



MLASA RULES 2024

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PRELIMINARY

1. These Rules have been adapted from the London Maritime Arbitrators Association (LMAA) terms for use in South Africa, with permission from the LMAA, and may be referred to as "the MLASA Rules, 2024".
2. In these Rules, unless the context otherwise requires,
 - a) "the International Act" means the International Arbitration Act 15 of 2017;
 - b) the "Domestic Act" means the Arbitration Act 42 of 1965;
 - c) "the Association" means the Maritime Law Association South Africa;
 - d) "President" means the President for the time being of the Association or, where the President cannot act, such other member of the Executive Committee of the Association as the President may designate;
 - e) "Executive Committee" means the Executive Committee of the Association;
 - f) "tribunal" includes a sole arbitrator, a tribunal of two or more arbitrators, and an umpire;
 - g) "original arbitrator" means an arbitrator appointed (whether initially or by substitution) by or at the request of a party as its nominee and any arbitrator duly appointed so to act following failure of a party to make its own nomination.
 - h) "day" means calendar day
 - i) reckoning of number of days: When any particular number of days is prescribed for the doing of any act, or for any other purpose, the same shall be reckoned exclusively of the first and inclusively of the last day, unless the last day happens to fall on a Sunday or on any public holiday, in which case the time shall be reckoned exclusively of the first day and exclusively also of every such Sunday or public holiday.

- j) “Uniform Rules” means the Rules Regulating the Conduct of the Proceedings of the Several Provincial and Local Divisions of the High Court of South Africa;
 - k) “Admiralty Rules” means the Rules Regulating the Conduct Of The Admiralty Proceedings of The Several Provincial And Local Divisions Of The Supreme Court Of South Africa;
 - l) “Admiralty Act” means the Admiralty Jurisdiction Regulation Act 105 of 1983;
 - m) “Rules” means these rules.
3. The purpose of arbitration according to these rules is to obtain the fair resolution of maritime and other disputes by an impartial tribunal without unnecessary delay or expense. The arbitrators at all times are under a duty to act fairly and impartially between the parties. and an original arbitrator is in no sense to be considered as the representative of that arbitrator’s appointer.

APPLICATION

4. Unless otherwise agreed by the parties, the arbitral proceedings in respect of a particular dispute commence on the date on which a request for that dispute to be referred to arbitration is received by the respondent.
5. (a) These Rules shall apply to an arbitration agreement whenever the parties have agreed that they shall apply.
- (b) In addition, if a sole arbitrator or both the original arbitrators have been appointed on the basis that these Rules apply to their appointment, such appointment(s) shall constitute an agreement between the parties that the arbitration agreement governing their dispute has been made or varied so as to incorporate these Rules.
6. In the absence of any agreement to the contrary, the parties to all arbitral proceedings to which these Rules apply agree:

- (a) that the law applicable to their arbitration agreement is South African law and;
 - (b) that the seat of the arbitration is in South Africa.
- 7.
 - (a) Subject to paragraph (b), the arbitral proceedings and the rights and obligations of the parties in connection therewith shall be governed by these Rules.
 - (b) Where the seat of the arbitration is outside South Africa the provisions of these Rules shall nevertheless apply to the arbitral proceedings, save to the extent that any mandatory provisions of the law applicable to the arbitration agreement or proceedings otherwise provide.

THE ARBITRAL TRIBUNAL

- 8.
 - (a) If the arbitration agreement contains no provision as to the number of arbitrators, the agreement shall be deemed to provide for a tribunal of one arbitrator, save that the parties may in such circumstances agree to appoint more than one arbitrator, in which case the procedures set out in paragraph 8(c) and 9 will apply.
 - (b) Subject to the terms of the arbitration agreement, if the tribunal is to consist of one arbitrator:
 - (i) the parties shall appoint an arbitrator within 14 days of:
 - (aa) receipt by the respondent of a request for the dispute to be referred to arbitration; or
 - (bb) conclusion of an arbitration agreement; and
 - (ii) If the parties cannot agree on the appointment of an arbitrator, either party may apply in writing for the appointment of a sole arbitrator by the Executive Committee:
 - (aa) such application shall be accompanied by a remittance in favour of the MLA for making the appointment (the amount

of such remittance being specified from time to time by the Executive Committee);

(bb) the party applying to the Executive Committee shall give a concise explanation of the claim and the issues likely to arise, and as to whether any particular expertise on the part of the arbitrator is required but shall not suggest any particular names of potential arbitrators;

(cc) the Executive Committee, having considered the nature of the dispute, shall appoint a sole arbitrator and give notice of such appointment to the parties.

9. Subject to the terms of the arbitration agreement, if the tribunal is to consist of two arbitrators and an umpire:

(a) each party shall appoint one arbitrator not later than 14 days after service of a request in writing by either party to do so;

(a) the two so appointed may appoint an umpire at any time after they themselves are appointed and shall do so before any substantive hearing or forthwith if they cannot agree on any matter relating to the arbitration, and if the two said arbitrators do not appoint an umpire within 14 days of one calling upon the other to do so, the President shall, on the application of either arbitrator or of a party, appoint the umpire;

(b) the umpire shall attend any substantive hearing and shall following appointment be supplied with the same documents and other materials as are supplied to the other arbitrators;

(c) the umpire may take part in and if the original arbitrators so agree, chair the hearing and deliberate with the original arbitrators;

(d) decisions, orders and awards shall be made by the original arbitrators unless and until they cannot agree on a matter relating to the arbitration. In that event they shall forthwith give notice in writing to the parties and the umpire, whereupon the umpire shall replace them as the tribunal with power to make decisions, orders and awards as if the umpire were the sole arbitrator.

10. Subject to the terms of the arbitration agreement, if the tribunal is to consist of three arbitrators:
 - (a) each party shall appoint one arbitrator not later than 14 days after service of a request in writing by either party to do so;
 - (b) the two so appointed must, within 14 days thereafter, appoint a third arbitrator, and if the two said arbitrators do not appoint a third within 14 days, the Executive Committee shall, on the application of either arbitrator or of a party, appoint the third arbitrator;
 - (c) the third arbitrator shall be the chairperson of the tribunal unless the parties shall agree otherwise;
 - (d) before the third arbitrator has been appointed or if the position has become vacant, the two original arbitrators, if agreed on any matter, shall have the power to make decisions, orders and awards in relation thereto;
 - (e) after the appointment of the third arbitrator, decisions, orders or awards shall be made by all or a majority of the arbitrators, and, if any of the original arbitrators subsequently resigns or is no longer able to continue, the remaining two arbitrators, if agreed on any matters, shall have the power to make decisions, orders and awards in relation thereto;
 - (f) the view of the third arbitrator shall prevail in relation to a decision, order or award in respect of which there is neither unanimity nor a majority under paragraph (v).

11. A party wishing to refer a dispute to arbitration in accordance with paragraph 8(b), 9(a) or 10(a) above shall appoint its arbitrator and send notice of such appointment in writing to the other party, requiring the other party to agree to the appointment of the nominated arbitrator or to appoint its own arbitrator within 14 calendar days of the notice, and stating that the requesting party appoint its own arbitrator as sole arbitrator unless the other party appoints its own arbitrator and gives notice that it has done so within the 14 days specified. If the other party does not appoint its own arbitrator and give notice that it has

done so within the 14 days specified in the notice, the party referring a dispute to arbitration may, without the requirement of any further prior notice to the other party, appoint its arbitrator as sole arbitrator and shall advise the other party accordingly. The award of a sole arbitrator appointed in this manner shall be binding on both parties as if the sole arbitrator had been appointed by agreement.

