***Template Format (with advisory annotations) for a Statement of Claim for determination by Access Dispute Adjudication (“ADA”) in accordance with the provisions of Chapter G of the HAL ADR Rules***

***This template, as required by HAL ADR Rule G17(a) is to be used by the Claimant Dispute Party to prepare a Submission for an ADA hearing. Within the template, text in italics is advisory, and should, once taken into account, be deleted from the final document.***

### ***Preamble***

*The HAL Access Dispute Resolution Rules provide that*

***“All disputes referred to resolution in accordance with these Rules under Condition B2.4.4 of the HAL Network Code shall be referred to an ADA in accordance with Chapter G of these Rules as a single stage dispute resolution process with no appeal. Following service of a Notice of Dispute relating to such a dispute Rule G9 shall apply and a Procedure Agreement shall be drawn up by the Secretary accordingly.***

***All disputes referred to resolution in accordance with these Rules under Condition J5 of the HAL Network Code shall be referred to an ADA in accordance with Chapter G of these Rules with a right of appeal to the ORR for determination in accordance with Part M of the HAL Network Code. Following service of a Notice of Dispute relating to such a dispute Rule G9 shall apply and a Procedure Agreement shall be drawn up by the Secretary accordingly.”*** *[HAL ADR Rules B6 and B7 “Allocation Process”]*

*In addition,*

* *Dispute Parties may, in accordance with ADR Rule B10, agree within a formal “Procedure Agreement” that an ADA is the most appropriate determination procedure for their particular dispute, or,*
* *where the Parties cannot agree which is the most appropriate determination procedure for their particular dispute, the Allocation Chair shall preside over the process set out in Rule B13, which may result in the formulation of a Procedure Agreement providing for the Parties to submit to the determination of an ADA.*

*The detailed Management and Determination of each individual dispute heard by an ADA shall be subject to the direction of the Hearing Chair (as appointed by the Secretary as provided in ADR Rules B15 and G9). ADR Rule G11 provides that,*

***“Upon appointment, the Hearing Chair shall adopt procedures suitable to the circumstances of the case, avoiding unnecessary delay or expense to provide a fair means for the resolution of the matters falling to be determined. The Hearing Chair may give appropriate directions as to any or all aspects of the procedures to be followed and shall have the power at any time to make or amend the procedure (and the directions) to be followed by the parties in the ADA. The directions shall be in accordance with the Principles.”*** [*ADR Rule G11]*

*ADR Rule G16 provides the Hearing Chair with discretion to amend the procedures*

***“The ADA process is flexible and may be adapted by the Hearing Chair to accommodate disputes of differing complexity and size and requiring different levels of evidence. The Hearing Chair shall therefore actively consider whether variations on the standard directions (which are for a straightforward matter) set out in Rule G17 are appropriate”*** *[Rule G16]*

*Template formats corresponding to the requirements set down in ADR Rule G17(a) are provided in order that the Parties shall be prompted to ensure that all material relevant to their respective arguments are available to the laid down timescale (i.e ADR Rule G17, or as modified in the Procedure Agreement)*

* *to the other Dispute Party (Parties), and*
* *subject to confidentiality considerations, to be published on the ADC website;*

*always bearing in mind that*

**“*The length of every reference and response shall be in proportion to the nature and complexity of the dispute. Unless otherwise agreed by the Hearing Chair, the maximum length of submissions shall be as follows:***

***a statement of claim… shall be no longer than 20 pages;”.*** *[ADR Rule G22(a)],*

*and that*

***“An Access Dispute Adjudication (ADA) under these Rules is a determinative dispute resolution process in which, with the benefit of advice from independent railway Industry Advisors, a Hearing Chair determines the dispute in a timely and efficient manner on the basis of the parties' respective legal rights in accordance with the evidence and argument presented to him.”*** *[ADR Rule G1]*

*THE TEMPLATE*

1. **DETAILS OF PARTIES**
   1. The names and addresses of the parties to the reference are as follows:-
      1. *[Full Company name* Limited*]* (Company number *xxxxxxxxxx*) whose Registered Office is at *[Full address]* *("[insert short form or abbreviation for Company name]*" ("the Claimant")); and
      2. [*Full company name* Limited] (Company number *xxxxxxxxxx*) whose Registered Office is at [*Full address*] *("[insert short form or abbreviation for Company name]*" ("the Defendant")).
      3. *Include correspondence address, contact details and e-mail address if different.*
   2. *Where the Claimant is aware that any third party may be affected by the ADA finding in any of the ways sought in this reference, it should ensure that this information is conveyed to the Secretary of the ADC at the earliest possible opportunity, and the names of the relevant parties recorded here. The affected Parties can seek the guidance of the Hearing Chair (via the Secretary) as to any format to be used in respect of their representations.*
2. **THE CLAIMANT’S’ RIGHT TO BRING THIS REFERENCE**
   1. This matter is referred to an Access Dispute Adjudication (“ADA”) for determination in accordance with *Section [ ] of [ ] contract/Condition [ ] of the [HAL Network Code]* *\*delete as appropriate.*

