

2009 No. 1603 (L. 17)

SUPREME COURT OF THE UNITED KINGDOM

The Supreme Court Rules 2009

Made - - - - *26th June 2009*

Laid before Parliament *1st July 2009*

Coming into force - - *1st October 2009*

CONTENTS

PART 1

Interpretation and scope

1. Citation and commencement
2. Scope and objective
3. Interpretation
4. Forms
5. Time limits
6. Service
7. Filing
8. Non-compliance with these Rules
9. Procedural decisions

PART 2

Application for permission to appeal

10. Form of application
11. Filing of application
12. Service of application
13. Notice of objection by respondent
14. Documents in support of application
15. Interventions in applications
16. Consideration on paper
17. Oral hearing of application

PART 3

Commencement and preparation of appeal

18. Form and filing of notice where permission granted by the Court
19. Form and filing of notice where permission not required

20. Service of notice
21. Acknowledgement by respondent
22. Documents for appeal hearing
23. The core volumes
24. Authorities
25. Cross-appeals
26. Intervention

PART 4
Hearing and decision of appeal

27. Hearing in open court
28. Judgment
29. Orders

PART 5
Further general provisions

30. Procedural applications
31. Requests for expedition
32. Grouping appeals
33. Change of interest
34. Withdrawal etc of application for permission to appeal or of appeal
35. Advocate to the Court and assessors
36. Security for costs
37. Stay of execution
38. Change of solicitor and London agents
39. Disposal of documents

PART 6
Particular appeals and references

40. Human Rights Act issues
41. Devolution jurisdiction
42. Court of Justice of the European Communities
43. Revocation of patents
44. Criminal appeals

PART 7
Fees and costs

45. Fees
46. Orders for costs
47. Submissions as to costs
48. Claim for costs
49. Assessment of costs
50. Basis of assessment
51. The standard basis and the indemnity basis
52. Amount of assessed costs to be specified
53. Appeal from assessment

54. Payment out of security for costs

PART 8
Transitional arrangements

55. Transitional arrangements

The senior Lord of Appeal in Ordinary makes the following Rules in exercise of the power conferred by section 45 of the Constitutional Reform Act 2005^(a).

In accordance with section 45(4) and (5) of that Act the senior Lord of Appeal in Ordinary has consulted the Lord Chancellor, the General Council of the Bar of England and Wales, the Law Society of England and Wales, the Faculty of Advocates of Scotland, the Law Society of Scotland, the General Council of the Bar of Northern Ireland, the Law Society of Northern Ireland and with such other bodies representing persons likely to be affected by the Rules as the senior Lord of Appeal in Ordinary considered appropriate.

PART 1
Interpretation and scope

Citation and commencement

1. These Rules may be cited as the Supreme Court Rules 2009 and shall come into force on 1st October 2009.

Scope and objective

2.—(1) These Rules apply to civil and criminal appeals to the Court and to appeals and references under the Court’s devolution jurisdiction.

(2) The overriding objective of these Rules is to secure that the Court is accessible, fair and efficient.

(3) The Court must interpret and apply these Rules with a view to securing that the Court is accessible, fair and efficient and that unnecessary disputes over procedural matters are discouraged.

Interpretation

3.—(1) In these Rules—

“the Act” means the Constitutional Reform Act 2005;

“the Court” means the Supreme Court of the United Kingdom;

“Justice” means a judge of the Court and includes its President and Deputy President;

“the Registrar” means the Registrar of the Court;

“the Registry” means the Registry of the Court.

(2) In these Rules except where the context otherwise requires —

“appellant” means a person who files an application for permission to appeal or who files a notice of appeal;

(a) 2005 c. 4. Section 45 is modified by the Constitutional Reform Act 2005 (Temporary Modifications) Order 2006 (S.I. 2006/227) so that, until the coming into force of s 23 of the 2005 Act, any reference to the “President of the Supreme Court” is a reference to the “senior Lord of Appeal in Ordinary”.