12. Where:

- (a) an arbitrator resigns, dies or becomes incapable of conducting the proceedings or, where a hearing has been fixed, of attending the hearing (or there are justifiable doubts as to the arbitrator's capacity to conduct the proceedings or attend a hearing);
- (b) an application is made by a party or parties to the President for the appointment of a substitute arbitrator;
- (c) notice of the application has been given to the other parties, the affected arbitrator (where appropriate) and other members of the tribunal, and
- (d) in the opinion of the Executive Committee:
 - (i) one or more of the parties is unwilling or unable to appoint a substitute arbitrator within a reasonable time, or, where a hearing has been fixed, in time for the hearing to proceed, and
 - (ii) it is, in all the circumstances, appropriate to make a substitute appointment,

the Executive Committee may appoint such substitute arbitrator, and such appointment shall be binding on the parties.

JURISDICTION

13. Notwithstanding the terms of any appointment of an arbitrator, unless the parties otherwise agree, the jurisdiction of the tribunal shall extend to

determining all disputes arising under or in connection with the transaction that is the subject of the reference.

Each party shall have the right before the tribunal makes its award (or its last award, if more than one is made in a reference) to refer to the tribunal for determination any further dispute(s) arising after the commencement of the arbitral proceedings.

When and how such dispute is dealt with in the reference shall be in the discretion of the tribunal.

TRIBUNAL'S FEES

14. Provisions regulating fees payable to the tribunal and other related matters are set out in the First Schedule.

Save as therein or herein otherwise provided, payment of the tribunal's fees and expenses is the joint and several responsibility of the parties.

An arbitrator or umpire shall be entitled to resign from a reference in the circumstances set out in paragraph (C) of the First Schedule.

ARBITRATION PROCEDURE

15. (a) It shall be for the tribunal to decide all procedural and evidential matters, but the tribunal will where appropriate have regard to any agreement reached by the parties on such matters. The normal procedure to be adopted is set out in the Second Schedule, subject to the tribunal having power at any time to vary that procedure.
- (b) In the absence of agreement it shall be for the tribunal to decide whether and to what extent there should be oral or written evidence or submissions in the arbitration. The parties should however attempt to agree at any early stage whether the arbitration is to be on documents

alone (i.e. without any oral hearing) or whether there is to be such a hearing.

- (c) For the avoidance of doubt, hearings (which expression for these purposes includes preliminary meetings) pursuant to these Rules include hearings conducted wholly or partly by video conference, telephone conference call, or other means of communication considered appropriate by the Tribunal (or by a combination of such methods of conducting a hearing). References in these Rules to hearings should be interpreted accordingly.
- (d) Where a virtual, or part-virtual hearing, is to take place, parties should follow the MLA Guidelines for the Conduct of Virtual and Semi-Virtual Hearings (as set out in the Sixth Schedule to these Rules, and published on the MLA website), subject to any modifications to the Guidelines issued by the MLA or ordered by the Tribunal.

INTERLOCUTORY PROCEEDINGS

- 16. (a) In all cases parties should be guided by the procedure set out in the Second Schedule.
- (b) Applications for directions should not be necessary but, if required, they should be made in accordance with the Second Schedule.
- (c) *Arbitrations on documents alone:*

Following completion of the steps covered by the Second Schedule, if it has been agreed by the parties or is determined by the tribunal that the case is to be dealt with on documents alone, the tribunal will then give notice to the parties of its intention to proceed to its award and will so proceed unless either party within 7 days requests, and is thereafter granted, permission to serve further submissions and/or documents.

- (d) *Oral hearings:*

If it is determined or agreed that there shall be an oral hearing, then following the fixing of the hearing date a booking fee will be payable in accordance with the provisions of the First Schedule.

POWERS OF THE TRIBUNAL

17. In addition to the powers set out in the Act, the tribunal shall have the following specific powers to be exercised in a suitable case so as to avoid unnecessary delay or expense, and so as to provide a fair means for the resolution of the matters falling to be determined:

(a) The tribunal may:

(i) direct either that no expert be called on any issue(s) or that no expert evidence shall be called save with the permission of the tribunal;

(ii) limit the number of expert witnesses to be called by any party or the length of any report to be served by any such witness.

(b) Where two or more arbitrations appear to raise common issues of fact or law, the tribunals may direct that they shall be conducted and, where an oral hearing is directed, heard concurrently. Where such an order is made, the tribunals may give such directions as the interests of fairness, economy and expedition require including:

(i) that time limits for service of submissions may be abbreviated or modified in the interests of saving costs or minimising delay, or otherwise enhancing efficiency;

(ii) that the documents disclosed by the parties in one arbitration shall be made available to the parties to the other arbitration upon such conditions as the tribunals may determine;

(iii) that the evidence given in one arbitration shall be received and admitted in the other arbitration, subject to all parties being given

a reasonable opportunity to comment upon it and subject to such other conditions as the tribunals may determine.

- (c) If a party fails to comply with a peremptory order of the tribunal to provide security for costs, then without prejudice to the power granted by section 41(6) of the Act, the tribunal shall have power to stay that party's claim or such part of it as the tribunal thinks fit in its sole discretion.

PRELIMINARY MEETINGS

18.

- (a) The tribunal may decide at any stage that the circumstances of the arbitration require that there should be a preliminary meeting to enable the parties and the tribunal to review the progress of the case; to reach agreement so far as possible upon further preparation for, and the conduct of the hearing; and, where agreement is not reached, to enable the tribunal to give such directions as it thinks fit.
- (b) A preliminary meeting should be held in complex cases including most cases involving a hearing of more than 5 days' duration. Exceptionally more than one preliminary meeting may be required.
- (c) If preliminary meetings (whether required by the tribunal or held on the application of the parties) should be preceded by a discussion between the parties' representatives who should attempt to identify matters for discussion with the tribunal, attempt to reach agreement so far as possible on the directions to be given, and prepare for submission to the tribunal an agenda of matters for approval or determination by it.
- (d) Before the preliminary meeting takes place the parties should provide the tribunal with a paginated bundle of appropriate documents, together with information sheets setting out the steps taken and to be taken in the arbitration, a list of any proposed directions whether agreed or not and an agenda of matters for discussion at the hearing. The information

sheets should include estimates of readiness for the hearing and the likely duration of the hearing

(e)

SETTLEMENT

19. It is the duty of the parties
- (a) to notify the tribunal immediately if the arbitration is settled or otherwise terminated,
 - (b) to make provision in any settlement for payment of the fees and expenses of the tribunal and
 - (c) to inform the tribunal of the parties' agreement as to the manner in which payment will be made of any outstanding fees and expenses of the tribunal, e.g. for interlocutory work not covered by any booking fee paid. The same duty arises if the settlement takes place after an interim award has been made. Upon being notified of the settlement or termination of any matter the tribunal may dispose of the documents relating to it.
20. Any booking fee paid will be dealt with in accordance with the provisions of paragraph (D)(1)(d) of the First Schedule. Any other fees and expenses of the tribunal shall be settled promptly and at latest within 28 days of presentation of the relevant account(s). Notwithstanding the terms of any settlement between them the parties shall remain jointly and severally responsible for all such fees and expenses of the tribunal until they have been paid in full.

An award on agreed terms may at the request of the parties be made in accordance with the provisions of rule 31 and shall state that it is an award. Such an award has the same status and effect as any other award on the merits of the case.

ADJOURNMENT

21. If a case is for any reason adjourned part-heard, the tribunal will be entitled to an interim payment, payable in equal shares or otherwise as the tribunal may direct, in respect of fees and expenses already incurred, appropriate credit being given for the booking fee.

