takes precedence over any conflicting instruction of this addendum.

As decisions are made on the water, this rule allows a boat to be exonerated by the umpires when she was compelled to break a rule through the actions of another boat. No hearing is required.

- (h) Rule 64.4(b) is replaced with: 'The protest committee may also penalize a boat that is a party to a hearing under rule 60.3(d) or rule 69 for a breach of a rule by a support person by changing the boat's score in a single race, up to and including DSQ.'

- (i) Rules P1 to P4 shall not apply.

Appendix P does not apply in umpired fleet racing, penalties for rule 42 are umpired initiated (see later) and are judged in the same way as normal fleet racing. However,

the penalties themselves are the same as those for any other breach regardless of the number of rule 42 penalties a boat has received.

Q2 PROTESTS AND REQUESTS FOR REDRESS BY BOATS

Q2.1 While racing, a boat may protest another boat under a rule of Part 2 (except rule 14) or under rule 31 or 42; however, a boat may only protest under a rule of Part 2 for an incident in which she was involved. To do so she shall hail 'Protest' and conspicuously display a red flag at the first reasonable opportunity for each. She shall remove the flag before, or at the first reasonable opportunity after a boat involved in the incident has taken a penalty voluntarily or after an umpire's decision. However, a board, kiteboard, 2.4 Norlin OD or Hanse 303 need not display a red flag.

A difference between umpired and non-umpired fleet racing is that a boat may only protest another boat for an incident in which she was involved (not just one she has seen). This means that if a third boat attempts to protest for an incident that involved two other boats, the protest will be invalid. In order to protest, a boat must hail protest and display her red flag at the first reasonable opportunity.

Q2.2 A boat that protests as provided in instruction Q2.1 is not entitled to a hearing. Instead, a boat involved in the incident may acknowledge breaking a rule by taking a One-Turn Penalty in accordance with rule 44.2. An umpire may penalize any boat that broke a rule and was not exonerated, unless the boat took a voluntary penalty.

Once a boat has signalled a protest, a boat involved in the incident (usually the boat being protested) may take a one-turn penalty voluntarily. An umpire may penalise any boat that broke a rule, that was not exonerated (i.e. compelled to break a rule, or exonerated by rule 21) or did not take a penalty. 'Any boat that broke a rule' may include the boat which protested. Consider the scenario where boat A protests boat B, but the umpires agree that boat A broke a rule and boat B did not. Boat B takes a penalty voluntarily. The umpires will penalise boat A as she broke a rule and did not take a penalty, even though the other boat did take a penalty.

Q2.3 At the finishing line, the race committee will inform the competitors about each boat's finishing place or scoring abbreviation. After this has been done, the race committee will promptly display flag B with one sound. Flag B will be displayed for at least two minutes and then removed with one sound. If the race committee changes the scoring information provided at the finishing line while flag B is displayed, it will display flag L with one sound. Flag B will continue to be displayed for at least two minutes after any changes are made.

This instruction is most commonly used during medal races. The race committee will display the scores of the boats at the finish of the race. This informs the boats (and the media etc) of the results of the race. This instruction may not be required at lower-level events.

Q2.4 A boat intending to

- (a) protest another boat under a rule other than instruction Q3.2 or rule 28, or a rule listed in instruction Q2.1,
- (b) protest another boat under rule 14 if there was contact that caused damage or injury, or
- (c) request redress

shall hail the race committee before or during the display of flag B. The same time limit applies to protests under instruction Q5.5. The protest committee shall extend the time limit if there is good reason to do so.

This instruction may not be required at lower-level events.

Q2.5 The race committee will promptly inform the protest committee about any protests or requests for redress made under instruction Q2.4.

This instruction provides the protest time limit for any protests from a boat that are not under a rule of part 2, rule 31 or rule 42. Common examples of such protests are for breaches of the sailing instructions or boat handling rules. Competitors must inform the race committee of their intention to protest before or during the display of flag B. In general, this system means that all protests must be notified as the boats finish as there will be little time to inform the race committee. As 'the same time limit applies to protests under instruction Q2.4', this same time limit also applies to protests from the umpires.

Q3 UMPIRE SIGNALS AND IMPOSED PENALTIES

Q3.1 An umpire will signal a decision as follows:

- (a) A green and white flag with one long sound means 'No penalty.'
- (b) A red flag with one long sound means 'A penalty is imposed or remains outstanding.' The umpire will hail or signal to identify each such boat.
- (c) A black flag with one long sound means 'A boat is disqualified.' The umpire will hail or signal to identify the boat disqualified

- Q3.2**
- (a) A boat penalized under instruction Q3.1(b) shall take a One-Turn Penalty in accordance with rule 44.2.
 - (b) A boat disqualified under instruction Q3.1(c) shall promptly leave the course area.

This instruction is self-explanatory and describes the signals that the umpires may display in response to a protest, or to give an umpire initiated penalty. Q3.2(a) describes the penalty a boat must take if one is signalled by the umpires with a red flag. Usually this is a one-turn penalty (and so there is no difference between a voluntary penalty and one given by the umpires), however sometimes this can be changed to two-turns depending on the event and type of boats. If a boat receives a black flag from an umpire, she must promptly leave the course area, without interfering with other boats racing.

Q4 PENALTIES AND PROTESTS INITIATED BY AN UMPIRE; ROUNDING OR PASSING MARKS

Q4.1 When a boat

- (a) breaks rule 31 and does not take a penalty,
- (b) breaks rule 42,
- (c) gains an advantage despite taking a penalty,
- (d) deliberately breaks a rule,
- (e) commits a breach of sportsmanship, or
- (f) fails to comply with instruction Q3.2 or to take a penalty when required to do so by an umpire,

an umpire may penalize her without a protest by another boat. The umpire may impose one or more One-Turn Penalties to be taken in accordance with rule 44.2, each signalled in accordance with instruction Q3.1(b), or disqualify her under instruction Q3.1(c), or report the incident to the protest committee for further action. If a boat is penalized under instruction Q4.1(f) for not taking a penalty or taking a penalty incorrectly, the original penalty is cancelled.

While the umpires respond to competitor's protests, they may also signal penalties without a protest from a boat, these are known as umpire initiated penalties and are covered in more detail in a later section. Note that if the umpires signal a penalty to a boat, because she has failed to take one signalled by the umpires, then the original penalty is cancelled. If the umpires wish to signal to a boat that she must take more than one-turn, then each penalty must be signalled independently. For example, if the umpires wish to impose two one-turn penalties, they will first signal one, wait for the boat to complete her penalty before signalling a second one.

Q4.2 The last sentence of rule 28.2 is changed to 'She may correct any errors to comply with this rule, provided she has not rounded the next *mark* or *finished*.' A boat that does not correct any such error shall be disqualified under instruction Q3.1(c).

If a boat fails to sail the course correctly then the umpires should act by disqualifying the boat with a black flag (Q3.1(c)). The boat may correct its error before she rounds the next mark or finishes. Therefore, the umpires should not signal the black flag before this time. It is useful to hail to the boat the reason for the black flag, as at this point significant time may have passed since the original failure to sail the course.

Q4.3 An umpire who decides, based on his own observation or a report received from any source, that a boat may have broken a rule, other than instruction Q3.2 or rule 28 or a rule listed in instruction Q2.1, may inform the protest committee for its action under rule 60.3. However, he will not inform the protest committee of an alleged breach of rule 14 unless there is damage or injury.

If a boat breaks a rule other than those mentioned elsewhere in the addendum, then the umpires should report this to the protest committee (who are often the umpire team themselves). However a potential breach of rule 14 is not reported unless it caused damage or injury (as without this, the rule would not have been broken).

Q5 PROTESTS; REQUESTS FOR REDRESS OR REOPENING; APPEALS; OTHER PROCEEDINGS

Q5.1 No proceedings of any kind may be taken in relation to any action or non-action by an umpire.

It is a fundamental principle of umpiring that decisions of the umpires made on the water are final and cannot be later reversed or corrected. Action or inaction of the umpires may also include, poor positioning of the umpire boat leading to interference with a racing boat, or a failure of the umpires to see or respond to an incident. In these cases, although unfortunate, there is no recourse for a boat to take any action.

Q5.2 A boat may not base an appeal on an alleged improper action, omission or decision of the umpires. A party to a hearing may not base an appeal on the decision of the protest committee. In rule 66 the third sentence is changed to 'A party to the hearing may not ask for a reopening.'

Protest hearings which are held under Addendum Q or similar are not subject to appeal if this instruction applies. It is also not possible for a boat to request that a hearing be reopened, although the protest committee (as they are not a party) may themselves consider reopening (if for example they conclude they may have made a significant error).

- Q5.3**
- (a) Protests and requests for redress need not be in writing.
 - (b) The protest committee may inform the protestee and schedule the hearing in any way it considers appropriate and may communicate this orally.
 - (c) The protest committee may take evidence and conduct the hearing in any way it considers appropriate and may communicate its decision orally.
 - (d) If the protest committee decides that a breach of a rule has had no effect on the outcome of the race, it may impose a penalty of points or fraction of points or make another arrangement it decides is equitable, which may be to impose no penalty.
 - (e) If the protest committee penalizes a boat in accordance with instruction Q5.3 or if a standard penalty is applied, all other boats will be informed about the change of the penalized boat's score.

Q5.4 The race committee will not protest a boat.

Q5.5 The protest committee may protest a boat under rule 60.3. However, it will not protest a boat for breaking instruction Q3.2 or rule 28, a rule listed in instruction Q2.1, or rule 14 unless there is damage or injury.

Q5.6 The technical committee will only protest a boat under rule 60.4 when it decides that a boat or personal equipment does not comply with the class rules, rule 43, or the rules in the equipment regulations of the event, if such exist. In such a case, the technical committee shall protest.

Protests in this addendum are held under this shorter procedure, and are often held on the water (see more detail later). Protests are not usually made in writing, but use oral testimony only. The protest committee may take evidence in any way it considers appropriate, this gives the PC great flexibility in how to conduct the hearing, although it is important that the usual procedural safeguards are followed. If the breach had no effect on the outcome on a race, for example, the protest committee finds that a boats crew sailed with a piece of equipment that was not permitted, despite this rule breach they may decide no penalty is appropriate if the equipment gave the boat no advantage in the race. Some events may have a Standard and or Discretionary Penalty policy. Q5.3(d) provides that when a boat is penalised that all other boats are informed of the penalty. This is common in medal races where boats need to be aware of the standing of the others in order to properly plan their tactics in the next race. The medal race umpire team should investigate the method proposed to communicate this information.

Call books & Manuals

World Sailing aims to ensure consistency across the World between events, to ensure that competitors receive consistent decisions irrespective of the events they attend. There are a number of ways this is achieved, through various working parties and the publications of **call books**, **rapid response calls**, and **Q&As**. These are published as guidance to race officials on the interpretation of the rules.

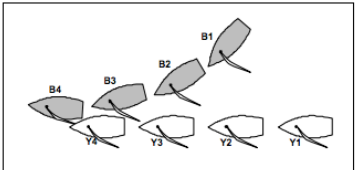
Call books

An example call is shown on the right. All calls describe a situation with facts, a question, and an answer. The publishing of the Call Book is governed by World Sailing regulation 28, which says that calls are authoritative only for the discipline they are published for. That is, for example, team racing calls are authoritative only for team racing. However, many calls interpret rules that are the same across disciplines (e.g TR CALL A2, on the right). As of 2018, World Sailing intends to publish a call book for umpired fleet racing. Prior to this, umpires working in this discipline are advised to consult the match racing and team racing calls, as many of the calls interpret rules which are the same across the three disciplines. In those cases, fleet racing umpires may rely upon the interpretations in the match and team racing calls.

TR CALL A2

Rule 11 **On the Same Tack, Overlapped**
Definitions **Keep Clear**

Question
B closes on Y from windward. When is B no longer keeping clear of Y?



Answer
B is keeping clear of Y when Y, the right-of-way boat, can sail her course with no need to take avoiding action and also, because they are overlapped, change course in both directions without immediately making contact.

At positions 1 & 2: B is keeping clear.
At position 3: if Y luffs, there will be contact but not immediately, so B is still keeping clear.
At position 4: Y cannot change course to windward without immediately making contact with B. B is no longer keeping clear, and would be penalized under rule 11 if Y were to protest, whether or not the boats make contact.

At any moment, a boat's course (as that term is used in Part 2 and the Definitions) means the direction in which her bow is pointing. It does not mean her proper course, nor the course she could be expected to be sailing shortly.

There does not need to be contact for a boat to fail to keep clear.

Section A - Definitions and Fundamentals

Rapid response calls

Rapid response calls are issued by the World Sailing working parties and have the same format as a published call in the call book. They are published with an expiration date (typically January of the following year) after which time they can either be added to the call book, or revoked. Rapid response calls are intended to provide consistency around the world and permit calls to be tested thoroughly before becoming authorized in accordance with World Sailing Regulations.

World Sailing Questions & Answers (Q&As)

World Sailing offers a Q&A service to assist in the interpretation of situations that are not yet covered by a call or case. The Q&A panel consists of experienced race officials who prepare answers to the questions raised. Questions may be submitted to the panel by any World Sailing race official or National Authority. Unlike calls, the interpretations of the panel are not authoritative, they are solely provided as guidance to race officials.

Section 2

Regatta Preparation

2 Regatta Preparation

In the days leading up to the event, umpires should prepare themselves for the event by reminding themselves of the event rules.

Umpires will also find the World Sailing Call Books useful for refreshing themselves of common scenarios. It is important that umpires are fully aware of any event specific rules, the World Sailing rule 42 interpretations and any other rules that they will need to apply on the water.

Items an umpire should bring to an event include:

- A copy of the rule book, call books and rapid response calls.
- A copy of the Notice of Race, and Sailing Instructions (if published)
- Wet weather clothing suitable for going afloat
- Waterproof notebook
- Whistle
- Magnetic boats suitable for hearings and debriefs
- Flags, VHF radio and personal floatation device*

*at some events, these items may be provided by the organizing authority.

Many umpires take advantage of the app developed by the RYA and World Sailing, which allows easy access to the rule book, call books and other documents on a smart phone.

<https://itunes.apple.com/gb/app/world-sailing-2017-2020/id1152317815?mt=8>

An initial team meeting should be held in adequate time before the racing begins. This meeting is to make sure that the umpires are working in the same way. It is important to review the positioning plan that will be used on the water, VHF channels and any changes to the rules or sailing instructions that apply at the event.

2.1 The role of the Chief Umpire

It is normal for one of the umpires in the team to be appointed as the Chief Umpire (CHUMP), who takes on some extra responsibilities. The Chief Umpire leads and represents the umpire team at meetings with the race committee, OA and at meetings with the competitors.

The Chief Umpire should meet with the race committee before racing begins. Matters to be discussed will depend on the event, but generally the Chief Umpire should make sure he is aware of the race committee's plans regarding the event format and schedule.

At umpired events, the Chief Umpire and Race Officer typically work together much more closely than at non-umpired fleet racing events, and so establishing a good working relationship is essential. The Chief Umpire should not interfere with the working processes of the race committee, but may be called upon for advice on things such as format changes or changes to the sailing instructions. It is important that there is an atmosphere of mutual respect, such that the Chief Umpire will be able to

diplomatically point out during the event anything potentially effecting the fairness of the regatta.

The Chief Umpire is usually responsible for deciding which umpires will be paired together on the water. World Sailing requires IU candidates to obtain references from already qualified umpires, to achieve International Umpire status. These references will ordinarily come from the Chief Umpire, sometimes with the involvement of the other qualified umpires on the team. If requested by a candidate the Chief Umpire will design the pairings in order to facilitate this process.

Examples of tasks which may be distributed amongst the umpire team are:

- Chair of the protest committee (or international jury)
- Daily umpire rotations (if not prepared by the Chief Umpire)
- Liaison with the race committee
- Draft answers to questions submitted in writing from competitors
- Deals with changes to SIs etc
- Have calls available, draft event calls, write up scenarios
- Responsibility for rule 14 and damage issues
- Umpire boats (refuelling, umpire flags)
- Collect lunches/water
- Keep record of the results and assist race committee with scoring issues

The Chief Umpire may also consider publishing 'event calls' to clarify a specific event related issue. Common examples are to publish event calls to clarify an event specific sailing instruction. Event calls should **not** be published to clarify incidents that are not specific to the event, such as hypothetical scenarios. Event calls can only be used once, and after that must be sent to the World Sailing Rapid Response panel who will either accept them or reject them. Event calls must not be used across multiple events or to clarify part 2 rules situations that should be more properly addressed with a rapid response call.

2.2 Meeting with competitors

Establishing a good working relationship with the competitors is essential for the umpire team, and helps maintain a mutual respect throughout the regatta. One of the best ways to start this process is with a competitor briefing before the first race. This provides competitors with a feeling of how the umpire team will operate at this particular event and gives them a chance to ask questions.

The contents of a briefing before racing will vary considerably and depend upon the level of experience among the competitors. Usually experienced competitors will only want to double check things in the SIs, or to hear things that are specific to this event. On the other hand, novice competitors may need a more thorough explanation of things like protest procedure, boat handling rules etc. The content of the competitor briefing is at the discretion of the Chief Umpire, but the expected level of the teams will be an important consideration.

It is generally advised not to answer competitor questions verbally at the briefing, except questions which can be answered unambiguously. Competitors should be

encouraged to submit these in writing where they can be answered, and posted on the notice board for the benefit of all competitors.

2.3 Pre-race preparation

Especially in medal races, the umpires will meet beforehand to discuss any specific issues that are anticipated. Often, they will refer to the results directly before the race, to identify any 'match-races' that are likely to happen. For example, it may be that competitor A will win the regatta as long as they finish in front of competitor B. The umpires can expect A to match race B, and so they may assign one of the umpire boats on the race to follow that specific pair (since this may decide a podium place).

