## Johan Lindholm

# The Court of Arbitration for Sport and Its Jurisprudence

An Empirical Inquiry into Lex Sportiva





Johan Lindholm Department of Law Umeå University Umeå. Sweden

ISSN 1874-6926 ISSN 2215-003X (electronic)
ASSER International Sports Law Series
ISBN 978-94-6265-284-2 ISBN 978-94-6265-285-9 (eBook)
https://doi.org/10.1007/978-94-6265-285-9

Library of Congress Control Number: 2018966862

Published by T.M.C. ASSER PRESS, The Hague, The Netherlands www.asserpress.nl Produced and distributed for T.M.C. ASSER PRESS by Springer-Verlag Berlin Heidelberg

© T.M.C. ASSER PRESS and the author 2019

No part of this work may be reproduced, stored in a retrieval system, or transmitted in any form or by any means, electronic, mechanical, photocopying, microfilming, recording or otherwise, without written permission from the Publisher, with the exception of any material supplied specifically for the purpose of being entered and executed on a computer system, for exclusive use by the purchaser of the work. The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

This T.M.C. ASSER PRESS imprint is published by the registered company Springer-Verlag GmbH, DE part of Springer Nature

The registered company address is: Heidelberger Platz 3, 14197 Berlin, Germany

#### **Series Information**

Books in this series comprehensibly chart and analyse legal and policy developments in the emerging field of European and international sports law.

The series uniquely features contributions from leading sports law scholars and is the most cited in its field. It is a valuable resource for practitioners, academics, sports officials, and anyone interested in or impacted by sports and the law.

#### **Series Editors:**

Prof. Dr. Ben Van Rompuy Leiden University, The Netherlands Vrije Universiteit Brussel, Belgium

Dr. Antoine Duval T.M.C. Asser Instituut, The Netherlands

#### **Editorial Office**

ASSER International Sports Law Centre T.M.C. Asser Instituut P.O. Box 30461 2500 GL The Hague The Netherlands AISLC books@asser.nl



### **Preface**

If I had to write one of those snappy back cover blurbs for this book, I might go with "a book written by a law geek for other law geeks". I first encountered and began conducting empirical studies of large sets of legal materials about six years ago. Ever since I began working on my doctoral thesis, I have had one foot in constitutional law and particularly the constitutional law of the European Union. Researching EU law inevitably involves sifting through a substantial number of decisions by the Court of Justice, searching for patterns and meaning that are sometimes rather obscure. It has therefore been very exciting to discover, together with my friend and colleague Mattias Derlén, that methods commonly used in other research fields provide great assistance when exploring the proverbial haystack. Through this process, I have become a great believer in the promise of exploring legal questions and legal assertions using real-world data, an approach to legal research that is frequently referred to as empirical legal studies. <sup>1</sup>

Since my other foot is firmly placed in the field of sports law, I naturally began to consider how this field might benefit from empirical legal studies and the Court of Arbitration for Sport (CAS) was an obvious candidate. CAS is a central actor in international sports and in the development of international sports law, and the institution has therefore attracted much attention by lawyers and non-lawyers alike. Also, the data necessary to conduct such studies is available as it is relatively easy to get access to at least a significant portion of CAS's decisions. I therefore started collecting CAS decisions wherever I could find them in 2014 and, with the help of my research assistants Ellen Dalsryd and Johan Olsson (thank you guys!), began extracting information from the decisions and compiling a dataset. With indispensable economic backing by the Swedish Research Council for Sport and the School of Sport Science at Umeå University (thank you for believing in this project!), I began analysing this dataset seeking to empirically explore questions and

 $<sup>^{\</sup>rm 1}\,{\rm This}$  is a quite broad field of research that includes a rich variety of research interests and approaches.

<sup>&</sup>lt;sup>2</sup> As evidenced by the fact that when I have told people at parties that I am writing a book about CAS, many have actually been interested!

viii Preface

claims about CAS posed by sports stakeholders and sports lawyers and to replicate previous empirical studies of arbitration institutions for CAS. I would estimate that somewhere between 10,000 and 15,000 lines of code went into conducting what you now have in front of you. I want to thank the people at T.M.C. Asser, particularly Antoine, Ben, and Frank, for giving me this great opportunity to study CAS and to experiment with methods that are not part of the legal researcher's standard toolbox.

I imagine that the main audience for this book are sports lawyers. In my experience, sports lawyers are very interested in CAS and its jurisprudence but generally neither familiar with nor particularly interested in such things as statistics, network analysis or machine-learning-assisted text analysis. I have therefore sought to strike a balance where I try as far as possible to concentrate the main text on legal questions and legal implications. That has, however, not always been possible, and I thank in advance for the reader's patience if I at times geek out. However, I am hoping that this book may also provide something to readers that are interested in empirical legal studies, arbitration law and transnational law.

Having conducted and presented empirical legal studies for some time, I have received different types of responses and I expect the same will be true for this study. This book is not intended to provide and does not provide answers to all questions relating to CAS, nor will it provide the final answers to the questions that it seeks to answer just because it is based on empirical evidence. I hope that this book can inspire and assist further research into CAS and its jurisprudence.