AVAILABILITY OF ARBITRATORS

22.
 - (a) In cases where it is known at the outset that an early hearing is essential, the parties should consult and ensure the availability of the arbitrator(s) to be appointed by them.
 - (b) If, in cases when the tribunal has already been constituted, the fixture of an acceptable hearing date is precluded by the commitments of the original appointee(s), the provisions of the Fifth Schedule shall apply.

THE AWARD

23. The time required for preparation of an award must vary with the circumstances of the case. The award should normally be available within not more than six weeks from the close of the proceedings. In many cases, and in particular where the matter is one of urgency, the interval should be substantially shorter. At the end of the hearing or in the case of an arbitration on documents alone, upon receipt of final submissions the tribunal will, if asked, do its best to indicate when its award will be available.
24. The members of a tribunal need not meet together for the purpose of signing their award or of effecting any corrections thereto. Unless the parties agree otherwise, or the tribunal directs otherwise, awards may be signed (or corrections effected) electronically, including by electronic transfer of a scanned signature, and/or in counterparts, and may be notified to the parties by email, or other electronic means. Where a party wishes an award (or correction) to be signed with original handwritten signatures, and/or notified

by service of a hard copy of an original signed award (or correction), it is the responsibility of that party to make a request to that effect to the tribunal prior to the production of the award (or prior to the effecting of a correction).

The award shall be made in writing and shall be signed by the arbitrator or arbitrators. In arbitral proceedings with more than one arbitrator, the signatures of the majority of all members of the arbitral tribunal shall suffice, provided that the reason for any omitted signature is stated.

The award shall state its date and the juridical seat of arbitration. The award shall be deemed to have been made at the juridical seat

25.

- (a) An award will contain the reasons for it unless the parties agree otherwise.
- (b) The parties may agree to dispense with reasons in which case notice shall be given to the tribunal before the award is made.
- (c) Where in accordance with paragraph (b) the parties have agreed to dispense with reasons the tribunal will issue an award without reasons together with a document which does not form part of the award but which gives, on a confidential basis, an outline of the reasons for the tribunal's decision (hereafter called "privileged reasons").
- (d) Unless the court shall otherwise determine, the document containing privileged reasons may not be relied upon or referred to by either party in any proceedings relating to the award.

26.

As soon as possible after an award has been made, the tribunal shall give written notice thereof to the parties which notice will also inform the parties of (a) the amount of the outstanding fees and expenses of the tribunal and (b) that the award will be made available to be sent to or collected by the parties upon full payment of such amount. At the stage of notification neither the award nor any copy thereof need be served on the parties and the tribunal shall be entitled thereafter to refuse to deliver the award or any copy thereof to the parties except upon full payment of its fees and expenses.

27. If any award has not been paid for and collected within one month of the date of publication, the tribunal may give written notice to any party requiring payment of the costs of the award, whereupon such party shall be obliged to pay for and collect the award within 14 days.
28. (a) In addition to the powers set out in article 33 of schedule 1 to the IAA, the tribunal shall have the following powers to correct an award or to make an additional award:
- (i) The tribunal may, on its own initiative, or on the application of a party, correct any accidental mistake, omission or error of calculation in its award or clarify or remove any ambiguity in the award;
 - (ii) The tribunal may on the application of a party, give an interpretation or explanation of a specific point or part of the award.
- (b) An application for the exercise of the powers set out above must be made within 30 days of the date of the award, unless the tribunal shall think it fit to extend the time.
- (c) The powers set out above shall not be exercised without first affording the other parties a reasonable opportunity to make representations to the tribunal.
- (d) Any correction of or explanation for an award or other actions in terms of (a) above may be affected in writing on the original award or in a separate memorandum which shall become part of the award. It shall be affected within 30 days of the request or, where made *mero motu* 30 days of the date of the original award, unless all parties shall agree a longer period.
- (e) This will not detract from the binding force of the award which will be presumed to be correct and valid until and unless it is altered.
29. (a) If the tribunal considers that an arbitration decision merits publication and gives notice to the parties of its intention to release the award for publication, then provided both parties provide their written consent to

publication, the award may be published under such arrangements as the Association may effect from time to time. The publication will be so drafted as to preserve anonymity as regards the identity of the parties, of their legal or other representatives, and of the tribunal.

- (b) Save for any publication pursuant to (a) above, where the arbitration is held in private, the award and all documents created for the arbitration which are not otherwise in the public domain must be kept confidential by the parties and tribunal, except to the extent that the disclosure of such documents may be required by reason of a legal duty or to protect or enforce a legal right.

SERVICE OF DOCUMENTS

- 30. Service of all notices or other documents required to be given or served for the purposes of the arbitral proceedings, together with all decisions, orders and awards made or issued by the tribunal shall be treated as effectively served if delivered in one of the following ways:
 - (a) Where a party is represented by a lawyer or other agent in connection with any arbitral proceedings, it shall be served on that lawyer or agent, at the address nominated by that lawyer or agent, which can be a physical address or an email address;
 - (b) Where such party is not represented by a lawyer or agent:
 - (i) by email to an address nominated by the party served. The party receiving service per email shall endeavour to confirm receipt by return email or by issuing a read-receipt, but failure to do so shall not detract from the effectiveness of service, which may be proved in any other manner, including by way of a delivery receipt.
 - (ii) Physical service at the place of business, registered address or habitual residence of the party, which may be proved in any acceptable manner.

- (c) Each party shall provide an email address for service of notices and documents and shall ensure that any changes are notified to the tribunal and all parties. Any service at such email address shall constitute valid and effective service.
- (d) In the event that a party fails to provide a valid email address, then notices and documents may be served at their last known email address, which may be proved in any acceptable manner.

GENERAL

- 31. Where an award reserves any questions relating to costs and/or interest any application to the tribunal to deal with such matter should be made within three months of the award unless the tribunal agrees a longer period.
- 32. Six months after the publication of an award the tribunal may dispose of its papers (including materials provided in electronic form) unless either (a) the parties or any of them request it not to do so, or (b) it is notified of an application to a court in any jurisdiction arising out of the award. In either case the tribunal may dispose of the papers six months after such request or a final decision of the court, unless one of the parties reasonably requests the tribunal to retain the papers for a further period.

THE FIRST SCHEDULE

TRIBUNAL'S FEES

A. Appointment fee

An appointment fee is payable on appointment by the appointing party or by the party at whose request the appointment is made. The appointment fee shall be a standard fee fixed by the Committee of the Association from time to time. Unless otherwise agreed, the appointment fee of an umpire or third arbitrator shall in the first instance be paid by the claimant, and the appointment fee of an agreed sole arbitrator shall be paid by each party in equal shares.

B. Interim fees

An arbitrator may in his/her discretion require payment of fees to date (which expression shall for these purposes include any expenses) at appropriate intervals (which shall be not less than three months). Any such demand for payment shall be addressed to the arbitrator's appointing party and shall be copied to any other member of the tribunal and other parties. A sole arbitrator, third arbitrator or umpire shall require payment from the parties in equal shares. Any such demand for payment is without prejudice (a) to ultimate liability for the fees in question and (b) to the parties' joint and several liability therefor. Without prejudice to the foregoing, a party may ask an arbitrator to provide an interim account of fees at intervals which shall not be less than three months.