Section 3

Umpiring Fundamentals

3 Umpiring Fundamentals

The role of the umpires is to maintain the fairness of the competition, by being on the water and deciding disputes between competitors over the rules (usually when the competitors ask the umpires for a decision). Competitors ask the umpires for a decision by protesting, the umpires will have witnessed the incident, will have made a decision as to whether a boat broke a rule, and then will signal a decision. This changes the game to make it more exciting, giving an immediate decision on a Part 2 protest rather than at the end of the day.

Umpired fleet racing is a relatively new discipline but shares a lot of similarities with the other umpired disciplines, team racing and match racing. Umpires may refer to calls in the team and match racing call books for guidance on calling incidents on the water, in those cases where the same rule applies across all disciplines. While calls are only authoritative for the discipline for which they are written, they provide useful insight into how to apply a rule when umpiring on the water. We will refer to team and match race calls throughout this guide with 'TR CALL' and 'MR CALL' respectively.

Umpired fleet is unique however in the level that umpires work together as a team. Not just in their boat but also by working together to provide the best possible coverage for the event. Their goal is to ensure every incident that happens on the race course is covered, so that a prompt decision follows every protest, with a minimum level of rushing around the race course.

Umpired fleet racing generally works best when the ratio of sail boats to umpire boats is around 3:1 as this provides the best coverage of the fleet, and 4:1 also works well. However, larger sail boat to umpire boat ratios are still acceptable and it is still possible to provide a good service to the competitors with fewer umpire boats.

The more sail boats there are per umpire boat, the more the umpires will have to prioritise certain types of incident and parts of the course, and the more likely incidents will be missed. Despite this, some events prefer to use umpires on the water as an alternative to protest hearings. In these cases, the umpires should prioritise the parts of the course mostly likely to lead to incidents, the start, marks and the finish line. In this way, it is still possible to cover the vast majority of the incidents on the water, even when the number of sailboats is much larger than the ideal.

3.1 Introductory Guidelines

Umpires work as a team in the umpire boat, making decisions in response to protests from competitors. Umpires are not referees like in some other sports, as they do not get involved in the game unless asked to by the competitors (in the form of a protest). There are some exceptions to this which will be covered later.

If resources allow, it is preferred to have more than one umpire in a boat, so the communication and driving can be shared, leading to more reliable decisions. Before we discuss in further detail the mechanics of umpiring, it is useful to consider some general principles that umpires use throughout their work on the water.

Disagreement between umpires

Umpires usually work in pairs, communicating with each other in the umpire boat, talking through the relevant facts, rules and obligations on the boats they are watching. There will be occasions when umpires disagree over what the decision should be. In such cases, even if there has been contact, the umpires should signal 'no penalty' rather than penalise one boat or the other. Good communication between the umpires will minimise disagreement, and allow it to be identified early when it happens. This allows any difference of opinion to be resolved quickly before a protest. However, when the difference cannot be resolved, the umpires must signal 'no penalty'.

Doubt

Umpires should only signal a penalty if they are certain that a boat broke a rule. If there is doubt about the facts of an incident, or the application of the rules, then the umpires should not penalise a boat, but should signal 'no penalty'. With a good knowledge of the rules, and with good umpire boat positioning, case of doubt should be avoided. An example of this could be when the umpires are following two overlapped boats downwind, and they are not sure how the overlap was established. In this case there is doubt as to whether rule 17 applies, and so the umpires must assume that the leeward boat may sail above her proper course.

Last point of certainty

There are instances where umpires are required to make a judgement about whether a certain fact has changed. For example, whether an overlap was broken or established, or whether a boat has passed head to wind. In these situations, the umpires should assume that the situation has not changed, until they are certain that it has. For example, a boat is considered not to have passed head-to-wind, until the umpires are certain that she has.



Section 4

Communication & Decision Making

4 Communication & Decision Making

Proper communication between umpires is essential for making timely and accurate decisions. Two umpires in an umpire boat communicate between each other as the race proceeds. This allows both umpires to agree on the facts, relevant rules and the decision as the incident is happening. This means that when there is a valid protest, the umpires have already made a decision and can signal it promptly to the competitors. A lack of proper conversation between the umpires can result in confusion, and incorrect or delayed decisions.

To help define the terms, 'umpire-speak' has developed as a shorthand. This section describes how umpires should communicate between each other in order to make effective decisions.

4.1 Umpire speak

Each umpire in the boat is responsible for watching one boat and describes aloud what that boat is doing, what obligations that boat has under the rules, and whether that boat is complying with them. We typically refer to this as the ***Rights, Reasons, Obligations*** and ***Opportunities***.

In a fleet race where an umpire boat can be responsible for watching multiple boats, an umpire should first make it clear which boat they are calling, for example "I am boat 7". This means that after this, everything the umpire says can be assumed to relate to boat 7. For example "I have luffing rights", communicates that boat 7 has luffing rights. This helps prevent misunderstandings.

An umpire's conversation should not over-emphasise what their boat is doing. It should try to focus as much as possible on what a boat must do, or must not do, or is permitted to do, or is not permitted to do. Many novice umpires begin by stating what the boats are doing (i.e. facts) repeatedly. This method of communication accurately describes the race but is not optimal for reaching conclusions on the rights or obligations of each boat. For example, if the umpire is repeatedly saying "I am on port, give way boat", while this may be true, it does not lead us to a conclusion as to whether a rule has been broken or not.

Rather than repeating the facts, what is repeated is the action that determines whether the relevant rule is being complied with, or broken. With experience, this process will become automatic. This allows the umpire to focus more on watching what is happening during the race, and listening to the other umpire.

Rights, Reasons, Obligations and Opportunities

- **Rights.** Rights refer to who has or does not have, the right of way. This is phrased as 'I am right' (shortened to just 'right') or 'I am keep clear' (shortened to 'give').
- **Reasons.** Reasons are why a boat has right of way. This is usually phrased as starboard, leeward, clear ahead, not moving astern or not taking a penalty.

Reasons can also be why a boat must keep clear, so similarly; port, windward, clear astern, moving backward or taking a penalty.

- **Obligations.** Obligations are what a boat must do, or must not do. For example, must keep clear, must give room, must not sail above proper course, must not interfere (with a boat on another leg) etc.
- **Opportunities.** Opportunities are to improve a position or comply with an obligation, for example to sail above a proper course, to tack away in order to keep clear, to break an overlap etc. When an umpire anticipates that their boat might do something, it is usual to add this to the conversation in order to make sure the other umpire is also aware. This is particularly important when umpiring larger boats (that you cannot see over), when you will need to anticipate the next incident, and change the position of the umpire boat accordingly.

Conversation

Having outlined the basics of the conversation, we can now look at how this works in practice. Proper umpire conversation begins by establishing the right-of-way rule that applies, talking aloud the actions of the boats and then if a rule is broken, proposing a decision. This is explained in more detail below.

1. Establishing right-of-way

An umpire begins the conversation by identifying which boat they are watching “I am boat 7”. The umpire then states whether the boat they are calling is a right-of-way or keep clear boat, and the reason. The other umpire responds similarly

Umpire 1 says:

“I am boat 7”

“Starboard, right

“Port, give”

“Ahead, right”

Umpire 2 responds with:

“I am boat 2” [the other boat interacting with boat 7]

“Port, give”

“Starboard, right”

“Astern, give”

The umpires might also at this point identify an obligation or opportunity that applies

“I am leeward, right, with luffing rights” “Agreed, windward give”

2. Actions

Once the initial rights and reasons are agreed, the right-of-way umpire only needs to state whether their boat is holding or changing course. The keep-clear umpire states whether their boat is keeping clear, or not.

It is important that holding and changing only refer to the right-of-way boat. For the keep clear boat is only important whether they are keeping clear, not whether they are changing or holding course.

If the right-of-way boat changes course, and the boats are close, the keep-clear umpire should state whether their boat is still keeping clear in response to the change of course (and if not, whether the keep clear boat has been given sufficient room). This is usually by saying “reacted late” or “reacted immediately”. Some umpires say “doing all I can” or “not doing all I can”.

This kind of conversation brings the umpires closer to a decision as the incident is occurring.

3. New facts or switching right-of-way

Sometimes during an incident, the right-of-way may change or a new fact might mean that a different rule applies. For example, when one boat begins tacking. These words are sometimes called ‘instantaneous calls’ as they refer to the precise moment a rule change happens. They are therefore short and concise so that the call does not become too lengthy.

“Tacking”	When a boat passes through head-to-wind and becomes subject to rule 13
“Done”	When a tacking boat completes her tack by establishing a close-hauled course
“Overlap; Clear”	When an overlap is broken or a new one is established.
“from astern”/ “17 on” / “no luffing rights”	Overlap established from clear astern (within 2 boat lengths and on the same tack), rule 17 applies and so the boat has no luffing rights.
“Zone”	When the first of two boats reaches the zone and rule 18 applies. Usually combined with “Overlap” or “Clear”.
“Approaching obstruction”	The boats are approaching an obstruction and rule 19 will apply
“Layline”	Boat is approaching a layline, and her proper course may now be to tack or gybe onto it
“Hail”/”Call” [of room to tack]	When a hail for room-to-tack is made and the other boat must respond.
“Taking a penalty”	When one boat begins taking a penalty and rule 22.2 applies
“Incident closed”	This signifies that enough time has passed for there to be a protest at the first reasonable opportunity. Any protest made after this point will be invalid.

Note that “gybing” is not in the list above. Unlike in match racing, in fleet racing a boat is not required to keep clear while gybing.

Example:

When a boat tacks from port to starboard:

Umpire 1: Port give, keeping clear.....luffing.....tacking....(give).....**done!**
Starboard right.

In this example the word ‘done’ communicates the moment when the boat goes from being keep clear, to being right-of-way.

Mark-room

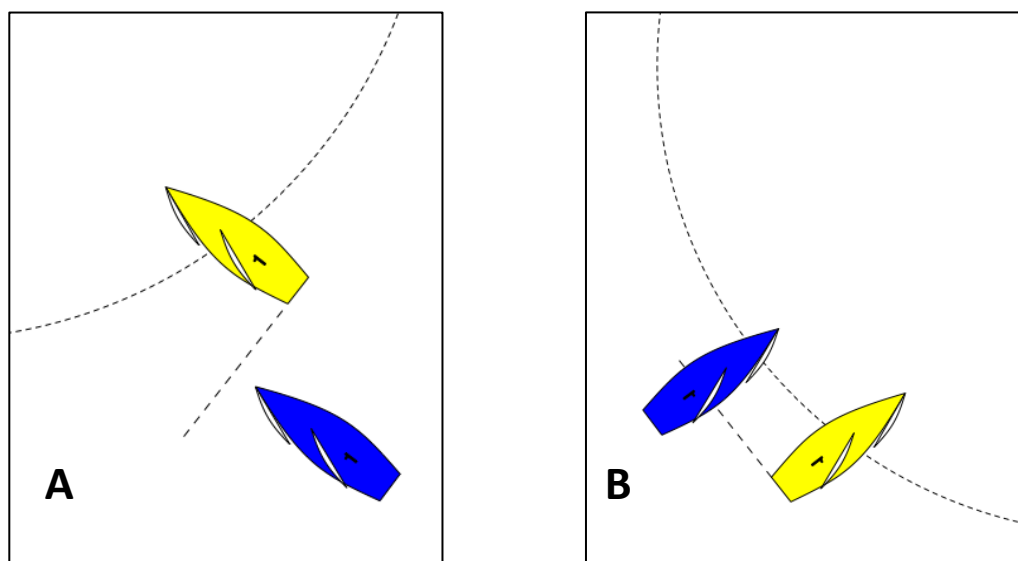
When the first of two boats reaches the zone of a mark, rule 18 may begin to apply between them. The umpires should add this to their conversation and agree the mark-room obligations. If it is the keep clear boat that is entitled to mark-room, it will be important to establish whether she is sailing *within the mark-room to which she is entitled* (see rule 21), and so whether she is entitled to exoneration if she fails to keep clear.

The easiest way to communicate this is for the umpire of the boat entitled to mark-room to call the zone, and state “in my mark-room” or “not in mark-room”. Some umpires also say “in corridor” or “not in corridor”.

The other umpire can then respond with “giving you mark-room” or “not giving you mark-room” as appropriate.

Examples

Yellow and blue are approaching the zone of a windward mark to be left to port



In Scenario **A**, yellow reaches the zone clear ahead of blue. Blue must therefore give yellow mark-room (rule 18.2) in addition to keeping clear.

Umpire Y: Ahead right, holding.
 Umpire B: Astern give, keeping clear
 Umpire Y: Zone, my mark-room, still holding
 Umpire B: Agree, giving mark-room and keeping clear

In this instance, it was the right-of-way boat that is entitled to mark-room, and so the obligations on both boats have not changed. Before the zone blue was required to keep clear, and after yellow reaches the zone she is now required to give yellow mark-room in addition to also keeping clear.

In Scenario **B** we have a different situation. This time blue has reached the zone, overlapped and to windward of yellow.

Umpire Y: Leeward right, holding
 Umpire B: Windward give, keeping clear.....zone!, in my mark-room
 Umpire Y: Agreed, I'm giving you mark-room

Now, it is the keep clear boat that is entitled to mark-room. The keep-clear boat will be exonerated for failing to keep clear, while she is sailing within her mark-room

entitlement. It is therefore critical that the umpires continually establish whether blue is sailing within her mark-room.

4. Decision

To conclude the conversation, an umpire makes a statement to identify that a rule has been broken or not. For example:

Examples for when a rule has been broken

“Contact”	Could be said by either the keep clear umpire or the right-of-way umpire. With few exceptions, contact means a rule has been broken.
“Not keeping clear”	Said by the keep clear umpire, that their boat is no longer keeping clear.
“Changed course to avoid you”	Said by the right-of-way umpire, that their boat needed to change course to avoid contact (see definition <i>Keep clear</i>).
“Invalid hail” or “no response”	An invalid hail of room-to-tack or lack of response from a boat hailed.
“I did not give you room”	For example, when rule 15 or 18 applies and a boat is required to give room or mark-room.

They can then propose the decision “penalty on me/you, do you agree?”.

The other umpire can then respond:

“I agree, penalty on me/you”	Both umpires agree on the penalty, and if there is a valid protest it will be signalled.
“Disagree”	The second umpire disagrees with the decision – needs further discussion to resolve.
“I did not see”	The second umpire did not see the incident

It is important to note the difference between “I disagree” and “I did not see”. If the umpires disagree about which boat broke a rule, then the appropriate response is to signal no penalty unless the umpires can quickly resolve the difference of opinion. Umpires should not penalise a boat when there is disagreement between the umpires. However, if the other umpire responds with “did not see” then this indicates that they did not see the incident and that the umpire that did see it they may signal a penalty. An umpire should not disagree over a fact about a boat they are not watching.

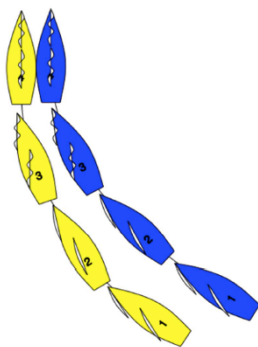
Of course, if the umpire believes no rule has been broken they may state this with “no rule broken” or “no incident” etc.

Once the umpires are confident of the decision, they should wait for a valid protest (red flag and hail of ‘protest’) if one has not already been made. They should then wait a few (2-3) seconds to give the boat that broke the rule a chance to take a voluntary penalty.

If no boat promptly starts to take a penalty turn, one umpire proposes “*Penalise boat X?*” or “*Green flag?*”, the other umpire can respond that they agree, and if so, the signal is then made by the co-driver.

Examples of umpire conversation

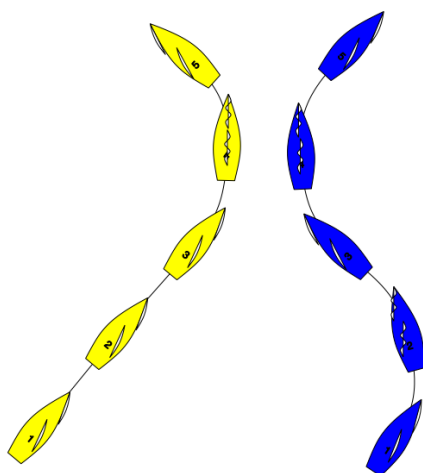
1. Luffing



	Umpire Y	Umpire B
1	Leeward right, changing	Windward give, keeping clear
2	Changing, must give room	Keeping clear
3	Changing, do you need more room?	Yes, doing all I can to keep clear
4	Contact, I did not give you room. Penalty on me?	Agree, valid protest, penalty on you.

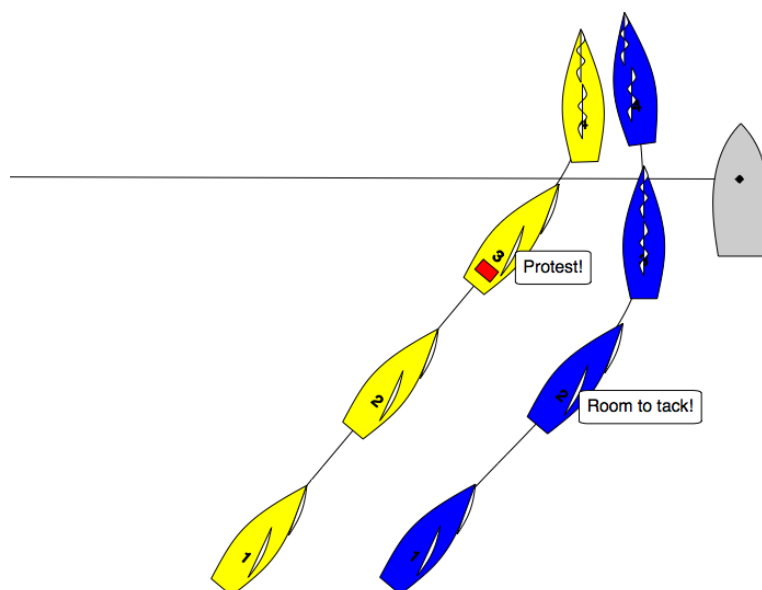
At every point in time, both umpires determine if their boat fulfils its obligations instead of calling facts repeatedly. They also express whether they agree or disagree which confirms that they are listening to each other. As a result, by the time there is a valid protest in position 4, the umpires have already agreed the decision.