“business day” means any day other than a Saturday, Sunday, Christmas Day, Good Friday or a bank holiday under the Banking and Financial Dealings Act 1971(a), in England and Wales;

“certificate of service” means a certificate given under rule 6;

“counsel” includes any person with the right to be heard as an advocate at a full hearing before the Court;

“court below” means the court from which an appeal (or application for permission to appeal) is made to the Court;

“court officer” means the Registrar or a member of the court staff;

“devolution jurisdiction” means the jurisdiction transferred to the Court by section 40 of, and Schedule 9 to, the Act;

“electronic means” means CD ROMs, memory sticks, email, fax or other means of electronic communication of the contents of documents;

“filing” means filing in the Registry in accordance with rule 7 and related expressions have corresponding meanings;

“form” and the “appropriate form” have the meanings given by rule 4;

“panel of Justices” means a panel of at least three Justices;

“party” means an appellant, a respondent and a person who has been given permission to intervene under rule 26;

“the relevant officer” means—

- (a) in relation to proceedings in England and Wales, the Attorney General and, in relation to proceedings that particularly affect Wales, the Counsel General to the Welsh Assembly Government,
- (b) in relation to proceedings in Scotland, the Advocate General for Scotland and the Lord Advocate; and
- (c) in relation to proceedings in Northern Ireland, the Advocate General for Northern Ireland and (when section 22 of the Justice (Northern Ireland) Act 2002 comes into force (b)) the Attorney General for Northern Ireland;

“requisite number of copies” means the number of copies which are to be provided under the relevant practice direction or as directed by the Court;

“respondent” includes a respondent to an application for permission to appeal and means—

- (a) a person other than the appellant who was a party to the proceedings in the court below and who is affected by the appeal; and
- (b) a person who is permitted by the Court to be a party to the appeal;

“service” and related expressions have the meanings given by rule 6;

“solicitor” includes any person authorised to provide legal services other than as counsel in connection with proceedings before the Court.

(3) References in these Rules to a practice direction means a practice direction issued by the President of the Court.

(4) References in these Rules or in any form to a party’s signing, filing or serving any document or taking any other procedural step include the signature, filing or service of that document or the taking of such other procedural step by the party’s solicitor.

(5) Where any of these Rules or any practice direction requires a document to be signed, that requirement shall be satisfied if the signature is printed by computer or other mechanical means.

(6) Where these Rules require or permit the Court to perform an act of a formal or administrative character, that act may be performed by a court officer.

(a) 1971 c. 80.
(b) 2002 c. 26.

Forms

4.—(1) In these Rules, a form means a form set out in a practice direction and a reference to the “appropriate form” means the form provided by the relevant practice direction for any particular case.

(2) The forms shall be used in the cases to which they apply, and in the circumstances for which they are provided by the relevant practice direction, but a form may be varied by the Court or a party if the variation is required by the circumstances of a particular case.

Time limits

5.—(1) The Court may extend or shorten any time limit set by these Rules or any relevant practice direction (unless to do so would be contrary to any enactment).

(2) The Court may exercise these powers either on an application by one or more parties or without an application being made.

(3) The Registrar must notify the parties when a time limit is varied under this rule.

(4) An application for an extension of time may be granted after the time limit has expired.

(5) Where a party to a proposed appeal has applied for public funding and the Registrar is informed of the application, the time limits in rules 11 and 19 shall be extended until 28 days after the final determination of the application for public funding.

(6) When the period specified—

(a) by these Rules or a practice direction, or

(b) by any judgment or court order,

for doing any act at the Registry ends on a day on which the Registry is closed, that act shall be in time if done on the next day on which the Registry is open.

Service

6.—(1) A document may be served by any of the following methods—

(a) personal service;

(b) first class post (or an alternative service which provides for delivery on the next working day);

(c) (with the consent of the party to be served) through a document exchange;

(d) (with the consent of the party to be served or at the direction of the Registrar) by electronic means in accordance with the relevant practice direction.

(2) Where the address of the person on whom a document is to be served is unknown, the Registrar may direct that service is effected by an alternative method of service.

(3) A document served by first-class post or through a document exchange will be taken to have been served on the second day after it was posted or left at the document exchange, as the case may be (not including days which are not business days).

(4) A certificate of service must give details of the persons served, the method of service used and must state the date on which the document was served personally, posted, delivered to the document exchange or sent electronically, as the case may be.

Filing

7.—(1) A document may be filed by any of the following methods—

(a) personal delivery;

(b) first class post (or an alternative service which provides for delivery on the next working day);

(c) through a document exchange;

(d) (with the consent of the Registrar) by electronic means in accordance with the relevant practice direction.

(2) A document filed by first-class post or through a document exchange will be taken to have been filed on the second day after it was posted or left at the document exchange, as the case may be (not including days which are not business days).

(3) Except with the consent of the Registrar, the contents of documents—

- (a) filed in hard copy must also be provided to the Registry by electronic means, and
- (b) filed by electronic means must also be provided to the Registry in hard copy,

in accordance with the relevant practice direction.