C. Right to resign for non-payment

If any amount due under (A) or (B) above remains unpaid for more than 28 days after payment has been demanded, the arbitrator, in the arbitrator's sole discretion, may give written notice to his/her appointer and to the other parties

and arbitrators that he/she will resign if such amount still remains unpaid 14 days after such notification. Without prejudice to ultimate liability for the fees in question, any other party may prevent such resignation by paying the amount demanded within the said 14 days. Upon any resignation under this paragraph the arbitrator will be entitled to immediate payment of the arbitrator's fees to date, and shall be under no liability to any party for any consequences of resignation.

D. **Booking fees**

1. Unless the parties otherwise agree, a booking fee will be payable as follows
 - (a) For a hearing of up to 10 days' duration there shall be payable to the tribunal a booking fee of such sum per arbitrator as the Executive Committee may from time to time decide, for each day reserved. The booking fee will be invoiced to the party asking for the hearing date to be fixed or to the parties in equal shares at the discretion of the tribunal and shall become due and shall be paid within 14 days of confirmation of the reservation or six months in advance of the first day reserved ("the start date"), whichever date be the later. If the fee is not paid in full by the due date, the tribunal will be entitled to cancel the reservation forthwith without prejudice to its entitlement to be paid the fee in question or the appropriate proportion thereof in accordance with subparagraph (d) below. In the event of a cancellation under this provision either party may secure reinstatement of the reservation by payment within 7 days of any balance outstanding.
 - (b) For hearings over 10 days' duration the booking fee in sub-paragraph (1)(a) above shall for each day reserved be increased by 30% in the case of a hearing of up to 15 days and 60% in the case of a hearing of up to 20 days and may, at the discretion of the tribunal, be subscribed in non-returnable instalment payments. For hearings in excess of 20 days the booking fee shall be at the rate for a hearing of 20 days plus

such additional sum as may be agreed with the parties in the light of the length of the proposed hearing.

- (c) The booking fee for any third arbitrator or umpire shall be due and payable as above, save that the booking fee due to any third arbitrator or umpire appointed less than six months before the start date shall be due forthwith upon appointment and payable within 14 days thereof.
 - (d) Where, (i) at the request of one or both of the parties, or (ii) by reason of settlement of any dispute, or (iii) by reason of cancellation pursuant to sub-paragraph (a) above or (iv) by reason of the indisposition or death of any arbitrator or umpire a hearing is adjourned or a hearing date vacated prior to or on or after the start date, then, unless non-returnable instalment or other payments have been agreed, the booking fee will be retained by (or, if unpaid, shall be payable to) the tribunal (i) in full if the date is adjourned or vacated less than three months before the start date or on or after that date, (ii) as to 50 per cent if the date is adjourned or vacated three months or more before the start date. Any interlocutory fees and expenses incurred will also be payable or, as the case may be, deductible from any refund under (ii).
 - (e) Where, at the request of one or both of the parties, or by reason of the indisposition or death of any arbitrator or umpire a hearing is adjourned or a hearing date is vacated and a new hearing date is fixed, a further booking fee will be payable in accordance with sub-paragraphs (a) and (b) above.
2. An arbitrator or umpire who, following receipt of the booking fee or any part thereof, is for any reason replaced is, upon settlement of fees for any interlocutory work, responsible for the transfer of the booking fee to the person appointed to act in the arbitrator's place. In the event of death, the personal representative shall have corresponding responsibility.

E. **Security for Tribunal costs**

1. Without prejudice to the rights provided for in paragraphs (A), (B) and (D) above, a tribunal is entitled to reasonable security for its estimated costs (including its fees and expenses) up to the making of an award. In calculating such amount credit will be given for any booking fees paid. A tribunal is entitled to request security whenever it considers it appropriate to do so, and may stipulate when such security is to be provided. Where a tribunal has not stipulated for security to be provided at an earlier date, it shall be provided no later than 21 days before the start of any oral hearing intended to lead to an award or, in the case of a documents-only arbitration, no later than immediately before the tribunal starts reading and drafting with a view to producing an award.
2. If a tribunal exercises the right to request security under sub-paragraph (1) above, it shall advise the parties of its total estimated costs no later than 28 days before the security must be in place.
3. Requests for security hereunder shall be addressed to the party requesting any oral hearing, and to the claimant (or to the party requesting an award) in the case of a documents-only arbitration unless a tribunal considers, in the exercise of its discretion, that security should be provided in whole or in part by another party. If a party directed to provide security fails to provide such security within the time set any other party will be given 7 days' notice in which to provide it, failing which the tribunal may suspend its work pending provision of security, and vacate any hearing dates or, in the case of a documents-only arbitration, refrain from reading and/or drafting.
4. For the avoidance of doubt, in any case where time does not allow for the periods in sub-paragraphs (1)-(2) above, the tribunal shall be entitled at its discretion to set such shorter periods as are reasonable in the circumstances.
5. The form of such security shall be in the tribunal's discretion. Normally an undertaking from an appropriate firm of lawyers or a P&I or Insurer will be acceptable. However, a tribunal may require a cash deposit or bank guarantee. Any undertaking or guarantee must undertake to pay the sum covered no later than 5 weeks after publication of the relevant award and shall not be conditional upon the award being released (unless the costs thereof are wholly covered by the relevant security).

6. No estimate given hereunder shall prejudice the tribunal's entitlement to its reasonable fees and expenses.
7. Any security provided or payment made in accordance with these provisions shall be without prejudice to ultimate liability as between the parties for the fees and expenses in question, and to the parties' joint and several liability to the tribunal until all outstanding fees and expenses have been paid in full.
8. For the avoidance of doubt, (a) a failure to provide security for a tribunal's estimated costs in accordance with an order or direction of a tribunal constitutes, for the purpose of these Rules, a failure to comply with an order or direction which would enable a tribunal to make a peremptory order compelling the party to comply within a reasonable time, and (b) if a claimant fails to comply with a peremptory order to provide such security, a tribunal may make an award dismissing the claimant's claim.

F. **Accounting for payments made on account**

Where the case proceeds to an award, or is settled after the start of the hearing, appropriate credit will be given for any amounts paid under paragraphs (B), (D) or (E) above in calculating the amount to be paid in order to collect the award, or as the case may be, the amount payable to the tribunal upon settlement of the case.

G. **Accommodation**

1. If accommodation and/or catering is arranged by the tribunal, the cost will normally be recovered as part of the cost of the award, but where a case is adjourned part-heard or in other special circumstances, the tribunal reserves the right to direct that the cost shall be provisionally paid by the parties in equal shares (or as the tribunal may direct) promptly upon issue of the relevant account. Prior to booking accommodation and/or catering the tribunal may, if it thinks fit, request that it be provided with security sufficient to cover its prospective liabilities in respect thereof.

2. If accommodation is reserved and paid for by the parties and it is desired that the cost incurred be the subject of directions in the award, the information necessary for that purpose must be furnished promptly to the tribunal.

THE SECOND SCHEDULE

ARBITRATION PROCEDURE

1. The normal procedure requires service of submissions by each party as set out below. Whether the submissions are informal or are framed more formally as statements of case, they must:
 - (a) Set out the position of the parties in respect of the issues that have arisen between them as clearly, concisely and comprehensively as possible;
 - (b) be contained in numbered paragraphs and paginated pages;
 - (c) be accompanied by paginated supporting documentation relevant to the issues between the parties, other than documents which accompanied previous submissions. Such documentation shall be served on all other parties
 - (d) When any document is filed as part of the submission or any other document filed thereafter, it shall be accompanied by an index and the papers delivered shall be numbered in accordance with the index.
 - (e) When a previous index has been filed in the proceedings, the person responsible for the delivery of the documents shall continue the index as a running index of the documents delivered by him or her, so that all papers delivered shall, at all times, constitute a paginated and indexed series of documents.
 - (f) A party intending to serve supporting documentation upon the tribunal must check with the tribunal whether it wishes to receive copies of all or some of the documentation at that stage. The aim should be for a tribunal to see enough documentation to be able to identify the issues in the case but not to be burdened with, for instance, copy invoices at the commencement of a reference.