Paris, France July 2018 Johan Lindholm

# **Contents**

Pa	rt I I	ntroduction			
1	Cour Suprême du Sport Mondial				
	1.1	The First Thirty Years			
	1.2	Studying the Judge: CAS as an Arbitration Court			
	1.3	Studying a Legal Bumblebee: CAS and the Development			
		of a Transnational Legal Order			
	1.4	Descriptive and Critical, Doctrinal and Empirical			
	1.5	Data Collection, Confidentiality, and Public Access			
	1.6	Law as Network			
	1.7	Organization of the Book			
	Refe	rences			
2	CAS	: An Overview			
	2.1	Organizational and Regulatory Framework			
	2.2	Jurisdiction			
	2.3	Formation			
	2.4	Sports and Subject Matters			
	Refe	rences			
_					
Pa	rt II	The Jurisprudence			
3	The Lay of the Land: The Topography of CAS Jurisprudence				
	3.1	Treasure Islands(?)			
	3.2	Let's Stay Connected			
	3.3	Requests In, Decisions Out			
	3.4	Requests In, and Then What?			
	3.5	References Out			
	3.6	References In			
	Refe	rences			

x Contents

4	CAS	Decisions as Precedent	85		
	4.1	Precedent and Non-arbitrary Arbitration	85		
	4.2	Horizontal Precedent	91		
		4.2.1 What CAS Says: CAS on CAS Decisions			
		as Precedent	91		
		4.2.2 What CAS Does: Habit of Adherence	94		
		4.2.3 <i>De Facto</i> Stare Decisis	100		
	4.3	Vertical Precedent	102		
	4.4	Looking Forward and Setting the Right Precedent	106		
	4.5	Unpublished Decisions as Precedent	108		
	4.6	System-Arbitrator-Precedent	113		
	Refe	rences	115		
5	CAS	's Landmark Decisions	119		
	5.1	Importance of Important Decisions	119		
	5.2	Degree Distribution: A Few Good Cases	121		
	5.3	CAS's High Impact Decisions	125		
	5.4	Good or Just Old? The Example of Strict Liability			
		and Proportional Sanctions	132		
	5.5	Strategically Placed Decisions	138		
	5.6	Characteristics of Landmark Decisions	141		
	Refe	rences	143		
6	Stru	cture of CAS's Jurisprudence	145		
	6.1	The Importance of Structure	145		
	6.2	Communities	146		
		6.2.1 Three Approaches to Community Detection	146		
		6.2.2 LDA Topic Modelling	148		
		6.2.3 Understanding Topics	149		
		6.2.4 Co-citation Clustering	159		
		6.2.5 Subjects, Topics, and Clusters Compared	163		
	6.3	Connections	167		
		6.3.1 Precedential Power: Leader of the Pack?	167		
		6.3.2 Persuasive Power: With a Little Help			
		from My Friends?	174		
		6.3.3 Inter-Community Influence: All by Myself?	179		
	6.4	What We Might Have Missed	182		
	Refe	rences	182		
7	CAS	CAS's Normative Contribution			
	7.1	Norms, Rules, and Principles, in and from CAS	185		
	7.2	Constitutional and Administrative Norms: Allocation			
		and Exercise of Power	191		
	7.3	Respect for Fundamental Rights	199		
	7.4	Procedural Norms: CAS on Being Before CAS	204		
	7.5	Methodological Norms: Norms for Determining Norms	206		

Contents xi

	7.6	Sanctions and Remedies	209
	7.7	Method, Madness, and Magpies	212
	Refe	rences	215
Par	t III	The Actors	
8	CAS	Arbitrators and Their Relationships	219
	8.1	CAS as a Human Network	219
	8.2	The Appointable Arbitrator	220
	8.3	The Appointed Arbitrator	222
	8.4	The Co-appearing Arbitrator	228
	8.5	The Football Arbitrator	232
	8.6	The Influential Arbitrator	235
	8.7	The Repeat Arbitrator	240
	8.8	The Compatriot Arbitrator	251
	8.9	The President Arbitrator	254
	8.10	The Sole Arbitrator	258
	Refe	rences	259
9	The	Characteristics of CAS Arbitrators	261
	9.1	Who the Arbitrators Are and Why It Matters	261
	9.2	Demographics of CAS Arbitrators	264
		9.2.1 Age	264
		9.2.2 Gender	267
		9.2.3 Professional Background	269
		9.2.4 Geographic Origin	270
		9.2.5 Towards Increased Diversity	
		and Representativeness	274
	9.3	The Role of Legal Tradition	275
	9.4	The Role of Language	281
	Refe	rences	284
10	CAS	from the Litigants' Perspective	287
	10.1	Forms of Arbitration	287
	10.2	Individuals as CAS Litigants	292
	10.3	Clubs as CAS Litigants	297
	10.4	Sports Governing Bodies as CAS Litigants	299
	10.5	Geographic Origin of CAS Litigants	303
	10.6	The Roles of CAS	310
		rences	312
Tal	ole of	Cases	313
		Sources	329
		30urces	
Ind	ex		345