(4) A court officer must seal the following documents when they are filed—

- (a) an application for permission to appeal,
- (b) a notice of objection or acknowledgement by the respondent,
- (c) a notice of appeal,
- (d) an application form,

and may place the seal on the document by hand or by printing a facsimile of the seal on the document whether electronically or otherwise.

(5) A document purporting to bear the Court's seal shall be admissible in evidence without further proof.

Non-compliance with these Rules

8.—(1) Any failure by a party to comply with these Rules or any relevant practice direction shall not have the effect of making the proceedings invalid.

(2) Where any provision in these Rules or any relevant practice direction is not complied with, the Court may give whatever directions appear appropriate, having regard to the seriousness of the non-compliance and generally to the circumstances of the case.

(3) In particular, the Registrar may refuse to accept any document which does not comply with any provision in these Rules or any relevant practice direction and may give whatever directions appear appropriate.

(4) Directions given under this rule may include the summary dismissal of an appeal or debarring a respondent from resisting an appeal.

Procedural decisions

9.—(1) Subject to paragraph (2), the powers of the Court under the following rules may be exercised by a single Justice or the Registrar without an oral hearing—

- (a) rule 5 (time limits),
- (b) rule 8 (non-compliance with Rules),
- (c) rule 33 (change of interest),
- (d) rule 34 (withdrawal of appeal),
- (e) rule 35 (advocate to the Court and assessors),
- (f) rule 36 (security for costs),
- (g) rule 37 (stay of execution) and
- (h) rule 41 (devolution jurisdiction).

(2) Any contested application—

- (a) alleging contempt of the Court; or
- (b) for a direction under rule 8 dismissing an appeal or debarring a respondent from resisting an appeal; or

(c) for security for costs,
shall be referred to a panel of Justices who shall, in a case of alleged contempt, and may, in any other case, hold an oral hearing.

(3) Where under these Rules any matter falls to be decided by a single Justice, that Justice may, where it appears appropriate, direct an oral hearing or may refer the matter to a panel of Justices to be decided with or without an oral hearing.

(4) Where under these Rules any matter falls to be decided by the Registrar, the Registrar may—

- (a) direct an oral hearing;
- (b) refer the matter to a single Justice (and paragraphs (1) and (3) shall then apply);
- (c) refer the matter to a panel of Justices to be decided with or without an oral hearing.

(5) A party may apply for a decision of the Registrar to be reviewed by a single Justice (in which case paragraphs (1) and (3) shall apply) and any application under this rule must be made in the appropriate form and be filed within 14 days of the Registrar's decision.

(6) Subject to rule 27, oral hearings on procedural matters must be heard in open court or in a place to which the public are admitted.

(7) If any procedural question arises which is not dealt with by these Rules, the Court or the Registrar may adopt any procedure that is consistent with the overriding objective, the Act and these Rules.

PART 2

Application for permission to appeal

Form of application

10.—(1) Every application to the Court for permission to appeal shall be made in the appropriate form.

(2) An application for permission to appeal must be made first to the court below, and an application may be made to the Supreme Court only after the court below has refused to grant permission to appeal.

Filing of application

11.—(1) Subject to any enactment which makes special provision with regard to any particular category of appeal, an application for permission to appeal must be filed within 28 days from the date of the order or decision of the court below.

(2) The Registrar may refuse to accept any application on the ground that—

- (a) the Court does not have jurisdiction under section 40 of the Act to issue it;
- (b) it contains no reasonable grounds; or
- (c) it is an abuse of process,

and may give whatever directions appear appropriate.

(Section 2 of the Administration of Justice Act 1960 provides that an application for permission to appeal to the Supreme Court in a case involving civil contempt of court must be filed within 14 days, beginning with the date on which the application for permission is refused by the court below.)

(Section 13 of the Administration of Justice Act 1969 provides that an application for permission to appeal to the Supreme Court in a "leapfrog appeal" from the High Court must be filed within one month from the date on which the High Court judge grants a certificate under section 12.)

Service of application

12. Before the application is filed, a copy must be served—

- (a) on every respondent, and
- (b) on any person who was an intervener in the court below,

and, when the application is filed, the appellant must file a certificate of service.

Notice of objection by respondent

13.—(1) Each respondent who wishes to object to the application must, within 14 days after service, file notice of objection in the appropriate form together with a certificate of service.

(2) Before the notice is filed, a copy must be served on—

- (a) the appellant,
- (b) any other respondent, and
- (c) any person who was an intervener in the court below.