2. An allegation that relevant documentation has not been disclosed with any submissions will not normally be a reason for allowing additional time for service of submissions in response. However, a failure at the appropriate stage to disclose relevant documentation may be penalised in costs.
3. Claim submissions are normally to be served within 28 days after appointment of a sole arbitrator or, if the tribunal is to consist of more than one arbitrator, within 28 days after appointment of the second arbitrator.
4. Save in exceptional cases (e.g. applications for interim or partial final awards for sums which are said to be indisputably due and owing and urgent matters), defence submissions, and, if applicable, counterclaim submissions are to be served within 28 days after service of the claim submissions.
5. Submissions in reply are to be served within 14 days after service of defence submissions unless there is also a counterclaim, in which case 28 days shall be allowed for submissions in reply and defence to counterclaim. Any submissions in reply to the defence to a counterclaim are to be served within 14 days thereafter. If a party wishes to serve any further submissions, it should apply to the tribunal for permission to do so, explaining why such further submissions are necessary.
6. Bare denials in defence and subsequent submissions in response to an allegation will not be acceptable. If an allegation is denied, reasons must be given and if appropriate a positive contrary case put forward.
7. Applications for security for costs will not normally be considered until after service of defence submission. Any application must be accompanied by a justification for it and a breakdown of the costs which it is reasonably anticipated will be incurred up to the stage of the reference for which security is sought. In the light of paragraph (E) of the First Schedule it will not be appropriate for security for costs to include any provision for the costs of a tribunal, except in relation to costs already paid to a tribunal (or any member of a tribunal) by the party seeking security for costs, or in relation to costs of a tribunal in respect of which the party seeking security for costs has already provided security.

8. If a party wishes to obtain disclosure of certain documents prior to service of submissions, it must seek the agreement of the other party, failing which it should make an appropriate written application to the tribunal, explaining the rival positions of the parties in question.
9. Subject to any specific agreement between the parties or ruling from the tribunal, the parties are entitled at any stage to ask each other for any documentation that they consider to be relevant which has not previously been disclosed. Parties will not generally be required to provide broader disclosure than is required by the Admiralty Rules and the Uniform Rules. Generally, a party will only be required to disclose the documents on which it relies or which adversely affect its own case, as well as documents which either support or affect the other party's case.
10. In appropriate cases the tribunal may order the service of a statement of truth signed by an officer or by the legal representative of a party confirming the accuracy of any submissions or of any declarations that a reasonable search for relevant documentation has been carried out.
11.
 - (a) Unless the parties agree that the reference is ready to proceed to an award on the exclusive basis of the written submissions that have already been served, both parties must complete the Questionnaire set out in the Third Schedule within 14 days of the service of the final submissions as set out in paragraph 5 above. Every such Questionnaire must contain the declaration set out at the end thereof, which shall be signed by a properly authorised officer of the party on whose behalf it is served. Completed Questionnaires must be served on the tribunal and all other parties. Unless the parties agree, the tribunal will then establish the future procedural course of the reference, either on the basis of the Questionnaires and any other applications made to it in writing or, if appropriate, after a preliminary meeting.
 - (b) In order to avoid uncertainty and minimise delay following an exchange of Questionnaires, a tribunal will normally allow the parties 21 days from the date of such exchange to agree future procedural directions, or to make submissions regarding such directions, following which period a

tribunal will make such directions, or take such action regarding the future conduct of the proceedings, as it considers appropriate on the basis of the material before it, including the Questionnaires.

12. Subject to contrary agreement of the parties or an appropriate ruling by the tribunal, the parties will be required to exchange statements of evidence of fact as well as expert evidence covering areas agreed by the parties or ordered by the tribunal within a time scale agreed by the parties or ordered by the tribunal. Statements of evidence of fact or expert evidence that have not been exchanged in accordance with these provisions will not be admissible at a hearing without permission of the tribunal.
13. Parties and tribunals should actively consider ways in which to make the arbitral process as cost-effective and efficient as possible. In doing so, they should take account of the guidelines set out in the Checklist at the Fourth Schedule, in relation to matters such as: the preparation of factual and expert evidence; the use of documents; skeleton arguments, and transcripts.
14. Any application to a tribunal for directions as to procedural or evidential matters should, save in exceptional circumstances, be made only after the other parties have been afforded an opportunity to agree, within 3 working days, the terms of the directions proposed. Any application that has not previously been discussed with the representatives of such other parties and that does not fully record the rival positions of the parties will normally simply be rejected by a tribunal. If a party has been requested by another party to discuss and agree any application, but has failed to respond within 3 working days (or such other time as may be allowed by the tribunal), the tribunal will not seek to elicit the comments of that party or make orders conditional on objections not being received.
15. Parties should not routinely copy to the tribunal exchanges between them unless and until a ruling is required or there is other good reason to keep it informed.
16. Communications regarding procedural matters should be made expeditiously.
17. Tribunals will not acknowledge receipt of correspondence despite any request to that effect unless there is particular reason to do so.

18. Only in the most exceptional circumstances can it be appropriate for a party to question the terms of any procedural order made or seek a review of it by the tribunal.
19.
 - (a) If a tribunal considers that unnecessary costs have been incurred at any stage of a reference, it may on the application of a party or, after giving the parties the opportunity to comment, of its own volition make rulings as to the liability for the relevant discrete costs. Unnecessary costs may be incurred by, e.g., inappropriate applications or appropriate applications inappropriately resisted, unnecessary communications, excessive photocopying or duplicated communications. Tribunals may order such costs to be assessed and paid immediately.
 - (b) A tribunal will be entitled, in exercising its discretion as to liability for costs, and in assessing costs, to take account of unreasonable or inefficient conduct by a party, including a failure to comply with the Checklist at the Fourth Schedule, and to take account of offers made without prejudice save as to costs. A tribunal may also take into account the costs estimates provided by both parties in the Questionnaire.
20. A party should give prompt notice to other parties and to a tribunal of its instruction of lawyers or other representatives to represent it in an arbitration, and of any change in its representation. In the absence of exceptional circumstances, late instruction of legal or other representatives, or a change in representation, will not be considered as a valid ground for delaying the progress of an arbitration, nor as a valid ground for the adjournment of a hearing.
21. Where parties agree that an order or direction which is agreed between them shall be deemed to be an order of the tribunal, they must notify the tribunal of such agreement, and, unless otherwise directed by the tribunal, the agreed order or direction shall take effect as an order or direction of the tribunal, and shall be an order or direction of the tribunal in the same manner as contemplated in Article 30(2) of the Model Law, but only for purposes of the order or direction agreed.

22. Parties are at liberty to apply to a tribunal for directions which differ from those contemplated above, but any such application should clearly explain why it is appropriate for some different course to be followed.

THE THIRD SCHEDULE

QUESTIONNAIRE

(Information to be provided as required in paragraph 11 of the Second Schedule to the Rules)

Note: The Questionnaire is an important document in the arbitration process. It provides an opportunity to consider the issues that have been raised in the submissions, and the most appropriate way of progressing an arbitration.