2. Rule 15



	Umpire B	Umpire Y
1	Ahead right, holding	Astern give, keeping clear
2	Luffing, tacking, give	Holding
3	Done! Starboard right, must give you room	Holding
4	Changing, giving you room	Luffing, reacted immediately
5	Agree, I gave you room, no issue	Port give, valid protest, no rule broken?

3. Room to tack



	Umpire B	Umpire Y
1	Leeward right, holding	Windward give keeping clear
2	Holding, call of room to tack	Invalid call, I am fetching. I must respond
3	Changing, tacking, give	Holding, I am not responding
4	Tacking, I am not keeping clear	Agreed leeward right, penalty both boats?
5	I agree, penalty both boats.	

Differences of opinion

As the umpires communicate, they should speak clearly and be aware of what the other is saying, such that it becomes obvious when their opinions differ. The umpires should stand or sit close together and speak loudly and clearly so that each can hear the other over engine noise. It is important that umpires actively listen to each other and do not have two separate conversations.

Once it is realised that the umpires disagree, this disagreement must be resolved immediately.

Example

Umpire 1: I am leeward, right. I came from clear astern, I have no luffing rights.

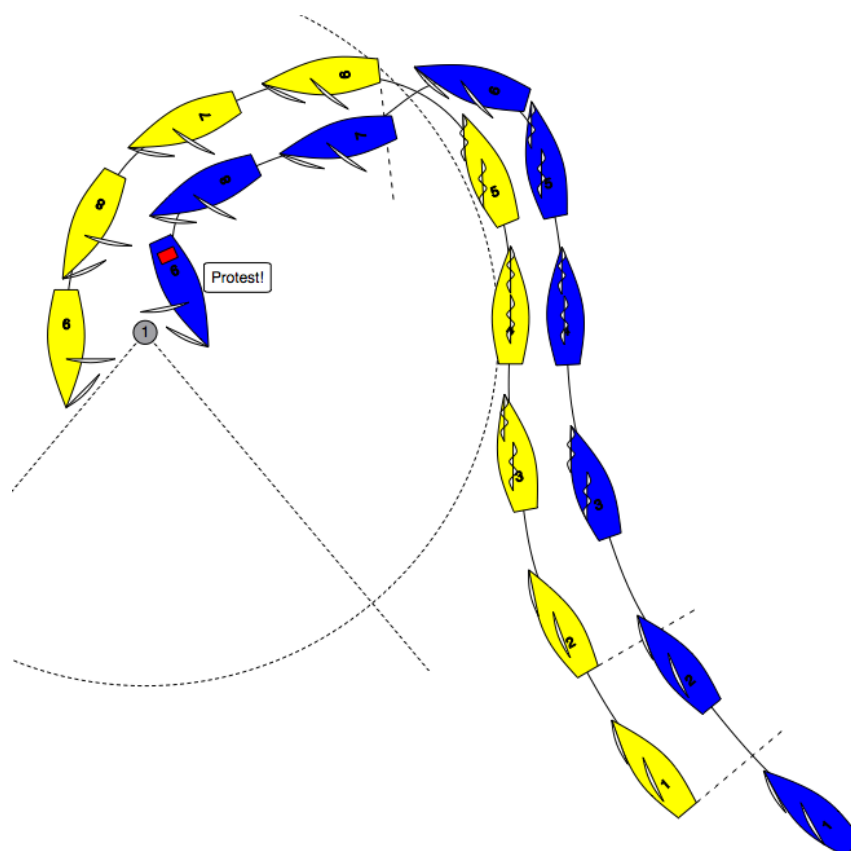
Umpire 2: Disagree. You came from outside 2 boat lengths, you have luffing rights, I am keeping clear.

Umpire 1: I agree

In this scenario, the difference of opinion is immediately resolved. In this case, it was because umpire 1 had not realised that the overlap had been established outside two boat lengths, and so a reminder from the other umpire resolved the disagreement. If

the other umpire had not agreed as to how the overlap had been established, the umpires would revert to the 'last point of certainty' to resolve their difference of opinion. By talking through the incident as it happens, the umpires identify and resolve a difference of opinion before there has been a protest from a competitor.

Example



	Umpire Y	Umpire B
1	Ahead right, holding	Astern give, keeping clear
2	Leeward right, with luffing rights	Agree, windward give, keeping clear
3	Changing	Keeping clear
4	Changing	Keeping clear. Aren't you in the zone?
	No, I'm still outside zone	OK, last point of certainty was you were outside
5	Changing, still outside zone	Keeping clear
6	Zone now! Clear ahead, in my mark-room.	Agree, giving you (mark-)room
7	In my mark-room	Agree, giving room. I can't come inside you.
8	Agree, still in my mark-room	Port give, I've given you (mark-)room
9	Agree, no issue, green flag?	I agree, green flag?

This example is challenging, and the umpires have little time to convey the required information to each other. It also illustrates a typical incident in which it will not necessarily be clear to the sailors what the facts of the incident are.

At position 4, yellow is on the edge of the zone and the umpires may not be sure whether or not she is in the zone. Applying the last point of certainty, the last thing the umpires were certain about was that yellow was not in the zone. They therefore assume that yellow is still outside the zone, until they are certain that she has entered it. At position 6, when it becomes clear that yellow has entered the zone, the umpire calling the yellow boat states this, and the other umpire responds.

Once the mark-room relationship between the boats has been established, the umpires switch from calling the right-of-way relationships to the mark-room relationships. In this case, yellow (between positions 5 and 6) enters the zone clear ahead and therefore blue must give her mark-room as required by rule 18.2(b). After this point, the umpires need to be deciding whether yellow is sailing within the mark-room to which she is entitled (if she is, she is protected by rule 21), and whether blue is giving mark-room. Notice that at position 8, the umpires don't call "leeward right/windward give" as this is not relevant anymore. Instead what matters in this scenario is whether blue is giving yellow mark-room. The umpire calling yellow states that yellow is sailing within her mark-room, and the blue umpire responds by saying that blue is giving mark-room as required (in this case, by sailing on the wrong side of the mark). When blue protests in position 9, the umpires have already agreed the decision between themselves and so are ready to signal it without a delay.

In summary, by communicating the decision as it happens:

- The umpires minimise disagreement between themselves
- Repetition of agreed facts is avoided
- Discussion is concise, so they can keep up with the action
- Decisions are made promptly and are made with more certainty
- The umpires are available for the next incident as it happens

Further information on umpire conversation can be found in both the World Sailing IU manuals for match racing and team racing.

Summary Table

The table below provides a useful summary of the most commonly used words that umpires use to talk through an incident and make a decision. Incidents are broadly divided into 4 types (1,2,3,4) according to which rules apply.

Decision Type	1 rules 10-13, 15, 16, 22	2 rule 17 (& 24.2)	3 rules 18, 19, 21	4 rule 20	
Set-up Words Say once only	Starboard right / Port give Leeward right / Windward give Ahead right / Astern give				
New Issue Words Say once only	Overlap / Clear Tacking; Done (Gybe)	No luffing rights (or 17 on)	Zone Obstruction	Hail	
Action Words Say immediately after set-up words. Repeat through incident	Right-of-way Holding Changing (or luffing)	Keep clear (Not) Keeping clear Reacted immediately / doing all I can Reacted late / can do more / on me	Leeward Boat Above [proper course Below [proper course] (24.2 only)	Boat with (mark-) room In room Wide	Hailed boat Luff; tacking You tack No response
			Type 1 conversation continues	If “wide”, revert to Type 1 conversation	Hailing boat Luff; tacking Late / no response

Communication between umpire boats

Quite often it is important to communicate between the umpire boats, to pass information about an incident or to make sure the same incident is not called by multiple umpire boats.

VHF radios can be helpful for this purpose. Umpires may for example pass information to another umpire boat that they may not be able to see. A common use is to tell a colleague that there has been a valid protest, if the other umpire boat is not in a position to see the red flag clearly.

Having said that, umpires should not rely on their colleagues to pass critical information about a decision. They should proactively try to make sure they have all the facts they will need for a decision, and any additional information provided by a colleague is a bonus.

The radio is particularly useful for quickly confirming with the other umpires, where you intend to position your umpire boat on the course. For example: “umpire 1 is going to the windward mark”. There is no need for formal radio etiquette, transmissions should be short to minimise the interruption to the other umpires who are listening. Umpires should also keep in mind that VHF channels are public and not to have private conversations over the radio.

For events with fewer boats, where the umpire boats are closer, hand signals may also be useful. They are less intrusive, but don't draw the attention of the other umpire boat as much.

Commonly used hand signals are:

- Repeatedly tapping hand on top of head – ‘Contact’
- Pointing at the other umpire boat – ‘You make the call’
- Pointing towards self – ‘I can make the call’

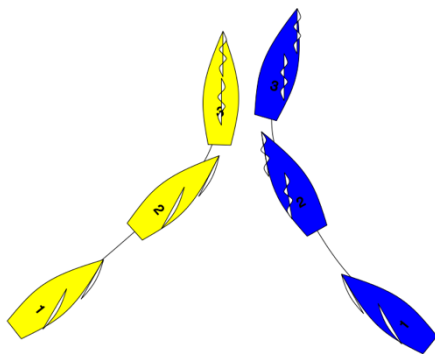


4.2 The Critical Fact

In every incident, there will be one or two facts which the umpires must establish in order to make a decision. These are known as the critical facts, and they depend on the type of incident.

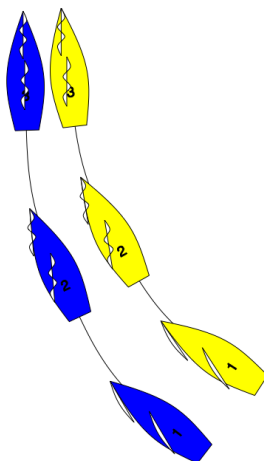
With experience, umpires are able to anticipate what will be the critical facts in the next incident, and to position their umpire boat accordingly. They will also be able to make sure that they establish those facts in their conversation. Some examples are below:

1. Rule 10



Yellow on port, must keep clear of blue on starboard. From the definition of keeping clear, we know that yellow is keeping clear if blue is able to sail her course with no need to take avoiding action. **The critical fact is whether blue needs to change course to avoid yellow.** This is best seen when the umpire boat is in the middle about 45° off the course of both boats. Alternatively, following the course of the starboard tack boat can also allow the umpires to get the perspective of the helmsman of blue.

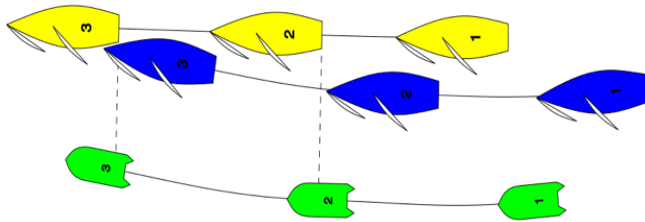
2. Rule 11/16



Yellow to windward, must keep clear of blue to leeward. As blue luffs, she must give yellow room to keep clear. **The critical fact here is the gap between the boats.** This allows the umpires to establish whether yellow is keeping clear, and whether she has been given room to keep clear. The umpire calling the blue boats will also be watching the helm to decide whether she has complied with rule 16.

This is best seen from behind the boats, and the umpires will generally be as close to the boats as they are to each other, closing in as the boats get closer together

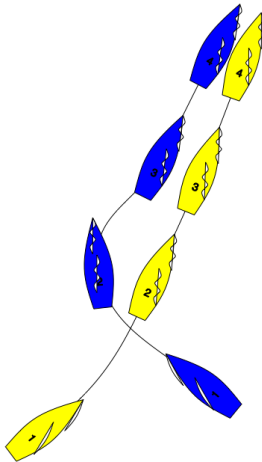
3. Rule 12/15



In this case, the critical fact is **when blue establishes the overlap to leeward of yellow.**

The umpires are to leeward, following the transom of yellow who is clear ahead, in position to see the moment the overlap is established and rule 15 will apply. Once the boats are overlapped the umpires may no longer be in a position to decide gaps.

4. Slam Dunk

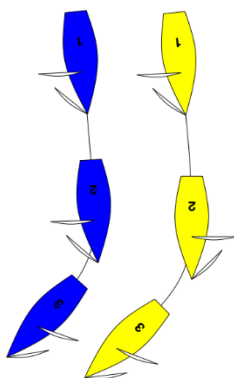


This move is known as a slam dunk. Blue crosses ahead of yellow and tacks onto port. Yellow luffs to prevent blue from being able to complete her tack. As blue gives up right-of-way through her own actions, rule 15 does not apply and she must keep clear of yellow while she is tacking (rule 13).

The critical facts are (1) whether yellow is holding or changing from position 2, and (2) whether blue is keeping clear in position 3-4.

In position 1, the umpires will be 45° from the course of both boats, anticipating a port-starboard. Once it is clear it will be a slam dunk, the umpires move into the gap between the boats, to decide whether blue is keeping clear and whether yellow is holding or changing course.

5. Rule 15



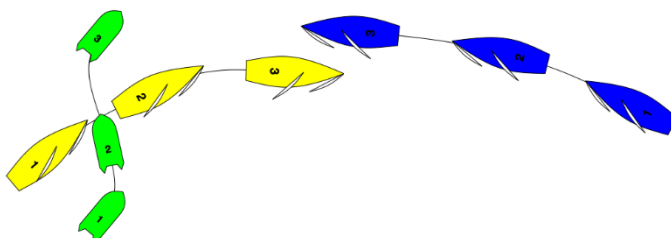
Blue and yellow are sailing downwind, as yellow gybes onto starboard Blue must react immediately to keep clear.

The critical fact is the gap between the boats, to determine whether blue is keeping clear.

The umpires will once again follow the gap in-between the boats, getting closer to them as the boats become closer to each other.

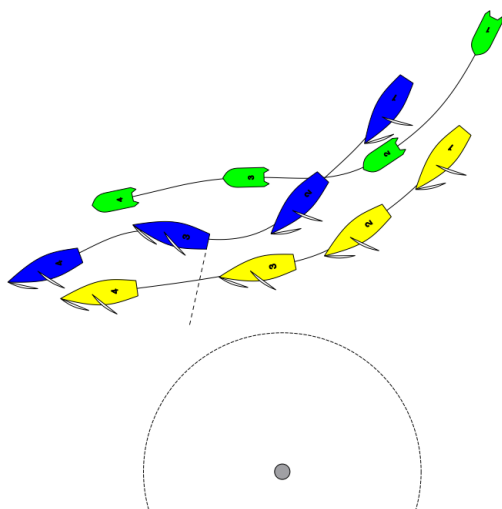
6. Rule 16.2

As blue and yellow are sailing upwind, yellow on port is sailing to pass astern of blue. Rule 16.2 will apply if blue changes course. Blue may not change course, if as a result yellow would immediately need to change course.



The critical fact is therefore if yellow needs to immediately change course. The umpires will be in the usual port-starboard position before the incident. However, once it becomes clear that 16.2 may apply, the umpires should try to cross behind yellow (watching her helm movements), moving forwards to then see the gap between the boats as blue passes to windward of yellow. While this may not always be possible, depending on the type of boats the umpires may be able to see the gap from over the top of the boats.

7. Rule 17

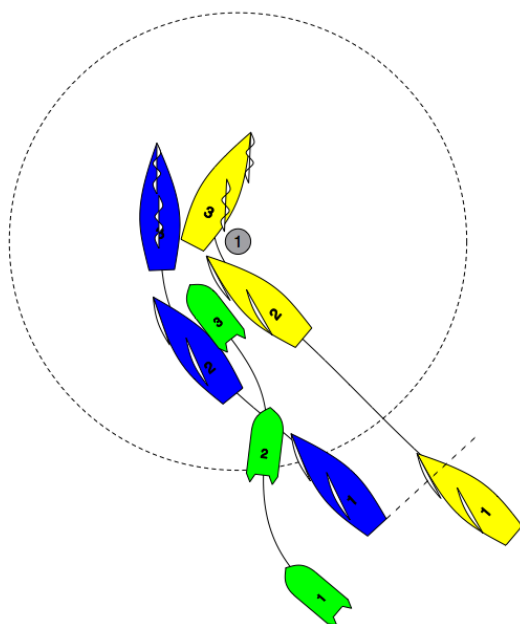


In this incident, blue and yellow are sailing downwind towards the leeward mark. Yellow attempts to luff blue away from the mark, blue luffs hard and breaks the overlap between the boats. As she bears away, yellow gains an overlap from clear astern and rule 17 applies.

The critical facts here are: (1) when the overlap re-established (2) whether yellow is sailing her proper course, and (3) whether blue is keeping clear.

The umpires are initially following the gap, however as it becomes clear that blue will luff away, the umpires move to windward to see the overlap between the boats, and then as they become overlapped again, the umpires move back into the gap.

8. Rule 18



Blue and yellow are approaching the windward mark, yellow enters the zone overlapped inside of blue, and so she is entitled to mark-room. As the boats approach the mark, blue luffs and yellow tacks around the mark.

The critical facts here are (1) the overlap between the boats as blue reaches the zone, and (2) the gap between the boats as they round the mark.

The umpires are outside and to leeward, level with the transom of blue to see the overlap at the zone. Once the mark-room relationship has been established, the umpires move in to see the gap between the boats as they round, to decide if blue has given yellow enough mark-room.