(3) A respondent who does not file notice under this rule will not be permitted to participate in the application and will not be given notice of its progress.

Documents in support of application

14.—(1) The requisite number of copies of the application must be filed together with—

- (a) a copy of the order appealed from, and
- (b) (if separate) a copy of any order refusing permission to appeal

and, if the order appealed from is not immediately available, the application should be filed without delay and the order filed as soon as it is available.

(2) The appellant must file the further documents required for the use of the Court within 7 days after filing the application.

Interventions in applications

15.—(1) Any person and in particular—

- (a) any official body or non-governmental organization seeking to make submissions in the public interest or
- (b) any person with an interest in proceedings by way of judicial review,

may make written submissions to the Court in support of an application for permission to appeal and request that the Court takes them into account.

(2) Before the submissions are filed, a copy must be served on—

- (a) the appellant,
- (b) every respondent, and
- (c) any person who was an intervener in the court below

and the requisite number of copies of the submissions must be filed together with a certificate of service.

(3) Any submissions which are made shall be referred to the panel of Justices which considers the application for permission to appeal.

(4) If permission to appeal is granted—

- (a) a person whose submissions were taken into account by the panel will be notified but, if that person wishes to intervene in the appeal, an application must be made under rule 26;
- (b) the appellant must notify any person who was an intervener in the court below whether or not that person made submissions under this rule.

Consideration on paper

16.—(1) Every admissible application for permission to appeal (together with any submissions made under rule 15 and any respondent's notice of objection) shall be considered on paper without a hearing by a panel of Justices.

(2) The panel may—

- (a) grant or refuse permission to advance all or any of the grounds of appeal;
- (b) invite the parties to file written submissions within 14 days as to the grant of permission on terms (whether as to costs or otherwise); or
- (c) direct an oral hearing.

(3) Where the panel has invited the parties' submissions as to terms, it shall reconsider the application on paper without a hearing and may refuse permission or grant permission (either unconditionally or on terms) to advance all or any of the grounds of appeal.

(4) Where the panel grants permission to advance limited grounds of appeal it shall (unless it directs otherwise) be taken to have refused permission to advance the other grounds.

(5) An order of the Court shall be prepared and sealed by the Registrar to record any decision made under this rule.

Oral hearing of application

17.—(1) Where the panel has directed an oral hearing, the appellant and every respondent who has given notice under rule 13 will be informed of the date of the oral hearing.

(2) An order of the Court shall be prepared and sealed by the Registrar to record any decision made under this rule.

PART 3

Commencement and preparation of appeal

Form and filing of notice where permission granted by the Court

18.—(1) Where the Court grants permission to appeal, rules 19 and 20 shall not apply and

- (a) the application for permission to appeal shall stand as the notice of appeal;
- (b) the grounds of appeal shall be limited to those on which permission has been granted;
- (c) the appellant must, within 14 days of the grant by the Court of permission to appeal, file notice under this rule of an intention to proceed with the appeal.

(2) When notice is filed under rule 18(1)(c), the application for permission to appeal will be re-sealed and the appellant must then—

- (a) serve a copy on each respondent and on any person who was an intervener in the court below or whose submissions were taken into account under rule 15; and
- (b) file the requisite number of copies and a certificate of service.

(3) In any other case an appellant must file a notice of appeal under rule 19.

Form and filing of notice where permission not required

19.—(1) Every notice of appeal shall be made in the appropriate form.

(2) The notice of appeal together with the requisite number of copies must be filed within 42 days of the date of the order or decision of the court below.

(3) The appellant must also file—

- (a) a copy of the order appealed from and

(b) (if separate) a copy of the order granting permission to appeal and, if the order appealed from is not immediately available, the notice of appeal must be filed without delay and the order filed as soon as it is available.

Service of notice

20.—(1) Before the notice of appeal is filed, a copy must be served on each respondent and on any person who was an intervener in the court below.

(2) When the notice of appeal is filed, the appellant must file a certificate of service.

Acknowledgement by respondent

21.—(1) Each respondent who intends to participate in the appeal must, within 14 days after service under rule 18(2)(a) or 20, file notice in the appropriate form together with a certificate of service.

(2) Before the notice is filed, a copy must be served on—

- (a) the appellant,
- (b) any other respondent, and
- (c) any person who was an intervener in the court below or whose submissions were taken into account under rule 15.

(3) A respondent who does not file notice under this rule will not be permitted to participate in the appeal and will not be given notice of its progress.