*The Claimant needs to make explicitly clear what provisions of its contract entitle, or direct, it to bring its dispute before an ADA. This means a summary, but with verbatim quotations, of those terms of the contract that direct the parties how they should reach agreement, or, where this fails, what form of dispute resolution they should take, making specific reference, where appropriate, to the provisions of ADR Rules B6, B7 or B8, or any Procedure Agreement between the Parties.*

1. **CONTENTS OF REFERENCE**

This Statement of Claim includes:-

* + 1. The subject matter of the dispute in Section 4;
    2. In Section 5, a detailed explanation of the issues in dispute prepared by the Claimant;
    3. In Section 6, the decisions of principle sought from the ADA in respect of
       1. legal entitlement, and
       2. remedies;
    4. Appendices and other supporting material.

1. **SUBJECT MATTER OF DISPUTE**
   1. *Provide very brief details of the dispute. For example:* 
      1. *“a dispute regarding the allocation of delay responsibilities”*
      2. *“a dispute as to the transfer or use of Access* *Rights”, or*
      3. *a dispute as to the proper application of Station Access Condition X”*
   2. *Provide brief details of such relevant background information as is necessary to ensure a common level of understanding of all members of the ADA, including details of the contractual framework surrounding the obligations of the parties in relation to the dispute.*
   3. *If the Underlying Contract lays down any process, with defined stages, that must be completed before the parties can agree they are in dispute (e.g. consultation, responses within a set timescale, decision with reasons), these need to be stated and evidence given about the extent to which these requirements have been complied with.*
   4. *Then provide details of the all provisions of the Underlying Contract, including any relevant Condition in the HAL Network Code, or Access Conditions, as well as any particular provisions of the Access Contract that the dispute relates to, or is associated with. For example:-*

*This dispute arises over the interpretation of Condition ● of the HAL Network Code/Access Conditions /section ●/Schedule ● of the Track/Station/Depot Access Contract*

* 1. *Ensure that a copy of the relevant extract(s) from the document(s) referred to above is/are provided as Appendices.*

*NOTE : It can be assumed that an ADA will have access to a current edition of the HAL Network Code. However,*

* *if the dispute derives from actions taken (or not taken) before the date of introduction of the relevant pages of the current HAL Network Code, the Claimant should ensure that the ADA is supplied with the relevant pages of the applicable version*
* *the Claimant should not assume that the ADA members have personal copies or knowledge of the relevant parts (in particular any Schedules) of the specific access agreements in dispute whether or not governed by Model Clauses. The Committee Secretariat is available to give advice.*
  1. *Provide details of any other documents that are relevant to the dispute. The relevant parts must also be copied and annexed to this Reference.*

1. **EXPLANATION OF EACH ISSUE IN DISPUTE AND THE CLAIMANT’S ARGUMENTS TO SUPPORT ITS CASE**
   1. *Issue 1*
   2. *Issue 2*
   3. *etc.etc.*

*Dispute Parties should keep in mind that the ADA needs to be given*

* *a clear and logical exposition of the sequence of factors that support the Claimant’s position.. Where the argument requires reference to any contractual provision, the precise extract should be quoted verbatim;*
* *a clear statement of each point where the Claimant is in dispute, such that the extent of the differences between the parties can be clearly appreciated;*
* *clarification in respect of each point of difference whether the issue is primarily one of principle, or of quantification in respect of a specific instance or instances;*
* *a clear summary of the practical implications of the dispute (e.g. numbers of trains potentially affected, ditto passengers or freight customers, order of magnitude of any financial impact). Given the provisions of ADR Rule G5, requiring the ADA to* ***“be administered in a way which is proportionate to …the objective importance of the dispute to the Dispute Parties”*** *then even in cases of “principle”, the ADA is reasonably entitled to know how the business of the Party is affected by any possible outcome of the dispute..*
* *guidance as to any aspects of the dispute that could be contentious, but which the parties do not wish the ADA to address. This could include instances where, for example, the Parties have agreed to test a matter of principle, but reserve to themselves the consequent negotiation of any settlement of quantum.*