Section 5

Umpire Mechanics

5 Umpire Mechanics




Once the umpires have established the facts in an incident, decided upon the relevant rules and there is a valid protest, they will be ready to signal a decision.

Decisions can and should be given promptly, which is facilitated by good communication between the umpires. If umpires are in doubt, then a penalty is not appropriate. It is better to display a green flag in an incident where there is doubt (even if there was contact) than to penalise a boat that did not break a rule.

Making the signal

A signal consists of two parts

- Sound (whistle) to draw attention to the decision
- Flag (green/white, red or black)

	Green & White 'No penalty'
	Red A penalty is imposed (A one-turn penalty given on the water)
	Black A boat is disqualified

Umpire flags inform competitors (and spectators) of the decision, they must therefore be displayed prominently and for long enough to be seen clearly (at least 5 – 10 seconds). In the case of a red or black flag, the umpire should clearly display the flag and indicate which boat is penalised or disqualified, and hail their sail number. This may be repeated until you are sure that the competitor has understood. Umpiring should continue uninterrupted while a penalty is being signalled.

An incorrect signal cannot be reversed. Umpires should take great care before signalling a decision. Mistakes can be avoided by picking up a flag by the cloth rather than by the handle, and by confirming the colour of the flag with the other umpire before displaying it. If the wrong colour flag is signalled, this error cannot be reversed. You should be prepared to explain and apologise to the sailor at the end of the race!

When driving the umpire boat, the umpires are usually most at risk if slowing down, to a speed less than that of the boats. Take care that there is no boat behind you that will close the gap as you slow down.

The black flag should be stowed well away, it is preferable that a decision to black-flag a competitor should be made only after an in-depth discussion between the umpires. There is no need to rush the signal and the extra time taken to get the black flag provides a further safeguard that it is not displayed accidentally.

Which boat to penalise

When there has been an incident between two or more boats, and a valid protest, there are a number of possibilities that may occur

Addendum Q provides that:

Q2.2

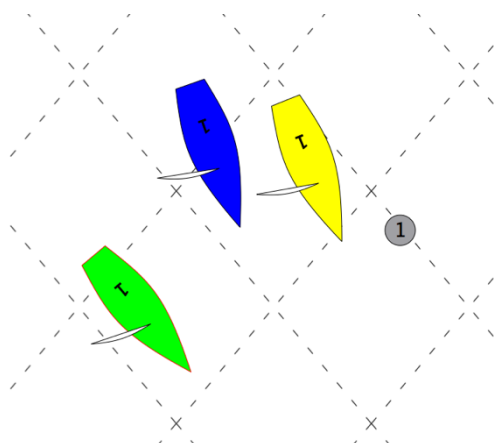
A boat that protests as provided in instruction Q2.1 is not entitled to a hearing. Instead, a boat involved in the incident may acknowledge breaking a rule by taking a One-Turn Penalty in accordance with rule 44.2. An umpire may penalize any boat that broke a rule and was not exonerated, unless the boat took a voluntary penalty.

An umpire may penalize any boat that broke a rule and was not exonerated and did not take a voluntary penalty:

- If one boat protests and all boats which broke a rule take a penalty, the incident is closed, and no action is required by the umpires.
- If one boat protests and no boat takes a penalty, the umpires may penalize either boat.
- If one boat protests and a boat which did not break a rule takes a penalty, the umpires may penalize any boat which broke a rule.
- If both boats broke a rule, one boat protests and only the other takes a penalty, the umpires may still penalize the boat that protested.

As long as one of the boats in the incident has made a valid protest, the umpires may penalize any boat involved that broke a rule, was not exonerated and did not take a penalty.

Example



In this incident, the umpires decide that:

Blue did not give enough room,
Green did give enough room
Yellow protests, Green takes a penalty.

Umpires may penalise Blue

Yellow and Blue protest, Green takes a penalty.

Umpires may penalise Blue

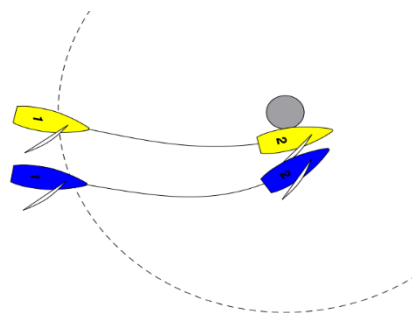
When not to penalise

1. If a boat is **compelled** to break a rule as a result of another boat breaking a rule, the umpires exonerate her - RRS 64.1(a) or RRS 21.

A common example of this is where a boat entitled to mark-room is forced to hit a mark as a result of not being given enough mark-room. In these circumstances the umpires would not penalize for touching the mark (rule 31) as she was compelled to do so. Instead the umpires exonerate her, and if there is a protest, would penalize the boat which failed to give mark-room.

Example

Yellow enters the zone overlapped, and inside blue. As the two approach the mark, blue luffs and as a result, yellow is forced to hit the mark. What should the call be?



If there is a valid protest:

Then the umpires penalize blue (for failing to give mark-room) and exonerate yellow for breaking rule 31.

If there is NO valid protest:

Then the umpires make no signal. The umpires exonerate yellow for breaking rule 31, but blue cannot be penalized for her breach without a valid protest.

Note: if the umpires agree that, yellow could have avoided the mark in a seamanlike way, then the umpires should penalize yellow for breaking rule 31, as she was not compelled to hit the mark. This is the case whether or not there is a valid protest, as the umpires may initiate penalties for breaches of rule 31 under Q4.1.

See TR CALLS M11, E8 and J9 for further examples.

2. If umpires do not see an incident properly.

If there is any doubt about the facts of an incident, the umpires should not signal a penalty. A good rule-of-thumb is to only signal a penalty when you are able to explain the breach clearly to the sailor.

3. If a protest flag is not clearly displayed - no umpire sees it displayed.

The protest is invalid and so the umpires would not respond to it. If the competitor persists, displaying a green/white flag is appropriate to close the incident. Note that it is not required that both umpires see the flag displayed. Umpires should also not respond to tentative displays of the protest flag, the display must be clear in order for the protest to be valid. It is good to include the words 'incident closed' in the umpire dialogue to decide between the umpires when a protest has not been made at the first reasonable opportunity.

4. If the umpires are reasonably close but do not hear 'Protest' (especially if other words may be heard).

Similarly to above, if the umpires do not hear the words 'protest' and they are close enough that they would have heard it if said, they should also not respond to the protest.

5. If the umpires disagree.

The umpires should only signal a penalty if both agree. In cases where the umpires disagree, even if there is contact, a green/white flag is the only appropriate signal. Note that this is different to cases when only one umpire sees an incident. In that case, the umpire who saw it clearly can make the call, and a penalty signaled if appropriate. Only in cases where both umpires saw the incident, but disagree over the decision, should a green flag be given.

If two umpire boats see the same incident and there is a valid protest to which one boat signals a green and the other a red flag, the red flag penalty applies. This can be confusing to competitors and it is common in this situation for one umpire boat to signal to their colleagues that they 'own' the incident before making their signal.

Additional flags

Some classes modify WS Addendum Q to the effect that when an incident is unseen by the umpires and a 'J' flag is displayed, the jury may take decisions ashore after racing. There are many variations to this and care should be taken at each event to thoroughly check the Notice of Race and Sailing Instructions for such changes.

Section 6

Umpire Initiated Penalties

6 Umpire Initiated Penalties

In most cases, umpires will only signal a decision in response to a protest from a competitor, even when a rule has been broken. However, there are 7 situations below where umpires may penalise a boat without a protest, these are known as umpire initiated penalties.

Most of these situations are cases where it is difficult or impractical for the other boat involved in the incident to protest, the rules therefore allow for the umpires to deal with it themselves. It is important to note however that while the rules state that an umpire *may* penalise a boat, that consistency is still important both between races at the same event, and from event to event.

Many of the umpired initiated penalties are optional, as the rule includes the word 'may'. The aim is to exercise discretion without being inconsistent. This consistency is important not only between umpires at the same event, but also between events. Discretion is not an excuse for umpires to impose their own personal opinion of what the rules should be.

As with all other penalties, an umpire initiated penalty with a red flag is a one-turn penalty. When signalling this, it can often be useful to hail a description of what the penalty was for, if this is not obvious to the competitor. e.g. "pumping before the mark".

6.1 Umpire initiated penalties in addendum Q

Addendum Q provides that:

Q4.1 *When a boat*

- (a) breaks rule 31 and does not take a penalty,*
- (b) breaks rule 42,*
- (c) gains an advantage despite taking a penalty,*
- (d) deliberately breaks a rule,*
- (e) commits a breach of sportsmanship, or*
- (f) fails to comply with instruction Q3.2 or to take a penalty when required to do so by an umpire,*

an umpire may penalize her without a protest by another boat. The umpire may impose one or more One-Turn Penalties to be taken in accordance with rule 44.2, each signalled in accordance with instruction Q3.1(b), or disqualify her under instruction Q3.1(c), or report the incident to the protest committee for further action. If a boat is penalized under instruction Q4.1(f) for not taking a penalty or taking a penalty incorrectly, the original penalty is cancelled.

We will now consider each of these points in more detail.

Touching a mark (rule 31)

When an umpire is certain that a boat has touched a mark, and no boat protests or takes a penalty, the umpire should penalise the boat. However, if the umpire is certain that the boat was compelled to hit the mark (and would be exonerated under rule 21)

they should then make no signal, in the absence of a protest. As explained in the previous section, compelled means that the boat had no other option than to touch the mark, and could not have avoided it in a seaman-like way.

Umpires can make themselves certain of the mark touch by seeing the boat making contact with the mark, seeing a spinning mark is not proof that a boat touched it.

Illegal propulsion (Rule 42)

Rule 42 provides rules that restrict how sailors may use their bodies and other techniques in order to propel the boat. Note the differences between penalties for rule 42 under addendum Q (on-the-water umpiring) vs appendix P (yellow flag penalties used for on-the-water judging). When addendum Q is being used, penalties for rule 42 are treated in the same way as penalties for other rule breaches. That is, the penalties do not accumulate and the penalty a boat must take does not change depending on how many penalties she has already received.

Despite these changes from Appendix P, the standard of rule 42 judging must remain unchanged. The World Sailing Rule 42 interpretations continue to apply and a breach that would be a penalty in a fleet race, must also be a penalty in an umpired fleet race.

Breaches of rule 42 can be broadly split into two categories, **tactical** breaches and **technical** breaches. **Tactical** breaches are of short duration, usually deliberate and with the aim of achieving a short term advantage. For example, sheet pumps to create or break an overlap close to the zone, body pumping while on port tack and trying to cross a starboard tack boat. If an umpire is certain that they have seen a tactical breach, this should be penalised even when only seen by one umpire (as it is unlikely that the breach will be of a duration long enough for the other umpire to see it).

Technical breaches are those that are repeated, and part of the sailors normal style of sailing, and these can occur at any point on the course. Examples are repeated rocking at the start, body pumping on a reach or beat, and repeated rocking downwind. These breaches are only penalised if both umpires have seen the breach, and both agree that a penalty is appropriate. Technical infringements are less common in umpired disciplines, but can become very important in light conditions. In light winds, rule 42 is often the most critical rule to observe.

Before the first race, it is useful if the umpires discuss the conditions and likely breaches for the type of boats that are being umpired. For example, are there planning/surfing conditions? Are there waves likely to cause natural rolling of the boats?

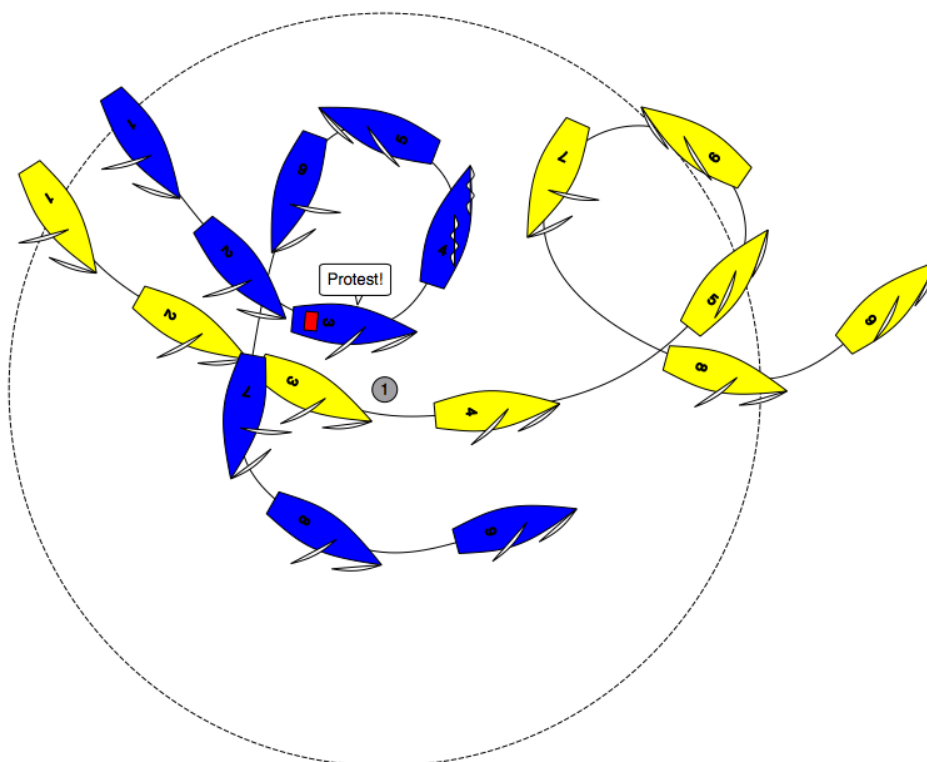
Umpires should also be aware of any changes to rule 42 introduced by the class rules of the boats they are umpiring. For example, the Melges 20 class modify rule 42 to permit pumping of the spinnaker. Make sure you are aware and understand any such changes so that the correct decision is made on the water, without searching through your dry bag for a copy of the rules. For more information on judging rule 42, umpires should consult the World Sailing International Judges manual:

[http://www.sailing.org/tools/documents/JudgeManual1710182-\[23619\].pdf](http://www.sailing.org/tools/documents/JudgeManual1710182-[23619].pdf)

Gained an advantage despite taking a penalty

In umpired fleet racing, the only advantage that is relevant, is that of an individual boat. In general, a boat has gained an advantage when, after having taken a penalty (or having been given one from an umpire), she is not behind the boat that she infringed. In this case, the umpires would give an additional red flag penalty in order to correct the advantage.

Example



In the scenario above, blue and yellow are sailing towards a leeward mark. At the zone, blue is overlapped inside yellow, yellow is therefore required to give blue mark-room under rule 18.2(b). Yellow fails to give mark-room, by luffing blue before the mark, such that blue passes the mark on the wrong side. Yellow passes the mark and completes a one-turn penalty after the mark.

While yellow has taken a penalty for her breach of rule 18.2(b), she has gained an advantage relative to blue, through breaking a rule. Yellow in position 9 is now several boat lengths ahead of blue, but they entered the zone of the mark at the same time. In this scenario, the umpires should give yellow an additional penalty for the advantage, until she is behind blue.

Decisions on advantage are difficult and considerable skill is required to spot them. After an umpire gives a penalty it is useful to consider aloud whether there is advantage. Often, there is not, and a one-turn penalty resolves the issue. However, the umpires should be alert for potential rule breaches creating an advantage for the boat which broke a rule.

A useful rule of thumb is “Cost a turn or saved a turn” i.e. if a boat has caused another boat to make a turn she didn’t need to (by denying mark-room) or has saved herself from making a turn (by barging in at a start mark instead of bailing out). In these scenarios, it is highly likely advantage has been gained.

Deliberately breaks a rule

In some incidents, a boat will break a rule, and at the same time be aware that she has broken a rule. If a boat has broken a rule, she has an obligation under the Basic Principle, Sportsmanship and the Rules, to take a penalty **promptly**. **Waiting for a signal** when she knows she has broken a rule may be seen as **breaking this principle**, and the umpires may in this case consider giving an additional penalty.

Some examples of where an additional penalty may be considered are below. Others may include:

- A boat not giving mark-room to another boat clearly overlapped inside her
- Barging at the start

Before giving a penalty for deliberately breaking a rule, the umpires should be satisfied that the boat knew that she broke a rule, and that no exoneration rule applied. Importantly, it must be clear that it was not a genuine misjudgement but was a deliberate or calculated move.

MR CALL M2 gives some guidance to umpires about when a breach is likely to be deliberate.

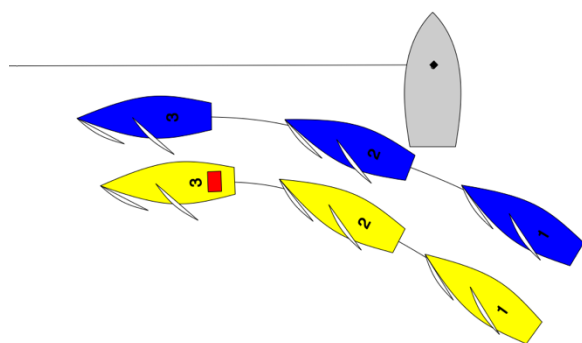
The umpires are likely to conclude that a rule was broken deliberately when:

- *the situation has built up for some time rather than occurred instantaneously;*
- *there is a potentially match-winning tactical gain from breaking the rule;*
- *the breach does not seem to be a simple misjudgment.*

MR CALL M2

Common examples of breaches that may be deliberate

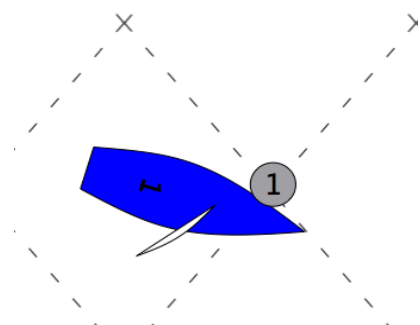
1. Avoiding being OCS



Blue and yellow are approaching the starting line to start. As blue nears the line, she bears away in an effort to avoid being OCS. As a result she fails to keep clear of yellow. There is a valid protest from yellow, so the umpires should penalize blue for breaking rule 11.