Documents for appeal hearing

22.—(1) Within 112 days after the filing of the notice under rule 18(1)(c) or the filing of the notice of appeal, the appellant must file—

- (a) a statement of the relevant facts and issues; and
- (b) an appendix (prepared in accordance with the relevant practice direction) of the essential documents which were in evidence before, or which record the proceedings in, the courts below.

(2) Both the statement and the appendix must be submitted to, and agreed with, every respondent before being filed.

(3) Within 7 days after the filing of the statement and the appendix, every party must—

- (a) notify the Registrar that the appeal is ready for listing, and
- (b) specify the number of hours that their respective counsel estimate to be necessary for their oral submissions

and the Registrar will subsequently inform the parties of the date fixed for the hearing.

(4) The appellant and every respondent (and any intervener and advocate to the Court) must then sequentially exchange their respective written cases and file them, and every respondent (and any intervener and advocate to the Court) must for the purposes of rule 23 provide copies of their respective written cases, in compliance with the relevant practice direction.

The core volumes

23. As soon as the parties' cases have been exchanged and in any event not later than 14 days before the date fixed for the hearing the appellant must file the requisite number of core volumes and, if necessary, additional volumes containing further parts of the appendix, in compliance with the relevant practice direction.

Authorities

24. The volumes of authorities that may be referred to during the hearing must be prepared in accordance with the relevant practice direction and the requisite number of copies of the volumes of authorities must be filed by the appellant at the same time as the core volumes.

Cross-appeals

25.—(1) A respondent who wishes to argue that the order appealed from should be upheld on grounds different from those relied on by the court below, must state that clearly in the respondent's written case (but need not cross-appeal).

(2) Except where—

- (a) leave is required from the Court of Session for an appeal from that court, or
- (b) an appeal lies to the Court as of right,

a respondent who wishes to argue that the order appealed from should be varied must obtain permission to cross-appeal from the Court.

(3) Part 2 of these Rules shall apply (with appropriate modifications) to an application to the Court for permission to cross-appeal and (if practicable) applications for permission to appeal and to cross-appeal shall be considered together by the same panel of Justices.

(4) Where there is a cross-appeal, this Part of these Rules shall apply with appropriate modifications and in particular—

- (a) either the application for permission to cross-appeal to the Court shall stand as a notice of cross-appeal, or such a notice (in the appropriate form) shall be filed and served within 42 days of the grant by the Court of permission to appeal or of the filing of the notice of appeal;
- (b) there shall be a single statement of facts and issues, a single appendix of essential documents (divided if necessary into parts) and a single case for each party in respect of the appeal and the cross-appeal (and each case should state clearly that it is in respect of both the appeal and the cross-appeal); and
- (c) the appellant shall remain primarily responsible for the preparation of all the papers for the appeal and for notifying the Registrar under rule 22(3).

Intervention

26.—(1) After permission to appeal has been granted by the Court or a notice of appeal has been filed, any person and in particular—

- (a) any official body or non-governmental organization seeking to make submissions in the public interest,
- (b) any person with an interest in proceedings by way of judicial review,
- (c) any person who was an intervener in the court below or whose submissions were taken into account under rule 15,

may apply to the Court for permission to intervene in the appeal.

(2) An application under this rule must be made in the appropriate form and shall be considered on paper by a panel of Justices who may refuse permission to intervene or may permit intervention—

- (a) by written submissions only; or
- (b) by written submissions and oral submissions

and any oral submissions may be limited to a specified duration.

(3) No permission is required—

- (a) for an intervention by the Crown under section 5 of the Human Rights Act 1998, or

- (b) for an intervention by the relevant officer in a case where the Court is exercising its devolution jurisdiction.

(For rules relating to Human Rights Act issues and the Court's devolution jurisdiction see rules 40 and 41.)

PART 4

Hearing and decision of appeal

Hearing in open court

27.—(1) Every contested appeal shall be heard in open court except where it is necessary in the interests of justice or in the public interest to sit in private for part of an appeal hearing.

(2) Where the Court considers it necessary for a party and that party's representative to be excluded from a hearing or part of a hearing in order to secure that information is not disclosed contrary to the public interest, the Court must conduct the hearing, or that part of it from which the party and the representative are excluded, in private but the Court may exclude a party and any representative only if a person who has been appointed as a special advocate to represent the interests of that party is present when the party and the representative are excluded.

(3) Where the Court decides it is necessary for the Court to sit in private, it shall announce its reasons for so doing publicly before the hearing begins.

(4) Hearings shall be conducted in accordance with—

- (a) the relevant practice direction, and
- (b) any directions given by the Court

and directions given by the Court may limit oral submissions to a specified duration.

