***Template Format (with advisory annotations)***

***for a Joint Reference Submission to a Timetabling Panel***

***in accordance with the provisions of Chapter H***

***of the HS1 ADR Rules***

***This template, as required by Rule H21 (a) is to be used by Dispute Parties to prepare a Joint Submission for a Timetabling Panel (TTP) hearing. Within the template, text in Italics is advisory and should, once taken into account, be deleted from the final document.***

### ***Preamble***

*The detailed management and determination of each individual dispute heard by a Timetabling Panel shall be subject to the direction of the Hearing Chair (as appointed by the Secretary as provided in Rules H11 and H12). Rules H20 and H21 provide that,*

*“20* ***Upon appointment the Hearing Chair may give directions as to any or all aspects of the procedures to be followed. The Hearing Chair shall have the power at any time to make or amend the procedure to be followed by the parties in the TTP. The directions shall be in accordance with the Principles and this Chapter H and with any mandatory time requirements.***

***21 Unless the Hearing Chair directs otherwise (and subject to each party's right to apply for alternative or revised directions at all stages), the following timetable and procedure shall apply:***

* + 1. ***if the parties agree to submit a joint reference they shall, within 14 days of notification of the appointment of the Hearing Chair, submit a joint reference in accordance with the template format for a joint reference (found on the access disputes website) as may be adapted by the Hearing Chair in respect of a particular dispute;”***
    2. ***if the parties do not agree to submit a joint reference in accordance with (a) above:…..***

*Whilst not mandatory, there is an expectation that parties bringing disputes to a Timetabling Panel will table a single joint reference setting out all the arguments of both parties. Given, furthermore, that many Timetabling disputes are subject to the time constraints of the Timetabling process, template formats are provided in order that the Parties shall be prompted to ensure that all material relevant to their respective arguments are immediately available*

* *to the Timetabling Panel in good time for the hearing, and*
* *to be published on the Access Disputes Committee’s website;*

*always bearing in mind that*

***“(d) an oral hearing lasting no more than one day shall be conducted”*** [Rule H21 (d)] , and that

**“23. *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:***

* + 1. ***a joint reference shall be no longer than 20 pages; …..*** [Rule H23].

***The TEMPLATE***

1. **DETAILS OF PARTIES**
   1. The names and addresses of the parties to the reference are as follows:-
      1. [*Full Company name*] (Company number *xxxxxxxxx*) whose Registered Office is at [*Full address*] *("[insert short form or abbreviation for Company name i.e. its initials*]") ("the Claimant"); and
      2. HS1 Limited (Company number 3539665) whose Registered Office is at 5th Floor, Kings Place, 90 York Way, London, England, N1 9AG ("HS1") ("the Defendant").
      3. *Include correspondence address, contact details and e-mail address if different.*
   2. *Where either Dispute Party is aware that any third party may be affected by the Panel finding in any of the ways sought in Section 8 of this template, they should ensure that this information is conveyed to the Secretary to the ADC at the earliest possible opportunity, and the names of the relevant parties recorded here. There is no expectation that such parties shall participate in the submission of the principal Joint Submission; the affected Parties should seek the guidance of the Secretary or Hearing Chair as to any format to be used in respect of their representations*
2. **THE PARTIES’ RIGHT TO BRING THIS REFERENCE**
   1. This matter is referred to a Timetabling Panel] ("the TTP") for determination in accordance with Condition*s [ xxxx* ] of the HS1 Network Code*.*

*Parties need to make explicitly clear what provisions of their contract entitle, or direct, them to bring their dispute before a Timetabling Panel. This means a summary, but with verbatim quotations, of those terms of the contracts that direct the parties how they should reach agreement, or, where this fails, what form of dispute resolution they should take.*

1. **CONTENTS OF REFERENCE**

The Parties have together produced this joint reference and it includes:-

* + 1. The subject matter of the dispute in Section 4;
    2. A summary of the issues in dispute in Section 5;
    3. A detailed explanation of the issues in dispute prepared by the claimant with a paragraph by paragraph response from the defendant in Section 6;
    4. Any further issues raised by the respondent in Section 7;
    5. In Section 8, the decisions of principle sought from the Panel in respect of
       1. legal entitlement and
       2. remedies;
    6. 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 maintenance responsibilities”*
      2. *“a dispute as to an offer of train slots”.*
   2. *Then provide details of the Condition in the HS1 Network Code, or the relevant provisions of the Track Access Contract that the dispute relates to, or is associated with. .* *For example*:-

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

* 1. *Ensure that a copy of the relevant extract(s) from the document(s) referred to above is/are attached at Annex ● or that the reference is accompanied by ● indexed lever arch file(s) containing documents referred to in this Reference.*

*NOTE: The parties can assume that Timetabling Panel members will have access to a* ***current*** *edition of the HS1 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 Network Code the parties should ensure that the Panel is supplied with the relevant pages of the applicable version*
* *the parties should not assume that Panel Members have personal copies or knowledge of the relevant parts (in particular any Schedules) of the specific access agreements.*
  1. *Provide details of any other documents that are relevant to the dispute. The relevant parts must also be copied and annexed to this submission.*

1. **SUMMARY OF DISPUTE**
   1. *Provide brief details of such relevant background information as is necessary to ensure a common level of understanding of all members of the Panel, including details of the contractual framework surrounding the obligations of the parties in relation to the dispute.*
   2. *If there is, in the contract, a 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.*
2. **EXPLANATION OF EACH ISSUE IN DISPUTE WITH RESPONSE**
   1. Issue 1
      1. Arguments of Claimant.
      2. Response by Defendant.
   2. Issue 2
      1. Arguments of Claimant.
      2. Response by Defendant.
   3. etc.etc.