In addition, as blue deliberately broke a rule to avoid being OCS, the umpires should consider giving an additional (second) umpire initiated penalty.

2. Knowingly touching a mark



Here, blue makes obvious mark contact with no other boats involved, and so there is no possibility of being exonerated. The umpires should penalise her for breaking rule 31.

If the umpires are sure that blue was aware of the mark touch and did not take a voluntary penalty, then they should signal an additional penalty for deliberately breaking a rule. The umpires are likely to conclude this when the contact is particularly hard or where the sailor pushes the mark away with their hands for example.

Breach of sportsmanship

Any breach of sportsmanship should be promptly penalized. The most common example is abuse or intimidation of sailors, umpires or other race officials. The advantage of having umpires on the water is that dissent and abuse can be penalised at the time that they happen. Another possible example is reckless sailing, likely to lead to damage or injury.

Match racing call M4 (or team race call M8) give some guidance as to when a penalty might be appropriate:

If they merely express unhappiness or disappointment, or that in their opinion the decision was wrong then a penalty is not appropriate. However, if the total effect is to convey that the umpires are incompetent or are prejudiced against the penalized boat, a penalty may be justified, whether the meaning is directed only at the umpires or also to others nearby. If the meaning is clearly insulting to the umpires, a penalty should be imposed.

MR CALL M4

In most circumstances, a red flag penalty is appropriate in the first instance. Commonly this resolves the issue and closes the incident. If the abuse is repeated or severe, then a further penalty is appropriate and the umpires should consider whether a black flag penalty may be justified.

In cases where penalties have been given for breaches of sportsmanship or dissent the umpires should be prepared to have a conversation with the sailor involved at the end of the race. They should not initiate a conversation, but should the sailor approach the umpires, they should be ready for a firm but polite conversation explaining the penalty. Often an apology for a remark made during the heat of the moment is forthcoming. Umpires should be careful not to further antagonise a sailor who may be upset or emotional, and often suggesting that the conversation wait until everyone is ashore can be useful.

Fails to take a penalty when required to do so by an umpire

If a boat does not take a penalty after having been signalled one by an umpire, or makes an incomplete penalty the umpire should signal the penalty again as clearly as

possible. Note that addendum Q provides that if the umpires penalize a boat for not taking a penalty, or not doing so correctly, then the original penalty is cancelled. This means that when the penalty is signaled for the second time, this can be considered a 'reminder' and does not mean that the boat must complete two penalties. If it is desired to penalize a boat with more than one penalty, then this needs to be clearly communicated by the umpires. The usual practice is to signal the first penalty, give time for the penalty to be completed, then once it is signal the second penalty in the same way as the first. Note that addendum Q does not give a provision to hail the number of required turns to a boat, and so every one-turn penalty must be signaled with a red-flag.

Breaches of the Sailing Instructions (including boat handling rules)

It is common at umpired fleet racing events, for the sailing instructions to include a provision for umpire initiated penalties for breaches of certain SIs. A common example is where the boats are supplied, for the sailing instructions to include additional appendices which cover boat handling rules. These are often lists of permitted and prohibited acts that the crew may perform while sailing the boat. For example, it is common to prohibit altering the standing rigging of a supplied boat. These may change from event to event depending on the types of boat being used, and the umpires should check these carefully. **Umpires may only initiate a penalty for a breach of an SI when the SIs themselves include a provision for this.**

Failing to sail the course

If a boat fails to sail the course correctly, the umpires will signal that she is disqualified by displaying the black flag. Importantly, the boat has until she rounds the next mark of the course or before she crosses the finish line, to correct her error. For example, if a boat does not round the marks of the gate correctly, the umpire would signal the black flag when she rounds the windward mark, if she has not corrected the error. This is clearly a major decision and the umpires should be completely certain before displaying the black flag. It may also be useful to check with the Chief Umpire at this point.

Red or black?

There are some situations where depending the exact circumstances, a red or a black flag may be possible options for the umpires. For most infringements, the umpires should first signal a one-turn penalty with a red flag. They might then consider an additional penalty with a red flag if the breach was deliberate or the boat gained an advantage, as discussed above.

The umpires may display the Black flag to disqualify the boat if:

- Breaches are clearly deliberate, severe or repeated
- The boat commits a serious breach of sportsmanship
- The boat gains an advantage despite taking a penalty that cannot be corrected with a red flag. e.g. causes damage to another boat that prevents her from being able to continue sailing.
- The incident causes serious damage or injury

In general, give a second red flag before giving a black. The exception is that if the breach was a failure to sail the course, then the only option is a black flag to disqualify the boat.

6.2 Penalties

When a boat involved in an incident breaks a rule, she may decide to take a voluntary penalty or one may be imposed by the umpires. This section explains some of the rules surrounding how a boat is required to take a penalty in umpired fleet racing.

Firstly, there are some differences between the other umpired disciplines. Unlike in match racing for example, in an umpired fleet race, a boat cannot delay taking a penalty, or offset one by causing the other boat to be penalised. A penalty turn may also be taken before she has started. There is similarly no restriction on having the spinnaker head below the gooseneck, penalties may also be taken in the zone of a rounding mark.

Depending on the sailing instructions in use at an event a voluntary penalty may be different to a penalty signalled by an umpire. For example, at some events a boat may elect to take a one-turn penalty, but if she does not, an umpire may signal a penalty which is a two-turns penalty. Umpires should ensure they are fully familiar with the sailing instructions at use at an event. **Under standard addendum Q a voluntary penalty is a one-turn penalty, and a penalty signalled by an umpire is also one-turn.**

Umpires should not delay making this signal, especially at the windward mark and at the finish. An excessive delay is likely to have a severe impact on the penalty. For example, after rounding the windward mark a boat will hoist the spinnaker, a penalty signalled after this may require the boat to lower the spinnaker again, using up time and making the penalty much more severe.

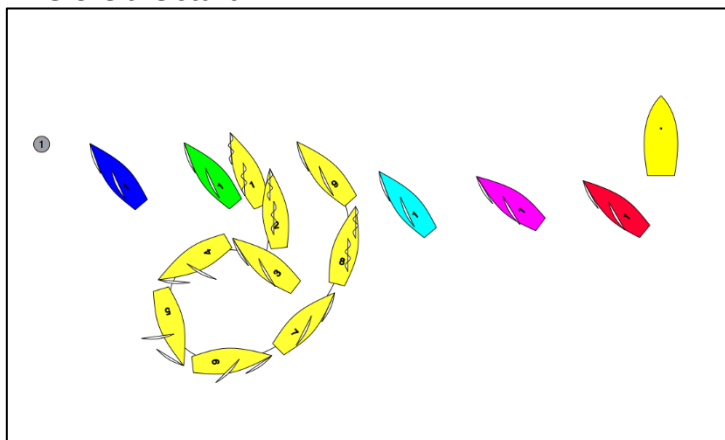
A penalty begins when the boat starts turning, after getting well clear of other boats. **A penalty ends** upon completion of the final tack or gybe.

It is important that umpires call these moments accurately, as during this time rule 22.2 applies and the boat taking a penalty must keep clear of boats that are not.



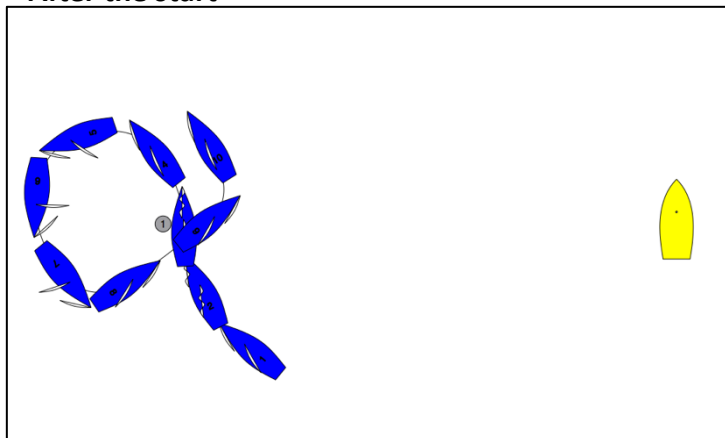
Common ways of taking a penalty include:

Before the start



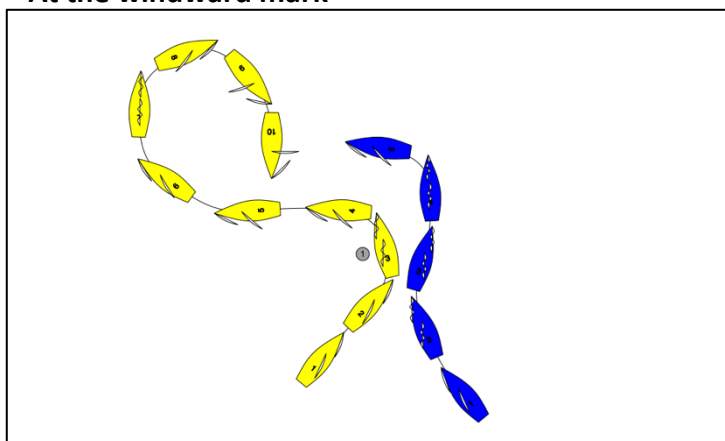
Before the start, once the boats have established their positions on the line, the most common way of taking a penalty is for a boat to back a sail (to move astern) and to complete the penalty on the leeward side of the starting line. Umpires should be careful not to get too close to the boats in order not to obstruct this move.

After the start



After the start, it is common for boats to take a penalty around the starting line, as this is unlikely to get in the way of other boats that are sailing upwind on starboard. Umpires should be sure that the boat completes the required number of tacks and gybes. It is common in these cases for the boat not to complete the final tack and to continue sailing on port.

At the windward mark



At the windward mark, it is usual for boats to sail well clear by sailing above the windward mark, tacking and then completing their final gybe onto starboard. Boats must be careful to sail clear, out of the path of other boats before starting their penalty.

Section 7

Positioning

7 Positioning

7.1 Positioning Principles

Although a strong knowledge of the rules is needed to umpire, it is also important to be able to collect all the facts that are required for a decision. Correct positioning of the umpire boat is critical to good decision making, unless umpires can see an incident up close and from the proper angle, they may not be able to make the correct call. This chapter helps to explain the general principles umpires should adopt when trying to maintain good boat positioning. As umpires gain experience they will develop and fine tune their positioning, however the basic principles should be common to all umpires.

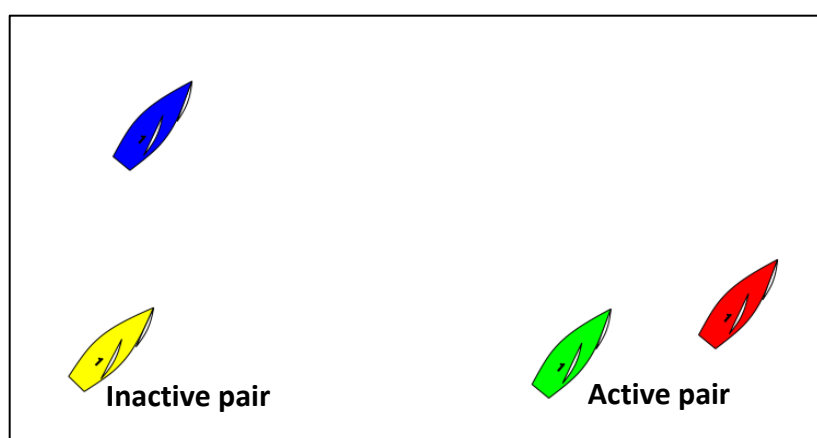
Unlike team and match racing, where it is possible to follow a standard positioning plan, highly detailed plans don't work as well for fleet racing. Every race is different and so it is difficult to prescribe the exact positions that umpires should adopt. However, the following sections outline some examples of good positioning and the reasons for them. The objective is to have an umpire boat in position to make a decision for every situation where two or more boats engage. This is most important at the start, crosses on the upwind/downwind legs and at marks.

Good umpires develop similar consistent elements to their positioning that apply at certain times, like pre-start; approaching, rounding and leaving marks; watching a port starboard

cross. These "mini-plans" enable them to be in the right position to gather the facts and apply the rules that govern the incidents that might happen.

7.2 Active and Inactive Boats

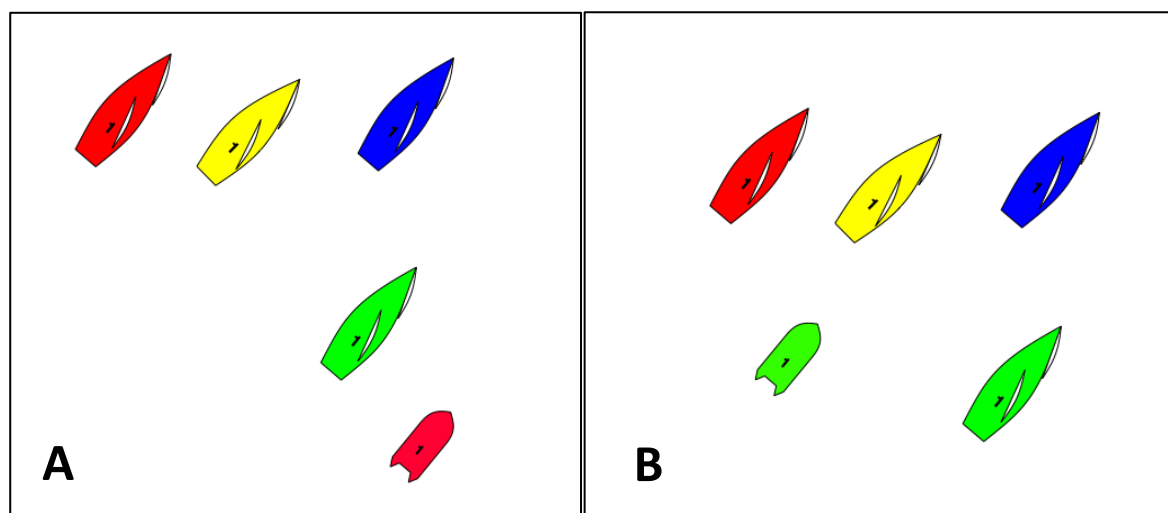
Even at a regatta with many resources for the umpire team, umpires will frequently find themselves having to decide which boats to follow, as it will not be possible to watch everything going on in the fleet. In general umpires should prioritise those pairs of boats which are most likely to be involved in an incident together. To help with this, it is often useful to identify active pairs of boats. That is, pairs of boats which are likely to engage with each other, and therefore likely to require a decision from the umpires.



In the scenario above, we have two pairs sailing upwind. If we have one umpire boat covering this side of the course, then the umpires will need to decide which pair to follow. Looking at yellow and blue, blue is ahead of yellow and can change course freely. Blue can also tack onto starboard without interfering with yellow. Blue and yellow are described as an **inactive pair**. They are unlikely to interact and so the umpires can watch this pair from a distance.

Red and green on the other hand, are much closer. Red cannot tack without interfering with the course of green. This pair are much more likely to have an incident, especially as red nears the lay-line to the windward mark. The umpires should be close to this pair in anticipation of a possible incident.

Umpires should constantly reassess which pairs are likely to be active and position themselves accordingly. In the example above, if green tacks onto starboard then she will become an active pair with yellow and the umpires will need to move to follow this next incident (a port-starboard).



In the scenario above, red, yellow and blue are all active boats, while green is not able to interact with any of the other boats, and so is inactive. The red umpire A is in a poor position, to leeward of green. The umpire is unlikely to have the critical facts for the next incident as they will not be able to see the gap between the other boats from this position. In B, the green umpire is in a much better position to call the next likely incident but needs to be aware of a likely course change from green.

Generally, umpires should not be positioned to leeward of an inactive boat. Always take the first opportunity that arises to get back into the game by moving closer to the active pairs.

7.3 Fundamental Principles

1. Cover your share of the fleet

In general, at umpired fleet racing events, we have more than one umpire boat. Umpires should cover their share of the fleet and avoid covering the same boats as their colleagues. How many boats this is will of course depend on the size of the fleet and the number of umpire boats. The ideal ratio is 2 umpire boats for 6 boats, and 3 umpire boats for 10 boats.

2. Trust other umpires to do their job

It is critical for umpires to be aware of where the other umpire boats are during the race. This ensures both that all the possible incidents are covered, but also that the same incident is not being called by two different umpire boats, resulting in conflicting decisions being signalled.

3. Don't race watch at marks – move on to the next situation

As well as trusting the other umpire boats, umpires should avoid the temptation to remain at the marks for too long watching the incidents and allowing the leading boats to sail on, without being covered by an umpire. Make sure that you move on with the leaders as incidents between them may decide the podium places.

4. Minimise wake where possible

In general umpires should try to minimise their effect on the racing boats as much as possible. They should avoid driving in such a way as to create unnecessary wake that might interfere with the boats racing. However, create wake if the choice is between creating wake or being in the wrong position to make a call. If you have to cross in front of a boat, make sure it is at a sufficient distance (> 5 boat lengths) and preferably cross the boats track at a right angle. It can also help to move the throttle into neutral as you cross the boats path, as this minimises the wake that is felt by the competitors.

5. Never be to leeward of an inactive boat

As discussed in the last section, it is generally not a good position to be to leeward of an inactive boat. Take the first chance you get to move closer to the pairs of boats that are likely to engage with each other.

6. Don't fall into 'rule 42 judging mode'

Be careful not to become too distant from the fleet. This is especially true for experienced judges who may be more used to positioning to judge rule 42. Rather than holding back and scanning the whole fleet, umpires should be constantly looking for the next incident and positioning accordingly. If you fall too far behind the fleet it can be hard to catch up when you do notice an incident about to happen.