The following requirements regarding the Questionnaire should be observed:

- (a) where more than one question is raised in a section of the Questionnaire, separate answers should be provided for each question;
- (b) when responding to Question 13 (as to witnesses of fact and experts) parties should state whether it is considered necessary for all factual witnesses and experts to give evidence in person, or whether it would be necessary or desirable for some witnesses to give evidence by video link or similar means;
- (c) when responding to Question 16(a) (as to the estimated costs of each party), a breakdown of the figures should be provided, identifying separately, amongst other things the actual or estimated fees of solicitors/consultants (and the number anticipated to be required), Counsel (and specifying whether senior or junior Counsel will be involved), and experts, including relevant charge out rates.

As many as possible of the procedural issues should be agreed by the parties. If agreement has been possible, then please make that clear in the answers to the Questionnaire.

1. What, briefly, is the nature of the claim (e.g. "unsafe port" or "balance of accounts dispute")?
2. What is the approximate quantum of the claim?

3. What is the approximate quantum of any counterclaim?
4. What are the principal outstanding issues requiring determination raised by the claim and any counterclaim?
5. Are any amendments to the submissions required?
6. Are any of the issues in the reference suitable for determination as a preliminary issue?
7. Are there any areas of disclosure that remain to be dealt with?
8. Would a preliminary meeting be useful, and if so at what stage?
9. What statement evidence is it intended to adduce, from whom and when? Which issues will be addressed by statement evidence? Is it possible to limit the length of statements or to avoid duplication of evidence? If there is to be a hearing what oral evidence will be adduced?
10. What expert evidence is it intended to adduce by way of reports and/or oral testimony and by when will experts' reports be exchanged? Which issues will be addressed by expert evidence? Can the length of experts' reports be limited? Unless the parties agree or the tribunal rules that a meeting between experts would not be appropriate, when should the meeting take place and when should a record of that meeting be provided?
11. What is the suggested timetable for the close of submissions if the case is to go ahead on documents alone or for a hearing if that is appropriate?
12. What is the estimated length of the hearing, if any?
13. Which witnesses of fact and experts is it anticipated will be called at the hearing, if there is to be one? Will interpreters be required at the hearing for any witnesses?

Parties should state whether it is considered necessary for all factual witnesses and experts to give evidence in person, or whether it would be necessary or desirable for some witnesses to give evidence by video link or similar means.

14. Is it appropriate for a hearing date to be fixed now? (Save in exceptional circumstances, a hearing date will not be fixed until the preparation of the case is sufficiently advanced to enable the duration of the hearing to be properly estimated; this will normally be after disclosure of documents has been substantially completed.)
15. Is it contemplated that the hearing should take the form of a virtual, or semi-virtual hearing (e.g. being conducted wholly or partially by video conference)? If so, what arrangements are contemplated?
16. (a) What are the estimated costs of each party:
 - (i) up to completion of this Questionnaire; and
 - (ii) through to the end of the reference?

Note: a breakdown should be given, identifying separately, among other things, the actual/estimated fees of solicitors/consultants (and the number anticipated to be required), Counsel (and specifying whether senior or junior Counsel will be involved), and experts, including relevant charge out rates.
- (b) Is this an appropriate case for the tribunal to cap costs, and if so why and at what level?
17. Does any party consider that it is entitled to security for costs and, if so, in what amount?
18. Are there any orders which are now sought?
19. Have the parties considered whether mediation might be worthwhile?

DECLARATION (TO BE SIGNED BY A PROPERLY AUTHORISED OFFICER OF THE PARTY COMPLETING THE QUESTIONNAIRE: SEE SECOND SCHEDULE, PARA. 11 (a)):

On behalf of the *[claimant/respondent]* I, the undersigned *[name]* being *[state position in organisation]* and being fully authorised to make this declaration, confirm that I have read and understood, and agree to, the answers given above. I also understand that in the event of the arbitration settling or being otherwise terminated, I will immediately notify the tribunal.

Signed Dated

THE FOURTH SCHEDULE

CHECKLIST

The following guidelines are issued with a view to making the decision-making process as cost-effective and efficient as possible. Those objectives should be borne in mind in applying them.

Where a virtual, or semi-virtual, hearing is to take place, parties should follow the LMAA Guidelines for the Conduct of Virtual and Semi-Virtual Hearings (as set out in the Sixth Schedule, and published on the LMAA website), subject to any modifications issued by the LMAA or ordered by the tribunal.

1. Arbitrations on documents alone

- (a) The parties should consider at the outset whether the case is suitable to be decided without an oral hearing (see Second Schedule paragraph 11(a)).
- (b) If the arbitration is to be decided on documents alone, the parties should consider how best to present the case to the tribunal. In particular, they should consider amalgamating the documents which each party has provided into a single chronological bundle. They should also take into account such matters referred to in paragraphs 2-4 below as may be relevant in the particular case.

2. Factual evidence

- (a) A witness statement should ideally be in the witness's own words. It should only contain evidence as to matters of fact which need to be proved by the evidence of the witness in relation to one or more issues of fact to be decided, and about which the witness has personal knowledge or recollection. A witness statement should never be used to argue a case.

- (b) Witness statements should always be in numbered paragraphs, and should contain margin cross- references to where documents appear in other bundles.
- (c) Consideration should be given to supplementary witness statements picking up the paragraph numbering from the initial statement, so that the two can be read as one continuous document.
- (d) The parties should seek to agree well in advance of any hearing whether or not the witness should be required to give oral evidence.
- (e) The parties should seek to agree whether all or some of a witness statement may stand as evidence in chief.
- (f) If a witness is to give oral evidence through or with the assistance of an interpreter, a copy of that witness's statement in his or her own language should be available. (The same applies to any critical document upon which the witness may be examined). Parties are expected to deal with arrangements for interpreters, and to seek to agree the identity of interpreters, well in advance of a hearing.
- (g) In a substantial case involving a number of witnesses, it makes sense to have separate bundles of the claimant's and respondent's witness statements respectively.

3. **Expert evidence**

- (a) Paragraphs 2(a)-(e) above are repeated.
- (b) The reports of the claimant's and respondent's respective experts should normally be in separate bundles, unless they are not voluminous.
- (c) If the reports annex documents (and this practice is to be discouraged, save as to documents adduced by experts themselves), documents that appear elsewhere should not be duplicated here.
- (d) Experts should be instructed that, when giving evidence, they should ensure that the version of any report or document to which they may wish

to refer bears the same numbering as that before the tribunal. Reports should contain margin cross-references to where documents appear in other bundles.

- (e) Without prejudice to the tribunal's power to require experts to give evidence simultaneously ("hot-tubbing"), the parties should seek to agree whether this would be appropriate.

4. **Documents for hearing**

- (a) Serious effort must be made to ensuring the elimination of unnecessary documents and the inclusion of only one copy of any document (with particular attention to emails). Only documents relevant to the issues (as distinct from loosely touching on the case) should be included.
- (b) Where documentation is at all substantial, a core bundle should normally be produced, containing the documents essential to the disputes. Sufficient space should be allowed for the insertion of as many pages again as it presently contains. Normally it will be appropriate for documents in the core bundle to have the same page numbering as in the main bundle sequence where such documents appear.
- (c) Consideration must be given to the orderly presentation of documents, e.g. by topic or chronologically. The default position is that documents should be presented chronologically. Repetition of emails in bundles is to be avoided, so far as possible. Thus, email "chains" should either be broken up into separate messages, paginated individually and in time order, or should incorporate a series of exchanges that do not occur elsewhere.
- (d) Bundles should be paginated consecutively. Although flags or dividers can be useful in moderation, they should not replace or interrupt consecutive pagination and individual documents should not be separated by dividers unless they are very substantial. No A4 ring binder should contain more than 300 sheets.
- (e) Bundles should be clearly marked with a large letter or number on both the

spine and the left-hand inside cover. Each bundle should have its own unique letter or number, i.e. wherever possible avoid A(1), A(2) etc., although such denominations may be appropriate where, e.g., what is effectively one bundle is divided because of size.