*This format has been found to assist parties and Panel members to focus clearly on the matters that require determination, and the parties will be expected to have had sufficient dialogue with each other to ensure that the submission meets these requirements.*

*However, if the parties agree that their dispute would be more clearly presented if, for example, all the referring Dispute Party's arguments are presented first (in one continuous narrative), followed by the other Dispute Party's case (again in a single narrative) they may adapt the template accordingly.*

*In all other circumstances, including where the parties cannot agree how the template should be adapted, the submission should follow the default format in this Template.*

*Whichever framework is adopted for the presentation of arguments, parties should keep in mind that the Panel needs to be given*

* *a clear and logical exposition of the sequence of factors that support the parties respective positions.. Where the argument requires reference to any contractual provision, the precise extract should be quoted verbatim;*
* *a clear statement of each point where the parties are in dispute, noted in such a way that the extent of the difference between the parties can be clearly appreciated;*
* *confirmation in each instance whether the point of difference is primarily one of principle, or whether the parties are agreed on the point of principle and differ only in respect of the applicability of the principle to a specific instance, or on a matter of quantification;*
* *a clear summary of the practical implications of the difference between the two positions (e.g. numbers of trains potentially affected, ditto passengers or freight customers, order of magnitude of any financial impact); even in cases of “principle”, the Panel is reasonably entitled to know how much business is affected by any possible outcome of the dispute, as a factor potentially influencing its determination.*
* *guidance as to any aspects of the dispute that could be contentious, but which the parties do not wish the Panel to address. This could include instances where, for example, the parties have agreed to test a matter of principle, after which they will themselves negotiate a settlement of quantum.*

1. **ANY FURTHER ISSUES RAISED** 
   1. *Defendant may list any further claim or counter-issue that it wishes to be resolved as a necessary corollary of bringing the dispute.*
   2. *Response by Claimant to any of the issues raised by the Defendant in 7.1*.
2. **DECISION SOUGHT FROM THE PANEL**
   1. *Each Dispute Party should set out the outcome it is seeking from the Panel’s determination, differentiating between* 
      1. *the matters of principle*
      2. *specific conclusions deriving from those matters of principle*.

*In all their arguments and representations, the Parties should remember that the Panel is constrained by* ***Rule A.5*** *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.”***

*Each Dispute Party will have a clear reason why they have not already settled the dispute, and the result that each wishes the Panel to deliver. There is need therefore for each Dispute Party to set down clearly what they want the Panel to find in their favour.*

*Logically, when preparing the submission, the decision sought from the Panel should be the first thing finalised, and each Dispute Party then marshals its arguments to support that case. That said, parties should be satisfied that the decision sought is one that a Panel 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 Panel’s jurisdiction.*
* *By contrast, a Panel 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 the HS1 Access Dispute Resolution Rules or an effective individual Access contract, and would therefore be beyond the Panel’s powers.*
  1. *List any specific remedies. For example “as a result of the decided principle(s) above, the Claimant is to pay £X to the Claimant*”

*Remedy is what the aggrieved Dispute Party contends it should be granted, if the Panel 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 Panel’s powers which are governed by* ***Rule******A.6****, 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 Dispute Party wishes to argue for an exercise of “discretion” as in (c) above, it must consider whether the Panel has such discretion given the provisions of (a) and (b).*

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

1. **APPENDICES AND ANNEXES**

The parties confirm that they have complied with **Rule H.21** of the HS1 Access Dispute Resolution Rules, which requires that

**“*Copies of the following documents shall also be annexed and cross referenced to the reference:***

1. ***the relevant extracts of contractual Documents containing the provision(s) under which the referral to the Timetabling Panel arises and/or provisions associated provision(s) associated with the substance of the dispute; and***
2. *[the relevant extracts of]* ***any other Documents referred to in the reference”****.* (Rule H.21)

Extracts are included where the dispute relates to previous (i.e. no longer current) versions of the documents.

All appendices, and annexes are bound into the submission, and consecutively page numbered. To assist the Panel, in each Appendix or Annexe

* the heading states which Dispute Party has requested that the particular appendix be placed before the Panel; and
* 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 Committee secretary will be consecutively numbered, so as to follow on at the conclusion of the previous submission.

1. **SIGNATURES**

| The Claimant | The Defendant |
| --- | --- |
| For and on behalf of  *company name*  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signed  -----------------------------------------------------------  Print Name  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Position  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | For and on behalf of HS1 Limited  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signed  -----------------------------------------------------------  Print Name  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Position  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

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

* + 1. *In this context, each Dispute Party is reminded that in sending representatives to argue its case before the Panel,* ***“it shall… ensure that…the competencies, skills and knowledge of any chosen representative are appropriate to the issues involved in the dispute (content, subject and value);*** [Rule A.19]

The Annexes and Appendices