Judgment

28. A judgment may be—

- (a) delivered in open court; or
- (b) if the Court so directs, promulgated by the Registrar.

Orders

29.—(1) In relation to an appeal or a reference, the Supreme Court has all the powers of the court below and may—

- (a) affirm, set aside or vary any order or judgment made or given by that court;
- (b) remit any issue for determination by that court;
- (c) order a new trial or hearing;
- (d) make orders for the payment of interest;
- (e) make a costs order.

(2) An order of the Supreme Court may be enforced in the same manner as an order of the court below or of the appropriate superior court.

(3) For the purposes of paragraph (2) “the appropriate superior court” means—

- (a) in the case of an appeal or reference from a court in England and Wales, the High Court;
- (b) in the case of an appeal or reference from a court in Scotland—
 - (i) where the appeal or reference is in civil proceedings, the Court of Session; and
 - (ii) where the appeal or reference is in criminal proceedings, the High Court of Justiciary;

- (c) in the case of an appeal or reference from a court in Northern Ireland, the High Court in Northern Ireland.
- (4) In the case of references other than those mentioned in paragraph (3) “the appropriate superior court” in paragraph (2) means—
- (a) where the reference is under the Scotland Act 1998, the Court of Session;
 - (b) where the reference is under the Northern Ireland Act 1998, the High Court in Northern Ireland; and
 - (c) where the reference is under the Government of Wales Act 2006, the High Court.
- (5) Every order of the Court shall be prepared and sealed by the Registrar who may invite written submissions as to the form of the order.

PART 5

Further general provisions

Procedural applications

30.—(1) Every procedural application to the Court must be made in the appropriate form for general procedural applications unless a particular form is provided for a specific case.

(2) An application must be made in the appropriate form and must—

- (a) set out the reasons for making the application, and
- (b) where necessary, be supported by written evidence.

(3) A copy of the application must be served on every other party before it is filed and, when the application is filed, the applicant must file a certificate of service.

(4) A party who wishes to oppose an application must, within 7 days after service, file notice of objection in the appropriate form and must (before filing) serve a copy on the applicant and any other parties.

(5) An application for permission to appeal, a notice of appeal or any other document filed under these Rules may be amended on application under this rule or with the permission of the Registrar on such terms as appear appropriate, and the Registrar may invite the parties’ written submissions on any application to amend.

Requests for expedition

31.—(1) Any request for urgent consideration of an application for permission to appeal or for an expedited hearing must be made to the Registrar.

(2) Wherever possible the views of all parties should be obtained before such a request is made.

Grouping appeals

32. The Registrar may direct that appeals raising the same or similar issues shall be heard either together or consecutively by the Court constituted by the same Justices and may give any consequential directions that appear appropriate.

Change of interest

33. The Court must be informed promptly of—

- (a) the death or bankruptcy of any individual party;
- (b) the winding up or dissolution of any corporate party;
- (c) any compromise of the subject matter of an appeal;
- (d) any event which does or may deprive an appeal of practical significance to the parties,

and the Court may give any consequential directions that appear appropriate.

Withdrawal etc of application for permission to appeal or of appeal

34.—(1) An application for permission to appeal or a notice of appeal may be withdrawn with the written consent of all parties or with the permission of the Court on such terms as appear appropriate.

(2) The Court may set aside or vary the order appealed from by consent and without an oral hearing if satisfied that it is appropriate so to do.

(3) In this rule “a notice of appeal” includes an application for permission to appeal or cross-appeal which (under rule 18 or rule 25) stands as a notice of appeal or cross-appeal.

Advocate to the Court and assessors

35.—(1) The Court may request the relevant officer to appoint, or may itself appoint, an advocate to the Court to assist the Court with legal submissions.

(2) In accordance with section 44 of the Act the Court may, at the request of the parties or of its own initiative, appoint one or more independent specially qualified advisers to assist the Court as assessors on any technical matter.

(3) The fees and expenses of any advocate to the Court or assessor shall be costs in the appeal.

Security for costs

36.—(1) The Court may on the application of a respondent order an appellant to give security for the costs of the appeal and any order for security shall determine—

(a) the amount of that security, and

(b) the manner in which, and the time within which, security must be given.

(2) An order made under this rule may require payment of the judgment debt (and costs) in the court below instead of, or in addition to, the amount ordered by way of security for costs.

Stay of execution

37. Any appellant who wishes to obtain a stay of execution of the order appealed from must seek it from the court below and only in wholly exceptional circumstances will the Court grant a stay.