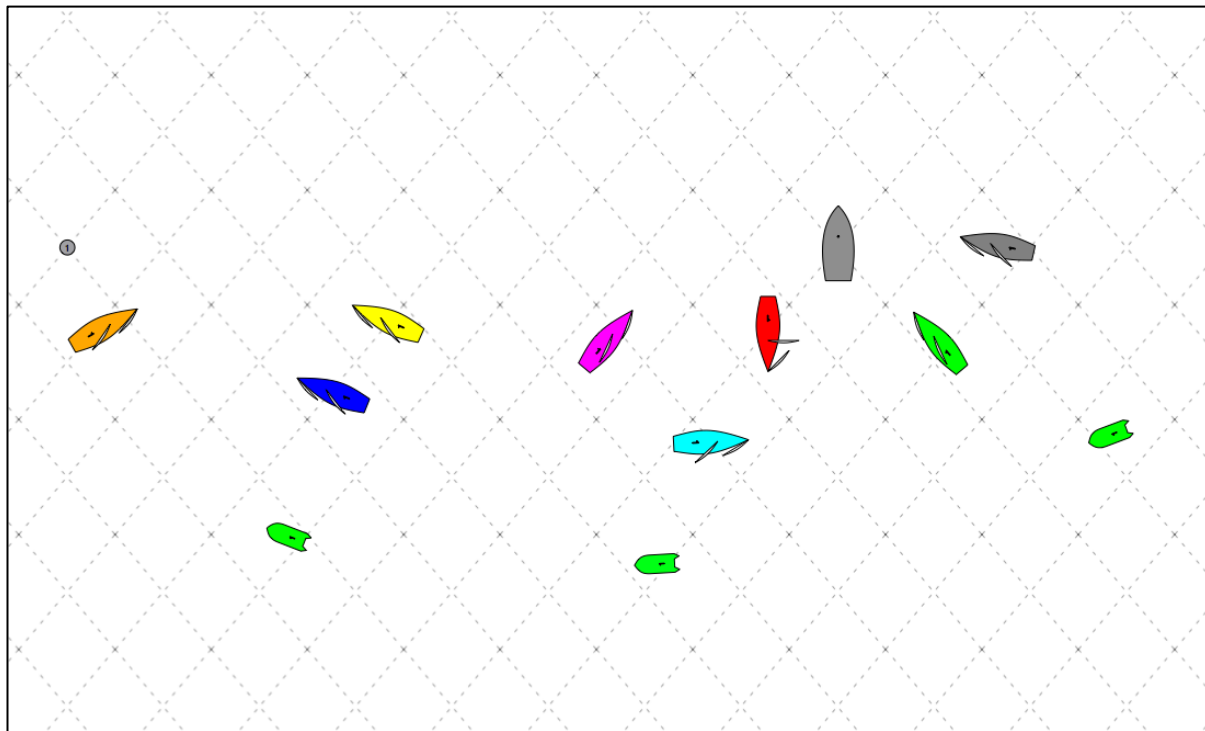
7. Drive at 'the speed of the fleet'

If possible, umpires should aim to drive at the same speed as the sail boats. This usually minimises wake and allows the umpires to stay close to the boats. This ensures a consistent distance to the boats and so a constant angle of view.

8. Position to make your intentions clear

Umpires should position their boats to make their intentions clear to their colleagues. Always point your umpire boat in the direction that you next plan to travel in. This way, the other umpire boats know which boats you intend to follow, and can position themselves accordingly. Radio calls are not necessary.

7.4 Prestart

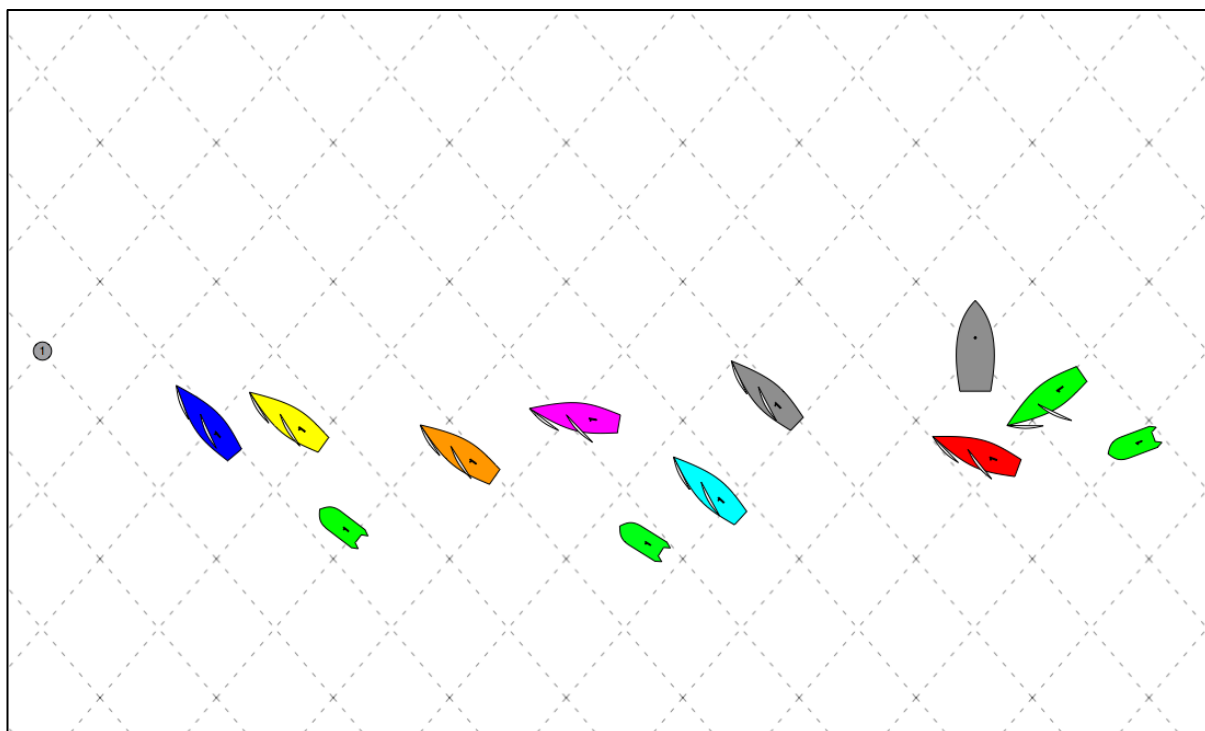


Umpires should make sure that they are in the prestart area from the preparatory signal. Although pre-start penalties are not usually race changing, incidents are quite likely as the boats are crowded together behind the starting line.

The umpires should loosely follow the boats, using their distribution to dictate their rough positions along the line. Be careful not to come too close to the boats, as they may need to gybe or change course rapidly and you don't want to be in their way. It is useful to point the umpire boat in a direction away from the action, that leaves an escape route should a boat change course towards you. Umpires should pay attention to the positions of the other umpire boats, to ensure that the whole starting line is being covered. If the umpire boat next to you moves and leaves potentially active pairs uncovered, then you should move to cover them.

It is important to also pay attention to any important race committee signals (e.g. flag O or flag Y, course designations etc) as these may be important for the umpires to be aware of.

7.5 Start



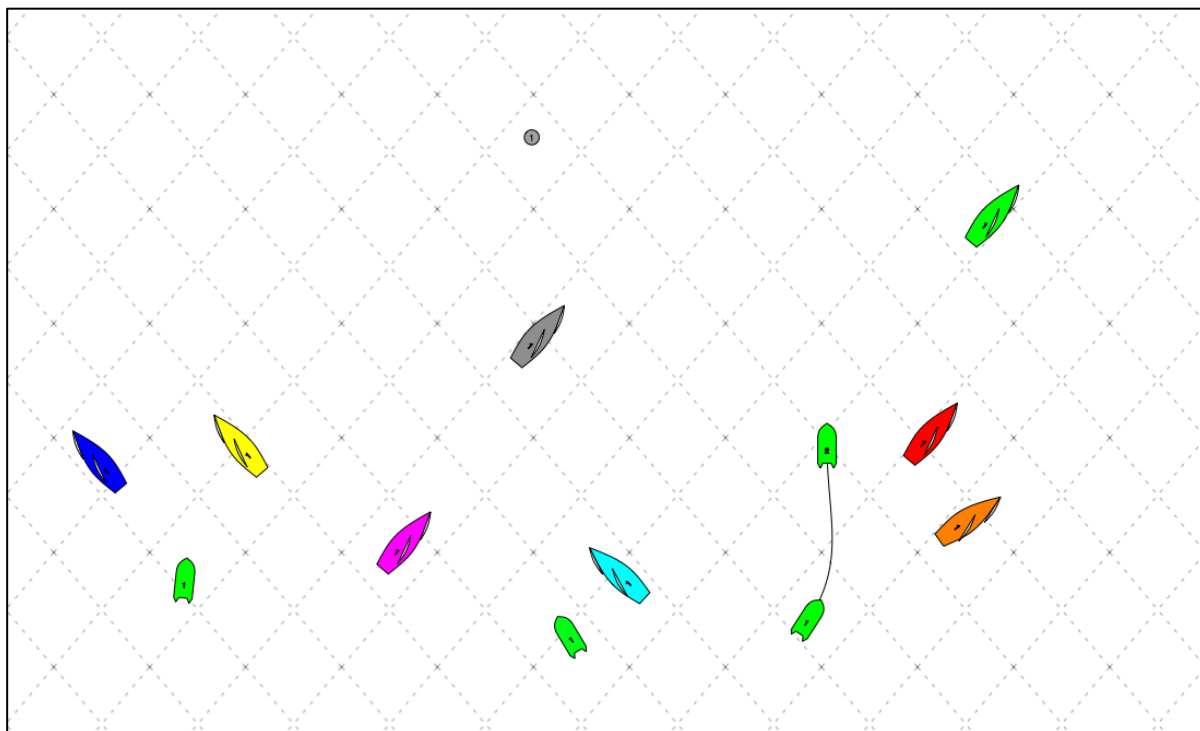
In the last minute before the start, the boats will begin to commit to a position on the starting line. At this point, the umpires move forwards to the boats which are in positions to engage with each other. The most common incidents at the start are windward-leeward incidents, and so the umpires should be ready to see the gap between the boats.

If resources are limited, the umpires should focus on the committee and the pin-end of the line where incidents are most likely.

At the start, be careful not to get too close to the boats at this point, as an OCS boat may begin to return abruptly and will be severely disadvantaged if an umpire boat blocks her path.

Be aware that although you might be the closest umpire to a pair of active boats, it may be that an umpire further away has a better view of the gap between the boats. For example in the situation above, the middle umpire and the left hand umpire are the same distance from orange and purple, but the middle umpire is in a much better position to see the critical facts for any incident between them.

7.6 Upwind



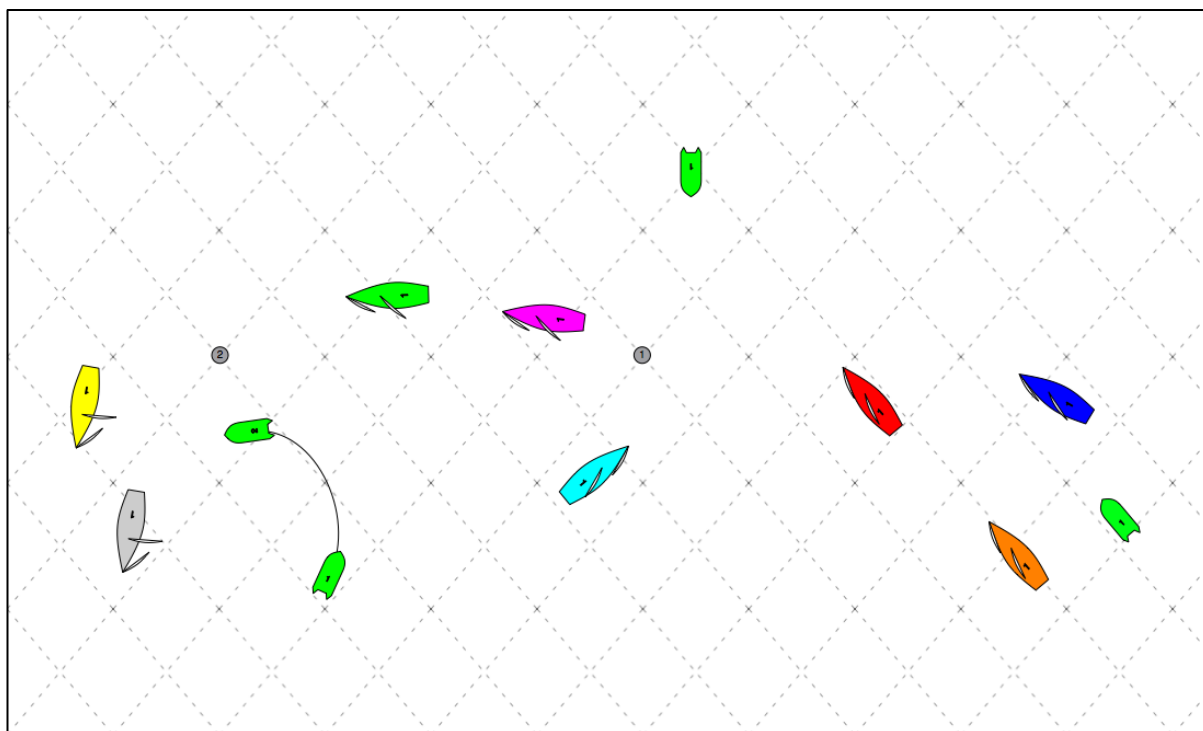
The most likely incidents on the beat are boats tacking onto port and trying to cross boats on starboard. Each umpire boat is responsible for an equal share of the boats, and for covering the incidents on their section of the course.

A good technique is to scan across the boats identifying active pairs and boats which are likely to engage with each other. In the example above, we can see that blue & yellow, and red & orange are active pairs that are relatively close and so the umpires are themselves close, ready to call a potential incident. We can also see purple on port is crossing light blue on starboard, the umpire moves closer and into a position to judge whether the starboard tack boat needs to alter course.

On upwind legs the umpires may find that their positioning is more erratic when fleet racing. This is normal, and umpires should be constantly adjusting their positioning for the next possible incidents. If the umpires need to cross a boat's path, ideally this should be behind the boat rather than in front. If the only option is to cross in front of a sailing boat, this should be done at 90 degrees to the boat's path, and at slow speed to avoid causing too much wake. Ideally drive upwind in a head-to-wind direction as this tends to minimise wake.

Make sure not to be behind the last boat, there is no excuse to be trailing the fleet. It can be tempting to stay outside the fleet or behind the last boat, which would be a more normal position for judging rule 42 for example. Umpires should resist this urge and make sure they are close enough to the fleet to be able to call incidents between boats that might interact. The further you are from the action, the longer it will take you to position yourself once you do see an incident about to happen.

7.7 Windward mark



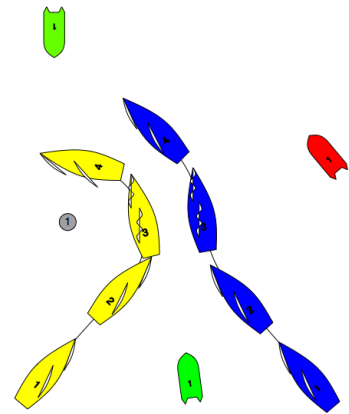
Positioning at the windward mark is one of the most important areas in the race. Incidents are common and there are many things going on at once. Depending on the resources available to the umpire team, certain positions may have to be prioritised. If you must make a choice, concentrate on the boats at the front of the fleet.

In general, it is easiest for the umpire on the right-hand side of the course to go above the top mark, as once all the boat have tacked onto port they will have a gap in which to move forwards to the mark.

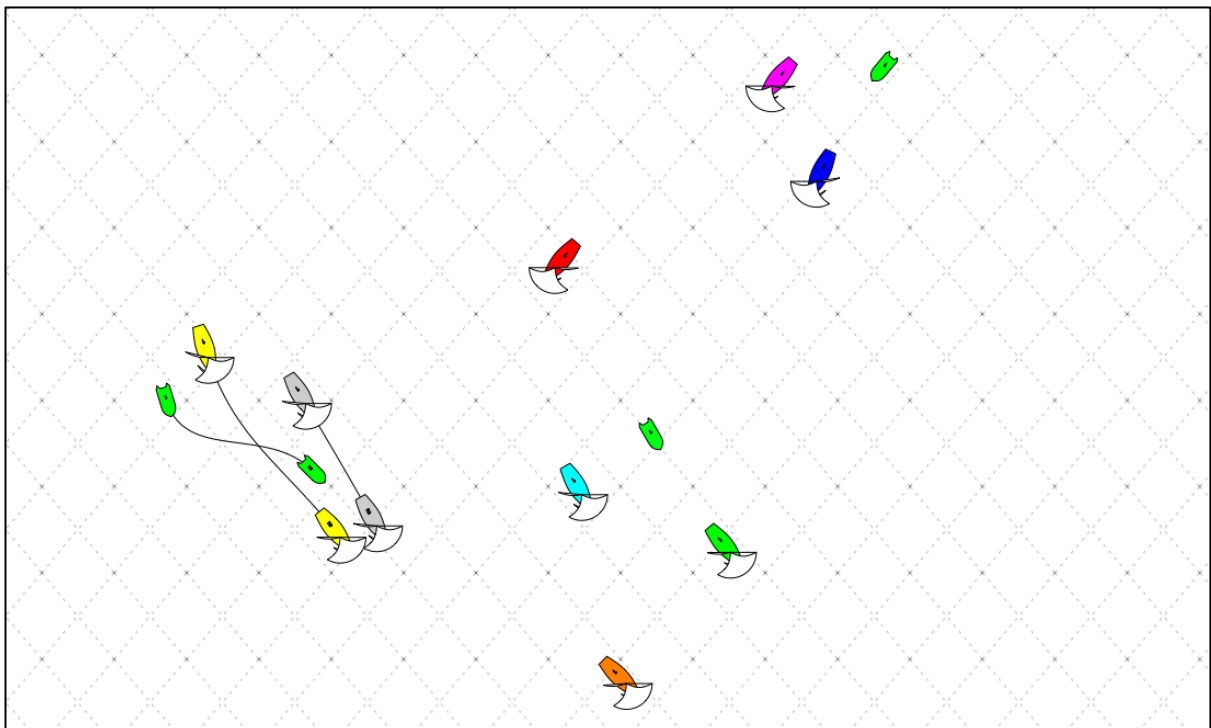
The umpire on the right is in a good place to see the gap between red and blue, and can easily move to windward to judge the zone. If there is no umpire to windward then this umpire boat can move with the first boats on the right-hand side, to position above the windward mark. The umpire on the left-hand side should be ready to pick up the leaders as they round the offset or windward mark and start to sail downwind. From inside the course, the umpire is best placed to see the gap if yellow makes an overlap to leeward of grey. This is a good example of **positioning to make intentions clear**. By turning around to follow the leading boats, this umpire makes it clear to the other umpire boats where they intend to go.