- (f) Photographs should be reproduced to the highest possible quality in the bundles, and originals should be available at a hearing whenever possible.
- (g) In a substantial case, consideration should be given to the tribunal receiving bundles in A5 rather than A4 format, but the tribunal must be consulted on any such proposal.
- (h) Where an unstructured document is liable to be subject to close analysis, thought should be given to adding line or paragraph numbers.
- (i) There should be no bundles of solicitors' correspondence unless it is certain that such correspondence is going to be referred to at the hearing, in which event only what is relevant should be included.

5. **Skeleton arguments**

- (a) The parties should seek to agree whether skeleton arguments are to be exchanged consecutively or concurrently, and the dates by when skeleton arguments will be submitted.
- (b) Skeleton arguments should be in numbered paragraphs and preferably not exceed 20 pages.
- (c) The skeleton argument of the party who is opening the proceedings should (a) contain sufficient detail that no more than a brief oral presentation will be required; (b) be accompanied by a *dramatis personae*, chronology and agreed timetable for the presentation of argument and the calling of witnesses; (c) identify any documents or authorities which it is desired that the tribunal read in advance of the hearing and (d) give an estimate of the amount of time which pre-reading is likely to involve.
- (d) Assuming that the skeleton arguments and other documents relevant to

the tribunal's understanding (a) reach the tribunal no later than five working days before the hearing and (b) do not involve an inordinate amount of time to absorb, the parties are entitled to assume that such have been read by the tribunal.

6. **Transcripts**

- (a) Transcripts should be paginated consecutively, with dividers for each separate day.
- (b) See para. 4(g) above.

THE FIFTH SCHEDULE

RECONSTITUTION OF THE TRIBUNAL

The following provisions are directed to avoiding delay which the parties or either of them consider unacceptable, but if both parties prefer to retain a tribunal as already constituted, they remain free so to agree.

1. The governing factor will be the ability of the tribunal to fix a hearing date within a reasonable time of the expected readiness date as notified by the parties on application for a date or, if they are not agreed as to the expected readiness date, within a reasonable time of whichever forecast date the tribunal considers more realistic.
2. For hearings of up to 10 days' estimated duration, what constitutes a reasonable time will (unless the parties apply for a date further ahead) be determined by reference to the estimated length of hearing as follows:

Estimated Duration	Reasonable Time
(a) Up to 2 days	3 months
(b) 3-5 days	6 months
(c) 6-10 days	10 months

"Relevant time-scale" is used below to mean whichever of the foregoing periods is applicable and, in cases of more than 10 days' duration, such corresponding time-scale as the tribunal may consider appropriate.

3. A sole arbitrator who is unable to offer a date within the relevant time-scale will offer to retire and, if so requested by the parties or either of them, will retire upon being satisfied that an appropriate substitute appointment has been effected by the parties; in event of their disagreement, either party may request the President to make the necessary substitute appointment.

4. In all other cases, unless all members of the tribunal are able to offer a matching date within the relevant time-scale:
 - (a) The tribunal will have regard to any agreed preference of the parties, but if there is no agreed preference the tribunal will fix:
 - (i) the earliest hearing date that can be given by any member(s) able to offer a guaranteed date within the relevant time-scale;
 - (ii) if a guaranteed date within the relevant time-scale cannot be offered by any member of the tribunal, the earliest date thereafter which can be guaranteed by any member(s) of the tribunal; on the basis, in either case, that any member then unable (by reason of a prior commitment) to guarantee the date so fixed will (unless that prior commitment has meanwhile cleared) retire by notice given six clear weeks prior to the start date.
 - (b) Upon notification of any such retirement an appropriate substitution will be effected as follows:
 - (i) If an original arbitrator retires the substitute shall be promptly appointed by that arbitrator's appointer or, failing such appointment at least 21 days prior to the start date the substitute will then be appointed by the umpire or third arbitrator or, if an umpire or third arbitrator has not yet been appointed, the substitute will be appointed by the Executive Committee;
 - (ii) If an umpire or third arbitrator retires the substitute will be appointed by the original arbitrators.
5. For the purpose of paragraph 4:
 - (a) "appropriate substitution" means appointment of a substitute able to match the hearing date established in accordance with sub-paragraph (a);
 - (b) "start date" means the first date reserved for the hearing;

- (c) An umpire or third arbitrator will retain power to make any necessary substitution under sub-paragraph (b)(i) notwithstanding that the umpire or third arbitrator may have given notice of retirement under sub-paragraph (a) and an original arbitrator will retain the like power under sub-paragraph (b)(ii).
6. An arbitrator or umpire who retires as mentioned above shall:
- (a) be entitled to immediate payment of fees and expenses incurred up to the date of retirement; and
 - (b) incur no liability to any party by reason thereof.

THE SIXTH SCHEDULE

GUIDELINES FOR THE CONDUCT OF VIRTUAL AND SEMI-VIRTUAL HEARINGS

1. Early preparation for the hearing

The parties' representatives are asked to confirm the following in advance of the hearing:

- (a) Counsel, solicitors or legal representatives, all witnesses, interpreters and transcribers have tested the technology to be employed for the hearing and practised using it, in advance of the hearing. It is suggested that a "practice run" should be conducted shortly before the hearing with all these participants and the tribunal, to ensure that the relevant technological requirements for the hearing can be met.
- (b) The platform and technologies to be used are adequate and have been satisfactorily tested by all participants.
- (c) For a suitable case, arrangements have been made for an appropriate level of IT support for the hearing (e.g. from the solicitors' firms or from a third party) to provide services such as hosting the meeting and arranging for participants to be sent to "break out" rooms, but also to assist if technical problems arise during the hearing.
- (d) All witnesses and interpreters have received hard copy or electronic bundles well in advance of the hearing.
- (e) Consideration has been given to contingency measures in case of outages and other technical failures. The parties shall ensure that there are adequate backups in place in the event that the virtual hearing fails. At a minimum, these shall include teleconferencing, or alternative methods of video/audio conferencing.
- (f) All participants, including any third-party technical support, agree to be bound by the traditional confidentiality undertaking in the usual way, and that any other confidentiality issues (by reason of the hearing being

conducted virtually) will be raised promptly, but in any event in advance of the hearing.

- (g) No participant shall record the hearing unless otherwise approved by the tribunal in advance. (Arrangements may be made for, and the tribunal may direct recording if agreed or ordered, as part of the organisation of the virtual hearing.)
- (h) A decision should be taken well in advance of the hearing as to whether the hearing bundles will be prepared in hard copy or electronically (or both). If the bundles are to be produced electronically, suggestions as to how these should be produced are set out below.

2. **In advance of the hearing day**

The claimant's legal representatives are to:

- (a) Circulate a contact sheet that lists all the participants (including witnesses, interpreters and transcribers) by name, organisation, time-zone indicated by reference to CAT and, except for witnesses, interpreters and transcribers, email addresses and telephone numbers to enable ready contact. The contact sheet should provide a telephone number and email address that should be contacted by any person who is having technical or connection issues during the hearing. Contact details (telephone number and email address) for any IT support should also be included on the contact sheet.
- (b) Arrange for all relevant participants to receive an invitation (link, meeting i.d., password) to the hearing each day well in advance of the agreed start-time.
- (c) Provide the tribunal with a detailed hearing schedule (to be agreed so far as possible), taking account of the need to
 - (i) co-ordinate the participants in the hearing;
 - (ii) provide for appropriate breaks during hearing days, and

- (iii) allow for possible technical problems during the hearing.