Change of solicitor and London agents

38.—(1) If a party for whom a solicitor is acting wishes to change solicitors, that party or the new solicitor must give the Registrar and the former solicitor written notice of the change.

(2) Until such notices are given the former solicitor shall continue to be treated as the party’s solicitor.

(3) Solicitors practising outside London may appoint London agents and additional costs incurred by not appointing London agents may be disallowed.

Disposal of documents

39.—(1) All documents filed become the property of the Court and original documents must be retained in the records of the Registry.

(2) Other documents shall be destroyed unless the Registrar (on a written application made within 21 days of the end of the proceedings) directs otherwise.

(3) All documents held by the Court may be inspected by the press or members of the public on application to the Registrar but the Registrar may refuse an application for reasons of commercial confidentiality, national security or in the public interest.

(4) Before allowing an application for inspection under this rule, the Registrar may impose terms or conditions such as the redaction of certain material where such a condition is necessary in the interests of justice or in the public interest.

PART 6

Particular appeals and references

Human Rights Act issues

40.—(1) Where an appeal raises a question of incompatibility under section 4 of the Human Rights Act 1998(a) and the Crown is not already a party to the appeal, the Registrar shall give 21 days' notice of the question to the Crown.

(2) If notice is given that the Crown wishes to be joined, the appropriate Minister or other person shall be joined accordingly.

(3) If such a question arises for the first time during the course of an appeal hearing the Court will if necessary adjourn the proceedings to enable the Registrar to give notice under paragraph (1).

Devolution jurisdiction

41.—(1) Appeals or references under the Court's devolution jurisdiction shall in general be dealt with in accordance with these Rules but the Court shall give special directions as and when necessary, and in particular as to—

- (a) any question referred under section 33 of the Scotland Act 1998(b), section 11 of the Northern Ireland Act 1998(c) or section 96, 99 or 112 of the Government of Wales Act 2006(d),
- (b) any reference of a devolution issue(e),
- (c) any direct references under paragraph 33 or 34 of Schedule 6 to the Scotland Act 1998, paragraph 33 or 34 of Schedule 10 to the Northern Ireland Act 1998 or paragraph 29 or 30 of Schedule 9 to the Government of Wales Act 2006.

(2) A reference made by the relevant officer is made by filing the reference and by serving a copy on any other relevant officer who is not already a party and who has a potential interest in the proceedings.

(3) A reference must state the question or issue to be decided by the Court.

(4) The Registrar shall give notice of the question or issue to the appropriate relevant officer where that officer is not already a party to any proceedings.

Court of Justice of the European Communities

42.—(1) Where it is contended on an application for permission to appeal that it raises a question of Community law which should be the subject of a reference under Article 234 of the Treaty establishing the European Community and permission to appeal is refused, the panel of Justices will give brief reasons for its decision.

(2) Where on an application for permission to appeal a panel of Justices decides to make a reference under Article 234 before determining the application, it will give consequential

(a) 1998 c. 42.

(b) 1998 c. 46; section 33 provides for the scrutiny of proposed Acts of the Scottish Parliament by the Supreme Court.

(c) 1998 c. 47; section 11 provides for the scrutiny of proposed Acts of the Northern Ireland Assembly by the Supreme Court.

(d) 2006 c. 32; sections 96, 99 and 112 provide for the scrutiny of proposed Orders in Council, proposed Assembly Measures and proposed Acts of the National Assembly for Wales by the Supreme Court.

(e) A devolution issue is defined in Schedule 6 to the Scotland Act 1998, Schedule 10 to the Northern Ireland Act 1998 and Schedule 9 to the Government of Wales Act 2006.

directions as to the form of the reference and the staying of the application (but it may if it thinks fit dispose of other parts of the application at once).

(3) Where at the hearing of an appeal the Court decides to make a reference under Article 234 it will give consequential directions as to the form of the reference and the staying of the appeal (but it may if it thinks fit dispose of other parts of the appeal at once).

(4) An order of the Court shall be prepared and sealed by the Registrar to record any decision made under this rule.

Revocation of patents

43.—(1) On any appeal under sections 12 and 13 of the Administration of Justice Act 1969^(a) from an order for revocation of a patent the appellant must serve notice of the appeal on the Comptroller-General of Patents (“the Comptroller”) as well as on every respondent.

(2) A respondent who decides not to oppose the appeal must serve notice of that decision on the Comptroller together with the relevant statements of case.