The umpire positioned above the windward mark is very useful especially if there are boats approaching on port that are likely to tack inside the zone. The ideal position for this umpire is on the extension of the starboard layline. From this position, the umpire can easily tell if a starboard tack boat that is fetching the mark, is luffed above close-hauled (when rule 18.3 applies). He is also in a good position to see the gap between the boats as they approach the mark on the same tack

The example on the right shows the best positions for the umpires to call a breach of rule 18.3 (tacking in the zone). The green umpire boats are in good positions to judge whether blue on starboard was forced to luff above close-hauled to avoid yellow. The ideal position is above the windward mark, however below the mark can also be useful (provided this does not interfere with other boats approaching the mark). The red umpire is in a less favourable position, they will be able to see the overlap but is in a bad position to decide if blue is sailing above close-hauled or not, and this is the critical fact the umpires need to be sure of before making the decision in this incident.



7.8 Downwind leg



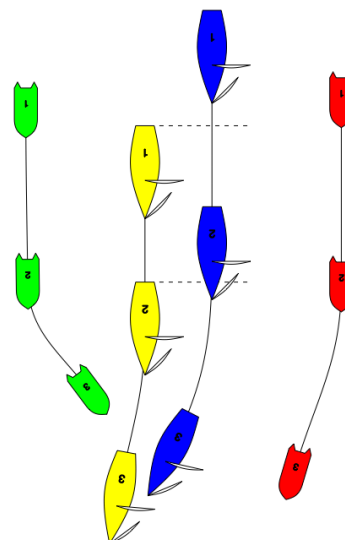
Again, avoid the temptation to stay far away from the fleet. Usually the best positions are that the first umpire boat to leave the windward mark stays on the outside of the fleet, with the remaining umpire boats following on the inside. The most common incident on the downwind leg are port starboard crosses. In order to see these properly it is important not to stay too far outside the fleet, as it will be difficult to get back inside if you need to in a hurry. Note that with fast boats, having the lead umpire outside the fleet is not desirable, as once the boats gybe it will be very difficult to catch up.

The left hand umpires are in a good position to see the overlap between yellow and grey (and whether rule 17 applies). As yellow closes in, they move towards the gap between the boats to decide if grey is keeping clear.

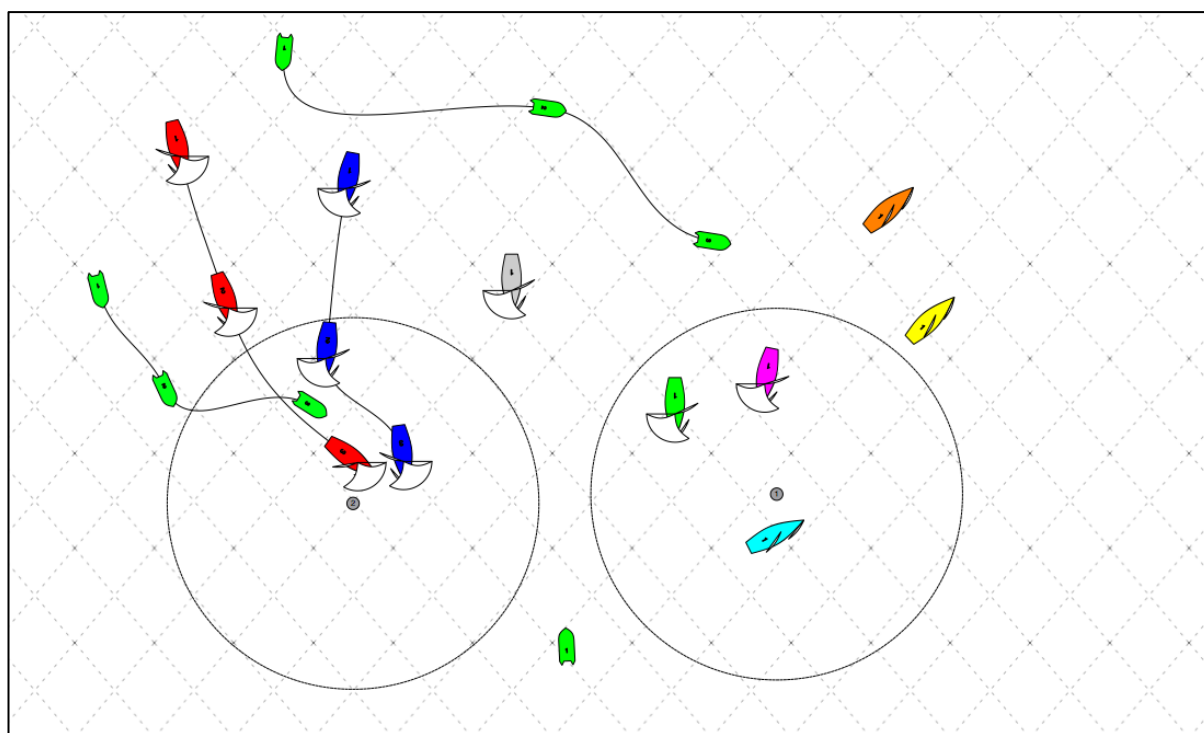
The umpire boat in the middle will also be regularly checking behind them, in case the red boat gybes onto starboard and he will be creating wake for that boat.

The best position to call close incidents on the run is outside the fleet and to windward of the boats (see right). The green umpire is in a good position to see the overlap between blue and yellow. At this point the red umpire is also in a good position, however as blue becomes overlapped to leeward of yellow, the green umpire can move into the gap easily, while the red umpire is unsighted.

If in this situation, there are two umpire boats, one umpire can move into the gap, and the other can 'wing-umpire' by providing overlap information over the radio.



7.9 Leeward mark or gate



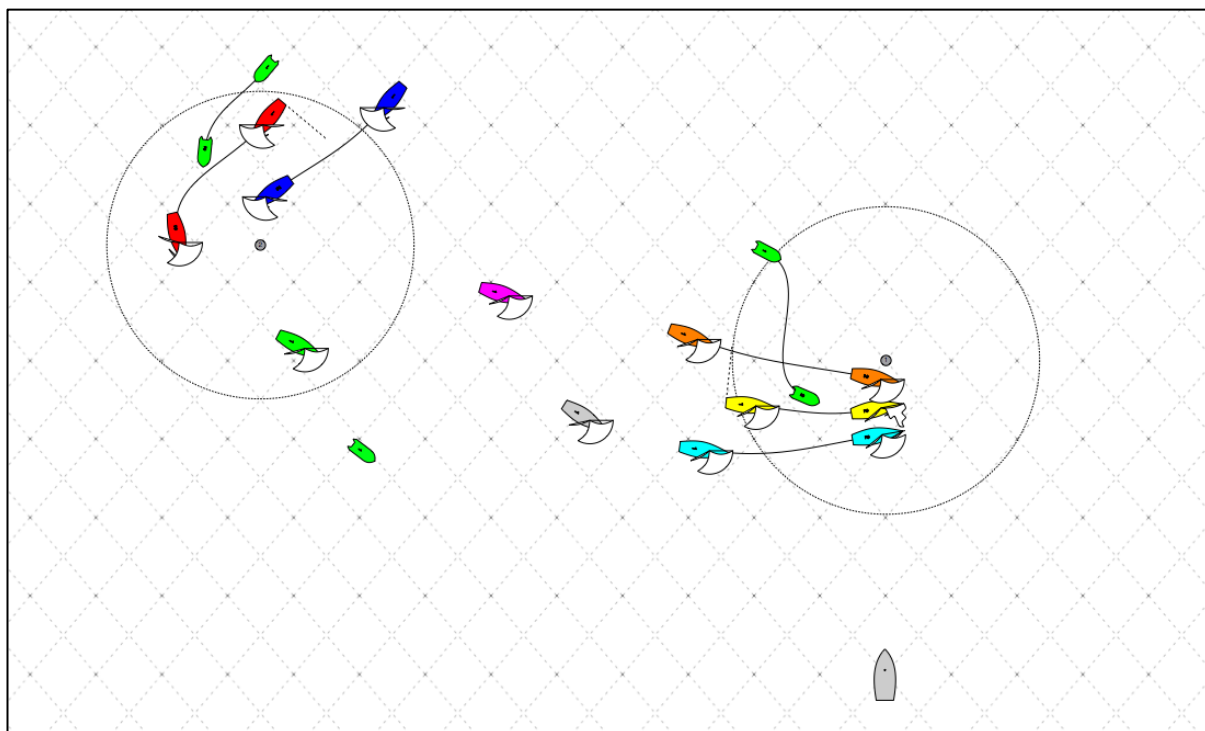
The last umpire boat on the downwind leg should not proceed to the gate, but should get ready to turn around the follow the leaders as they cross on the upwind. The diagram above shows an example of a good handover, as red and blue sail downwind, the umpire following them notes orange and yellow beginning to sail upwind and moves towards them. The umpire moves further forward to pick up red and blue. This

umpire is in a good position to call the zone entry and then afterwards moves between the boats to see the gap as they round the mark.

Positioning below the gate can be very useful and is a safe position where you are not likely to get in anyone's way, however being confident of the overlap between boats is difficult to judge from this position.

This positioning plan is also useful for a downwind finish, and in this case positioning below the finish line should only be done with considerable care.

7.10 Reaching Finish



The umpires must stay close at the finish line, as decisions made here will have a big impact on the finishing positions of the boats. The first umpire to reach the leeward mark should normally position themselves to windward on the reach, from here they can see the overlaps between the boats. The umpire to windward is also in a good position to move in to see the gaps between the boats at the finish mark.

To leeward is also a good position, but be careful not to get too close, especially in strong winds. If a boat loses control with the spinnaker, then you risk being in the way.

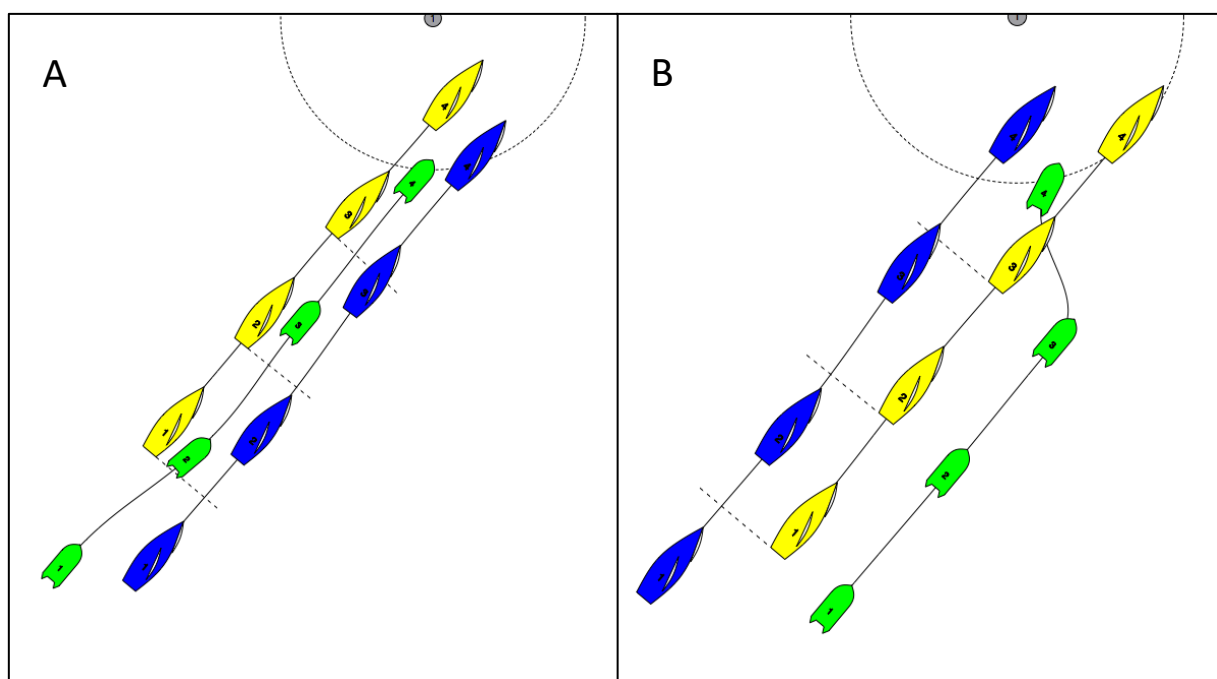
Calls must be made quickly at the finish line, so the umpires must stay close to the boats, ready to signal a penalty if necessary.

7.11 Advanced positioning

Anticipation

Umpires must be able to anticipate potential situations, position themselves accordingly, establish the facts of an incident and then make and signal a decision. With experience, umpires will become familiar with common moves and tactics that boats may use depending on their relative positions. In some cases, an umpire's knowledge of the rules allows them to anticipate which position will be the most useful to get the best view of a potential incident.

Example



In both scenarios above, yellow and blue are approaching a windward mark to be left to port. In scenario **A**, yellow is approaching the mark clear ahead of blue (position 1). As the boats approach the mark there are two possibilities, either yellow will remain clear ahead of blue until she enters the zone (and she will therefore be entitled to mark-room under rule 18.2(b)). The other possibility is that blue will become overlapped outside blue, but in this case blue will also be required to give yellow mark-room. The overlap is therefore not critical to call, and the umpires do not position to see the overlap at the expense of being able to see the gap between the boats. The gap between the boats, and between yellow and the mark will be critical to decide whether mark-room is being given and if yellow is keeping clear.

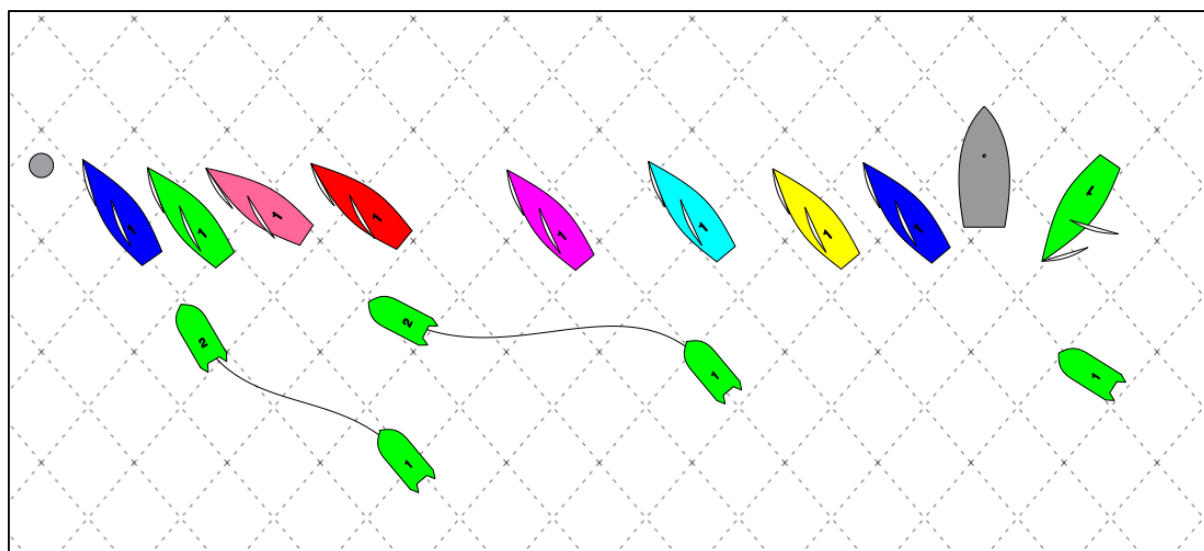
In scenario **B**, yellow is also approaching the mark clear ahead of blue, but this time if blue becomes overlapped, she will be overlapped inside yellow. Therefore, if yellow enters the zone clear ahead, she will be entitled to mark-room. If, however, the boats enter the zone overlapped then blue will be entitled to mark-room. The overlap is therefore critical to the mark-room obligations between the boats, and so the umpires should be positioned to leeward to see it. Once the mark-room relationship has been established, the umpires move into the gap between the boats.

A good knowledge of the rules allows the umpires to anticipate which facts will be critical to deciding an incident. They can therefore position themselves accordingly to have the facts required to make a decision. Umpires should try to get potential tactics into their umpire conversation, discussing the pressure points and likely scenarios. It is also useful to talk about potential rules switches that may occur. This will give them the best chance of being able to anticipate, and being in the right place to make the appropriate decision.

Working as a team

The mark of a good umpire team at a fleet racing event is that every incident is covered, with a minimum of rushing around, and the umpires effortlessly moving in sync with each other.