1. **DECISION SOUGHT FROM THE ADJUDICATION**

*6.1 The Claimant should set out the outcome it is seeking from the ADA’s determination, differentiating between*

*6.1.1 the matters of principle*

*6.1.2 specific conclusions deriving from those matters of principle.*

*In all its arguments and representations, the Claimant should remember that the ADA is constrained by* ***ADR Rule A5*** *which states*

***“Each and every Forum shall reach its determination on the basis of the legal entitlements of the Dispute Parties and upon no other basis. Each and every Forum shall act in accordance with the law; and all its decisions, including its determinations and decisions on procedure, shall be in accordance with the law.”***

*The Claimant will have a clear reason why it has not already settled the dispute and the result that it wishes the ADA to deliver. There is need therefore for it to set down clearly what it wants the ADA to find in its favour.*

* *Logically, when preparing the submission, the decision sought from the ADA should be the first thing finalised, and arguments marshalled to support the case for that outcome. That said, the Claimant should be clear that the decision sought is one that an ADA can give. Pleas such as “that party X exceeded its rights/ did not comply with its obligations under Para y of z”, or “party Q has not acted reasonably in relation to the discretions it is empowered to exercise by the relevant contracts;” are matters of entitlement and do accordingly fall within the ADA’s jurisdiction.*
* *By contrast, an ADA will not support any contention that asks it, for example, to give a ruling that a contract is unfair and/or needs to be changed, because any such determination would not derive from either the Access Dispute Resolution Rules, or an effective individual Access contract, and would therefore be beyond the ADA’s powers.*
  1. *List any specific remedies. For example “as a result of the decided principle(s) above, the Defendant is to pay £X to the Claimant”*

*Remedy is what the aggrieved Dispute Party contends it should be granted if the ADA finds in its favour. This should be considered carefully because access agreements are frequently prescriptive about such matters and there are no benefits to be won from advancing arguments for remedies that lie outside the ADA’s powers which are governed by* ***ADR Rule******A6****, which states:*

***“Each and every Forum shall:***

1. ***where the Access Conditions or Underlying Contract require that a specific remedy be granted, grant that remedy accordingly; or***
2. ***Where a specific remedy is provided for at law, grant that remedy accordingly; or***
3. ***where the choice of remedy is not a matter of entitlement but is a question properly falling within the discretion of the Forum, exercise that discretion in accordance with any requirements and criteria set out in the Access Conditions and Underlying Contract after due consideration of all remedies and orders that could properly be made.”***

*Where a Claimant wishes to argue for an exercise of “discretion” as in (c) above, it must consider whether the ADA has such discretion given the provisions of (a) and (b).*

* 1. *Clarify whether you wish the Hearing Chair to decide other issues – such as ordering costs.*

1. **APPENDICES**

The Claimant confirms that it has complied with Access Dispute Resolution Rule G17(a)(ix) *[which requires that*

**“*Copies of the following documents … shall be annexed and cross referenced to the statement:***

1. ***the relevant extracts of contractual Documents containing the provision(s) under which the referral to the ADA arises and/or provision(s) associated with the substance of the dispute; and***
2. *[the relevant extracts of]* ***any other Documents referred to in the reference”****.]*

*Where the dispute relates to previous (i.e. no longer current) versions of Access Conditions/the HAL Network Code, all relevant extracts of the applicable documents are to be included.*

All appendices and annexes are bound into the submission and consecutively page numbered. To assist the ADA, quotations or references that are cited in the formal submission are highlighted (or side-lined) so that the context of the quotation or reference is apparent. Any information only made available after the main submission has been submitted to the ADA will be consecutively numbered so as to follow on at the conclusion of the previous submission.

1. **SIGNATURE**

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| For and on behalf of *xxxxxxxxxxxxx* Ltd  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signed  -----------------------------------------------------------  Print Name  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Position  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

*This is a control mechanism; it provides the ADA with assurance that the dispute has been referred with the knowledge and understanding of the disputing corporate body. This is important, as engaging in formal dispute resolution implies a commitment to accepting the outcome of that process.*

*In this context, the Claimant is reminded that in sending representatives to argue its case before the ADA,* ***“it shall… ensure that***

* + 1. ***the competencies, skills and knowledge of any chosen representative are appropriate to the issues involved in the dispute (content, subject and value);*** *[HAL ADR Rule A19]*

*then provide*

**The Appendices**