3. **Etiquette in-hearing**

- (a) At the start of the hearing each day, every participant will be asked to identify themselves to the host of the meeting and confirm the names of any person in the room with them. Any person not listed on the contact sheet will only be allowed into the meeting if the host receives confirmation from one of the parties that that person is permitted to join. (Any disagreement as to whether a participant is permitted to join should be raised promptly with the tribunal). Once permission is given to attend, their name will be added to the contact sheet by the claimant. The claimant will re-circulate it in updated form.
- (b) Only participants with speaking roles should be visible and audible but should self-mute when not speaking.
- (c) Connection issues (such as the screen freezing or if there is a deterioration in the quality of the connection because the video feed has been on for a sustained period of time) can sometimes be simply resolved by the affected participant disconnecting and re-connecting. This should be borne in mind as a practical matter.
- (d) During cross-examination, the tribunal might require all the party's legal representatives to be visible (but muted).
- (e) All participants with non-speaking roles will be muted by the host (and should ensure they are self-muted in any case) and may be asked to switch off their video (or the host may do it for them) to avoid distraction and using too much bandwidth. Participants should take steps in advance so as to avoid or at least minimise disruptions that can interfere with the smooth-running of the hearing (such as barking dogs). Please note that any participant who is muted and has their video switched off can still see and hear what is going on in the hearing room.
- (f) Any participant, other than the speaker who wishes to speak, should either put up their hand (physically) and/or utilise the virtual "raise hand"

feature to alert the meeting host/tribunal, and wait to be invited to speak. Interruptions that do not comply with these requirements will be muted by the host.

- (g) If a party's connection is interrupted, the person who has disconnected should email everyone, or telephone a number that will be made available at the start of the hearing and listed on the contact sheet for people to call in the event of such issues and if it is not possible to re-connect promptly, await instructions. The tribunal will give instructions.
- (h) The tribunal may terminate the virtual hearing at any time if the tribunal deems the hearing so unsatisfactory that it is unfair to either party to continue.

4. **Oral testimony from witnesses**

It is to be noted that:

- (a) Witnesses, while giving evidence, must not communicate with third parties or be prompted in any way and must not consult documents other than those in the agreed bundles. If an e-bundle is being used, it may be useful for the witness to have two screens (one for the video conference, and one for documents).
- (b) Throughout the time witnesses are giving evidence, in addition to the other participants being able to see the witness, arrangements must be made for the room in which the witness is situated to be visible (e.g. by positioning a camera behind the witness if the witness has 2 cameras or for the witness at the start of giving evidence and if required by the tribunal at intervals, to turn the camera 360 degrees to show the whole room) so that it is possible to see anyone else in the room with the witness. Arrangements must also be made to ensure that the witness has no electronic devices, or other potential prompts, visible apart from the screen that displays the virtual hearing. It may also be appropriate for a camera behind the witness to be positioned so that a check can be made that the screen used for the virtual hearing is not also being used

to prompt the witness. The witness will be asked to confirm compliance with all of these rules at the start of each session.

- (c) The chain of interactions from counsel-interpreter-witness-interpreter and back to counsel again is the area most likely to result in over-speaking and repetition. The parties are required to devise, if necessary, a practical protocol that seeks to minimise this problem (such as requiring short sentences and short questions).
- (d) Witnesses will be asked to leave their mobile 'phones and other devices outside the room when they are giving evidence.

5. **Electronic bundles**

- (a)
 - (i) If possible, the bundles should be contained in a single PDF but where that is not practical (because of the number of documents) any PDF should consist of a maximum of 100 pages.
 - (i) If possible, the PDF should be capable of being word-searched.
 - (ii) PDFs should contain index entries and (for an appropriate case) bookmarks to allow for ease of navigation of the documents contained within those PDFs.
 - (iii) The index or bookmarks inserted into the PDF should be given descriptions that correspond with the tabs inserted into hard copy bundles. Each case will be different, but for most cases it will probably be appropriate to give a description such as Mr X's witness statement, contract etc, rather than be described as Tab 1, Tab 2 etc.
 - (iv) The electronic bundle should be paginated from first to last.
 - (v) The electronic bundle and any hard copy bundle must have identical pagination. PDFs should have internal numbering which is displayed on the PDF viewer at the top right-hand side of the PDF page. That number needs to match the pagination number in the hard copy bundle, so that one can type in the page number in the PDF viewer and go straight to

the correct paginated page. This can be achieved by, for example, paginating hard copy files so that each tab starts at 1; or, by using a PDF editing programme (e.g. Nuance or Adobe Acrobat Pro) which allows one to edit the internal number displayed in the PDF viewer so that the PDF, when edited, matches the pagination.

- (vi) The PDF file should have a table of contents at the start (but if it is given a page number in the PDF viewer which throws out the pagination, the hard copy pagination will need to be modified so as to match this).
 - (vii) Hyperlinks and bookmarks should, if possible, be used. The contents page should contain hyperlinks to particularly relevant documents (e.g. the contract). The "bookmark" function can also be used to locate certain documents within the PDF file and labelled appropriately if they are not already identified as being particular "tabs". If the bundle and skeleton arguments are part of the same PDF, it might be useful to use hyperlinks between the skeleton arguments and the bundle. In that case, the parties would need to consider earlier preparation of the bundles.
 - (viii) For some cases, a separate non-PDF electronic bundle might be necessary. This is likely to be limited to cases where it is necessary to refer to metadata or other embedded data or to include videos.
- (b) During the hearing, advocates should be particularly conscious of the need to refer only to documents in electronic bundles where necessary and should aim to minimise the number of PDFs open at the same time.
 - (c) The parties are normally to prepare and use a core bundle where electronic bundles are being used, unless the number of documents in the bundles makes this unnecessary.
 - (d) It may be appropriate in some cases to have a document management provider (e.g. one of the solicitor's firms or a third party) to display any document to which reference is made during the hearing on each participant's screen.

- (e) Where new documents are introduced during the hearing (and these can be “handed up”, electronically in a variety of ways such as through the “chat” function of Zoom or by email), consideration will need to be given as to how they are to be absorbed into the existing hearing bundles. In some cases, it might be possible to absorb them immediately (e.g. print them out and create a hard copy “inserts” folder, or, with the use of functions such as Adobe Acrobat Pro, absorb them then and there into the electronic bundles) but on other occasions it will probably be necessary to create either a separate electronic bundle for inserts that have been provided that day, or one single electronic file into which all inserts that are “handed-up” throughout the hearing are inserted. It is not likely to be appropriate simply for a complete, new bundle incorporating inserts to be produced as it is likely that participants will have marked-up their existing bundles.

6. **Screens**

- (a) Participants will need to consider the number of screens they may require for the hearing. Not every case requires multiple screens, it will depend on a number of factors, such as whether there is a document management provider or a real-time transcript. It may not be necessary to have one screen for each of the requirements that are listed here but it probably will be required for most of them. Screens will be required for:
- (i) Connecting the participant to the video feed;
 - (ii) Accessing and viewing real-time transcripts;
 - (iii) The document management provider, so as to display documents to be viewed during the hearing (either on a separate screen from the other screens in use or sharing the screen which has the video feed);
 - (iv) Viewing documents referred to during the hearing.