Example 1

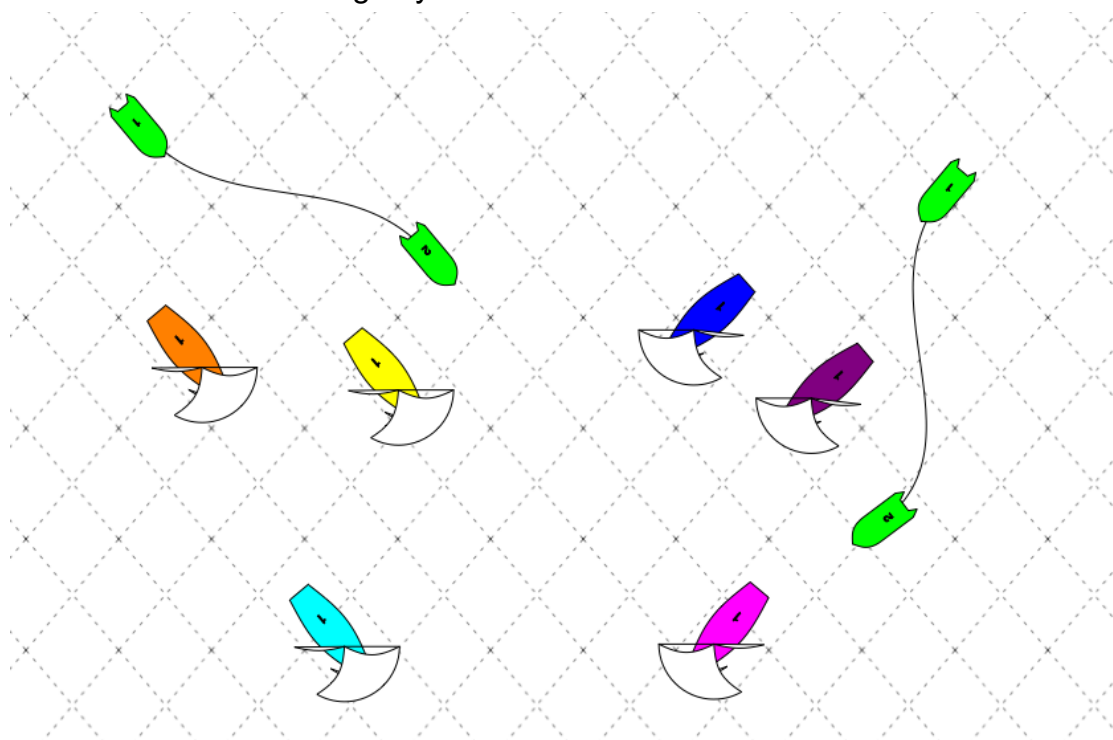


In the last 30 seconds before the start, the boats are lining up along the start line, and the three umpire boats are watching approximately a third of the line each. However, as they approach the start the middle umpire boat realises that its boats have safe positions and are not actively engaging. They then move to support their fellow umpire who is covering the pin end of the line by watching pink and red. This means the leeward most umpire can focus only on the boats in front of them (blue and green). Their positioning confirms this and now the two other umpire boats know which sailboats the middle umpire is watching.

This is just one example of good anticipation and the team work required to efficiently umpire fleet racing. These position changes between the umpire boats should be automatic, no radio calls are needed. Each umpire will constantly be assessing whether their colleagues need help and moving to support them as necessary.

Below is a good example of working as a team on the downwind leg. Several boats are sailing downwind on split tacks and there are about to be some port-starboard crosses. With only two umpire boats to cover 6 boats, the umpires need to prioritise and plan ahead.

The left-hand umpire (following orange and yellow) can easily move to the middle and watch the two crosses between blue and purple on starboard, and yellow and orange on port. By moving to the middle, this umpire boat signals to their colleague what they are watching. The other umpire boat anticipates and responds by moving to cover the cross from which their colleague is blocked. The right-hand umpire is in the best position to move forward and take the very front pair (light blue and purple). By following the track of the starboard boats, the umpire moving forward is protected and can move without disturbing any boats with wake.



Learning when to hand a pair over to a colleague rather than rushing around trying to cover every incident yourself is a key skill to master.

It is very common in an incident like this, for both the umpires to get 'spat out the back' in that they are trailing behind the boats, rather than proactively following them. If this happens then the umpires will miss any incident involving the front pair. This can be avoided by anticipation and positioning accordingly.

Wing-umpiring

Occasionally, umpires may find it useful to provide extra information to another umpire boat, particularly information that they may not be in the best position to see. For example, often the umpires cannot be in a good position to see the overlap between the boats and the gap between them at the same time. Usually the best way to convey this information is over the radio. Such transmissions should be made with care, as the radio often interrupts the conversation between the umpires and may be confusing if it is not clear which boats it relates to. In order to minimise confusion, standard terminology is used.

The most common wing calls used in fleet racing are:

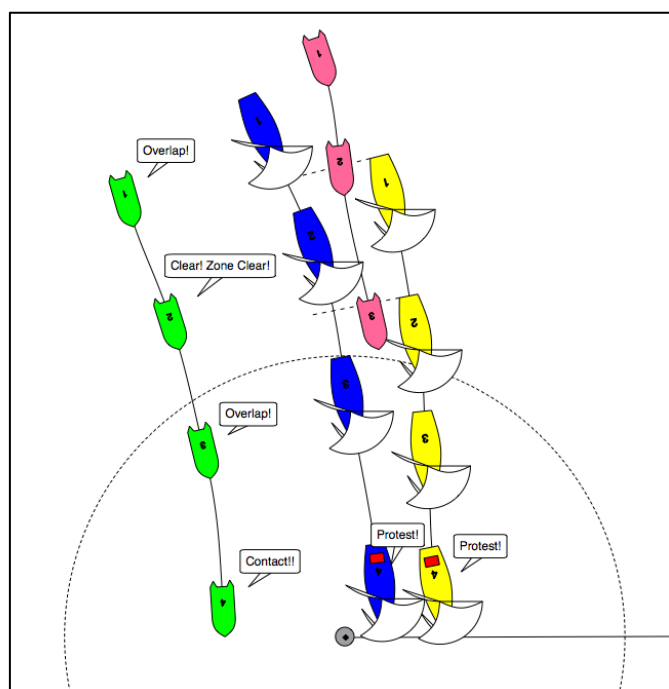
Words said by wing umpire	Meaning
<i>CLEAR</i>	Boats are clear ahead/clear astern
<i>OVERLAP</i>	Boats are overlapped
<i>CONTACT</i>	Contact between the boats or with a mark
<i>NEGATIVE...</i>	Answer 'no'. E.g. when asked by the umpires if there was contact, the wing may respond 'negative'.
<i>AFFIRMATIVE</i>	Answer 'yes'
<i>HOLDING</i>	Holding course
<i>UP</i>	Changing course by luffing
<i>DOWN</i>	Changing course by bearing away
<i>CHANGING</i>	Changing course (in any direction)
<i>BLACKOUT</i>	The wing umpire is in no position to make a call. The situation has changed from the previous call
<i>ZONE (clear/overlapped)</i>	The leading boat has entered the zone of a mark and the boats are overlapped/clear.

When winging for another umpire boat, it is important to identify which boat you are calling. e.g. "sail number 2, holding, holding, holding, changing". As always with umpiring, only give information to the umpires which you are sure about. The word 'black-out' can be used when the boats move to a position where the wing umpires know that the situation may have changed since their previous call but cannot make a new call. For example, the wing umpire called that the boats were 'clear' and then they both move so that the wing can no longer see the transom of the leading boat. The call 'black-out' tells the umpires to disregard the previous 'clear' call.

It is important to stress that you should only wing for a colleague if you have no boats to cover yourself. It is more important to cover the fleet and be in position for all possible incidents.

Example

Finish mark incident



In this incident, at the finish line, the pair that the green umpire boat was following have finished, and so they are free to wing for their colleague pink. Here, as blue and yellow approach the zone, the overlap between them will be critical. As the green umpire boat moves into the wing position to call the overlap, the pink umpire boat can move into the gap between the boats. The wing umpire calls either 'overlap' or 'clear' and finally 'zone clear' to indicate that the leading boat has entered the zone clear ahead. This gives the umpires critical information that will allow them to apply rule 18 with confidence.

A good general principle is that the radio should be used to pass facts to another umpire that they may not be able to see, rather than to tell the other umpires where you intend to go.

Further information on wing-umpiring can be found in the World Sailing IU Match Racing Manual.

Section 8

Hearings & Redress

8 Hearings and Redress

It is important to emphasise that while a lot of the formality of hearings is reduced, it remains essential to follow the hearing process.

Redress

Under the standard Addendum Q, the availability of redress is very limited. Q1.2(e) removes rules 62.1(a), (b) and (d). This leaves only redress under rule 62.1(c).

In addition, Q5.1 prevents any kind of proceedings in relation to action or non-action of the umpires.

The combined effect of this means there is **no** redress available for:

- improper actions or omissions of the race committee, protest committee or technical committee;
- physical damage or injury caused by a boat breaking a rule of Part 2;
- action by a boat or crew member which resulted in a penalty under rules 2 or 69;
- a wrong decision of the umpires;
- no decision of the umpires (when there should have been one); and
- interference by an umpire boat.

Redress is only available under rule 62.1(c), which means a boat must show in a hearing that it meets all the following conditions:

- there is a claim or possibility her score or place in the race/series has been made worse
- this was through no fault of her own
- the worsening of the score / place was significant; and
- the worsening was due to giving help to a person or vessel in danger

Due to the nature of umpired fleet racing (including the resources and officials boat needed to run it), it is very unlikely that redress would be sought under these grounds. However, if the conditions are satisfied, then redress may be awarded by the protest committee, and this is governed by rule 64.2.

Therefore, the usual redress requests made by competitors will not succeed if racing under Addendum Q. However, it is important to note that a boat still has the right to request redress under Q2.4(c). A protest committee cannot refuse to hear a request just because it knows that it is doomed to fail – it must still conduct a hearing and rule on its validity (albeit this process may not take much time).

In order to request redress, a boat must comply with Q2.4 by hailing the race committee before or during the display of flag B (the protest committee may extend this time limit if there is good reason to do so). There is no requirement for the boat to display a red flag.

Fair racing

With the removal of rule 62.1(a), there is no ability for a boat to challenge decisions made by the race committee. This highlights the importance of the race committee conducting fair racing and ensuring the results (including any OCS calls) are correct. There is no ability for anyone – the race committee and umpires included – to correct errors through the redress procedure after the race (although the race committee may still act under rule 90.3(c)).

It is important that the Chief Umpire and Race Officer discuss in advance of the race the procedures for discussing issues concerning fair racing. The umpire team as a whole must understand how to communicate any concerns about the fairness of racing and ensure this is done in a timely way.

Damage

Under Q2.4(b), a boat may protest another boat following the race for breaking rule 14 if damage or injury occurred. This cannot be done during the race, so the umpires cannot impose a penalty for a breach of rule 14 during racing (they may still penalize a boat for a breach of the other rules of Part 2).

In order to protest, a boat must comply with Q2.4 by hailing the race committee before or during the display of flag B (the protest committee may extend this time limit if there is good reason to do so). There is no requirement for the boat to display a red flag.

In addition to the right of a boat to protest, the protest committee retains its ability to protest a boat for a breach of rule 14. Any umpire may, based on his own observations or following a report from any source, inform the protest committee of an incident and the protest committee may then protest under rule 60.3.

However, an umpire must not inform the protest committee of a potential breach of rule 14 unless there is contact or injury and the protest committee itself cannot protest under rule 14 unless there is damage and injury as well.

Following a protest and a hearing, the protest committee must decide how to penalise a breach of rule 14. The breach itself is decided under the normal application of rule 14 – noting that rule 14(b) is effectively irrelevant as there must be damage or injury in order to proceed with the protest.

If the protest is upheld, the protest committee must first consider whether the boat has exonerated herself under the usual principles of rule 44.1 (i.e. if there is no injury, no serious damage, no significant advantage and a penalty turn was taken, then the boat will have exonerated herself and is not to be penalised further under rule 64.1).

However if there was injury, serious damage, significant advantage or no penalty turn taken, then the boat is not exonerated and the protest committee must then

decide under Q5.3(c), if the breach of the rule had an effect on the outcome of the race.

If it did affect the outcome, then it must disqualify the boat that broke rule 14.

If it did not affect the outcome, then the protest committee may impose a penalty of points or fraction of points or make any other arrangement it decides is equitable (which may be to impose no penalty).

Hearing procedure

It is vital that the umpire team have discussed and agreed in advance the procedures to be used to conduct hearings. This must not be left to the last minute nor ignored as unlikely to happen. This should include:

- Ensuring all umpires are aware of the rules and procedures governing hearings under Addendum Q
- Designating which umpires will liaise with the technical committee over any pre-race inspection issues
- Where and when hearings will be held both pre and post-race (and who will make this decision)
- Ensuring the race committee is aware of the B flag procedure
- Who will liaise with the race committee post-race
- Deciding who will decide whether or not the protest committee will protest following a report to it
- Ensuring there is a procedure in place to deal with notifications under Q5.3(d)
- How updates will be given to the media about (a) what is happening and (b) the results of any decisions

Remember that Q5.3(a) states that there is no need to put protests or requests into writing and Q5.3(c) allows the protest committee to take evidence and conduct the hearing in any way it considers appropriate and to communicate its decision orally (although it is best practice to write up the decision after racing).

**Q5 PROTESTS; REQUESTS FOR REDRESS OR REOPENING; APPEALS;
OTHER PROCEEDINGS**

Q5.1 No proceedings of any kind may be taken in relation to any action or non-action by an umpire.

Q5.2 A boat may not base an appeal on an alleged improper action, omission or decision of the umpires. A party to a hearing may not base an appeal on the decision of the protest committee. In rule 66 the third sentence is changed to 'A *party* to the hearing may not ask for a reopening.'

- Q5.3**
- (a) Protests and requests for redress need not be in writing.
 - (b) The protest committee may inform the protestee and schedule the hearing in any way it considers appropriate and may communicate this orally.
 - (c) The protest committee may take evidence and conduct the hearing in any way it considers appropriate and may communicate its decision orally.
 - (d) If the protest committee decides that a breach of a rule has had no effect on the outcome of the race, it may impose a penalty of points or fraction of points or make another arrangement it decides is equitable, which may be to impose no penalty.
 - (e) If the protest committee penalizes a boat in accordance with instruction Q5.3 or if a standard penalty is applied, all other boats will be informed about the change of the penalized boat's score.

Q5.4 The race committee will not protest a boat.

Q5.5 The protest committee may protest a boat under rule 60.3. However, it will not protest a boat for breaking instruction Q3.2 or rule 28, a rule listed in instruction Q2.1, or rule 14 unless there is damage or injury.

Q5.6 The technical committee will only protest a boat under rule 60.4 when it decides that a boat or personal equipment does not comply with the class rules, rule 43, or the rules in the equipment regulations of the event, if such exist. In such a case, the technical committee shall protest.

Section 9

Self-development

9 Self-Development

All umpires should aim to improve their own performance and further their own development as an umpire. Every event an umpire does provides a valuable learning opportunity.

Improvement as a team

Events provide unique opportunities for the umpire team to work together to improve as a team. End of day debriefs for the umpire team can be useful to identify common areas of weakness. Possible discussion topics include perfecting a positioning plan for the particular event, interesting calls which may need to be discussed, and common issues that might need to be brought to the attention of the whole team. Model boats are useful for discussing situations.

Improving techniques

It is useful for the umpires who are working together to quickly debrief at the end of each race. Particularly if there was an incident during the race where the conversation did not lead directly to the decision, and there was some confusion about the correct call. The umpires can quickly identify a problem that might be improved for the next race. For example: "I talk too much/too little", "I call the wrong boat", "I don't spot obstructions".

Writing up scenarios

One of the best ways to work through a complex scenario is to write it up as a draft call, and to consider how the rules apply. Considering...

- What rules apply? Is there a mark-room issue?
- What are the critical facts? Where is the best position to see them?
- Is there an advantage issue? Was the breach deliberate?

It can also be useful to consider the best form of umpire conversation that would follow the incident you have written up. How could you best make sure that the decision follows immediately from the conversation?

Other ideas for self-improvement

- Umpire other disciplines (match racing, team racing etc.)
- Coach sailors
- Write up calls and submit as rapid response calls
- Do different events (keelboat, dinghy, medal races)
- Do more lower level events (with fewer resources, and hence more challenging)
- Mentor other umpires

No matter how much experience as an umpire has, all umpires should constantly review their own abilities and identify areas on which to improve.

It is important to remember that everyone makes mistakes and these are part of the learning process. We often learn the most from the calls that we got wrong, not those we got right. Mistakes help you identify areas for improvement.

Section 10

Further reading

10 Further Reading

IU Manuals and Calls

World Sailing International Umpire Manual for Team Racing

[http://sailing.org/tools/documents/TeamRacingUmpireManualJune2018-\[24091\].pdf](http://sailing.org/tools/documents/TeamRacingUmpireManualJune2018-[24091].pdf)

World Sailing International Umpire Manual for Match Racing

[http://sailing.org/tools/documents/UmpiresMRManualupdatedraft1602SectionQreplaced-\[23276\].pdf](http://sailing.org/tools/documents/UmpiresMRManualupdatedraft1602SectionQreplaced-[23276].pdf)

Rapid response calls

<http://www.sailing.org/raceofficials/rapidresponsecalls/index.php>

Medal races using Addendum Q, advice to umpires

[http://www.sailing.org/tools/documents/Umpiredfleetracingadvice toumpiresAW-\[22904\].pdf](http://www.sailing.org/tools/documents/Umpiredfleetracingadvice toumpiresAW-[22904].pdf)

World Sailing medal race umpiring presentation

[http://www.sailing.org/tools/documents/1MedalRacePresentationJULY20170709-\[23703\].pptx](http://www.sailing.org/tools/documents/1MedalRacePresentationJULY20170709-[23703].pptx)

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