(3) The Comptroller shall within 14 days serve on the appellant and file a notice stating whether or not the Comptroller intends to appear on the appeal.

(4) Where notice is given under paragraph (3), the Comptroller may appear on the appeal.

Criminal appeals

44. The Court must apply in accordance with the relevant practice direction the code of practice for victims issued under section 32 of the Domestic Violence, Crime and Victims Act 2004^(b).

PART 7

Fees and costs

Fees

45. Where a fee is prescribed by any order made under section 52 of the Act, the Registrar may refuse to accept a document or refuse to allow a party to take any step unless the relevant fee is paid.

Orders for costs

46.—(1) The Court may make such orders as it considers just in respect of the costs of any appeal, application for permission to appeal, or other application to or proceeding before the Court.

(2) The Court’s powers to make orders for costs may be exercised either at the final determination of an appeal or application for permission to appeal or in the course of the proceedings.

(3) Orders for costs will not normally be made either in favour of or against interveners but such orders may be made if the Court considers it just to do so (in particular if an intervener has in substance acted as the sole or principal appellant or respondent).

(a) 1969 c. 58; section 12 has been amended by the Courts Act 1971 (c.23), Schedule 11 Part IV, Judicature (Northern Ireland) Act 1978 (c.23) section 122(1)(2), Schedule 6 paragraph 13, Schedule 7 Part I and the Supreme Court Act 1981 (c.54), section 152(4), Schedule 7 .

(b) 2004 c. 28.

Submissions as to costs

47.—(1) If a party wishes to defer making submissions as to costs until after judgment, the Court must be informed of this not later than at the close of the oral argument.

(2) If the Court accedes to the request it will give such directions as appear appropriate and it may, in particular, give directions—

- (a) for the hearing of oral submissions as to costs immediately after judgment;
- (b) for the simultaneous or sequential filing of written submissions as to costs within a specified period after judgment;
- (c) for the hearing of oral submissions after the filing of written submissions.

Claim for costs

48.—(1) Where the Court has made an order for costs, the claim for costs must be submitted to the Registrar within three months beginning with the date on which the costs order was made.

(2) The form and contents of a claim for costs must comply with the relevant practice direction and the receiving party must supply such further particulars, information and documents as the Registrar may direct.

(3) The receiving party must serve a copy of a claim for costs on the paying party.

(4) Within 21 days beginning with the day on which a claim for costs is served, the paying party may (or, in the circumstances specified in the relevant practice direction, must) file points of dispute and, if so, must serve a copy on the receiving party.

(5) Within 14 days beginning with the day on which points of dispute are served, the receiving party may file a response and, if so, must serve a copy on the paying party.

Assessment of costs

49.—(1) Every detailed assessment of costs shall be carried out by two costs officers appointed by the President and—

- (a) one costs officer must be a Costs Judge (a Taxing Master of the Senior Courts), and
- (b) the second may be the Registrar.

(2) A disputed assessment shall be dealt with at an oral hearing.

(3) An assessment may provide for the costs of the assessment procedure.

(4) The Registrar will give the receiving party and the paying party written notice of the date of the assessment.

(5) Where one of the parties so requests or in the circumstances specified in the relevant practice direction, the Registrar may make a provisional assessment of costs without the attendance of the parties.

(6) The Registrar must inform the parties in writing of the outcome of a provisional assessment and, if a party is dissatisfied with the outcome, or if points of disagreement cannot be resolved in correspondence, the Registrar shall appoint a date for an oral hearing.

(7) Any request for an oral hearing following a provisional assessment of costs must be made within 14 days of the receipt of the Registrar's decision on the assessment.

Basis of assessment

50.—(1) Where the Court is to assess the amount of costs it will assess those costs—

- (a) on the standard basis, or
- (b) on the indemnity basis,

in the manner specified by rule 51 or (where appropriate) on the relevant bases that apply in Scotland or Northern Ireland.

(2) Where—

- (a) the Court makes an order about costs without indicating the basis on which the costs are to be assessed, or
- (b) the Court makes an order for costs to be assessed on a basis other than one specified in paragraph (1),

the costs will be assessed on the standard basis.

(3) This rule applies subject to any order or direction to the contrary.

The standard basis and the indemnity basis

51.—(1) Costs assessed on the standard basis are allowed only if they are proportionate to the matters in issue and are reasonably incurred and reasonable in amount.

(2) Any doubt as to whether costs assessed on the standard basis are reasonably incurred and are reasonable and proportionate in amount will be resolved in favour of the paying party.

(3) Costs assessed on the indemnity basis are allowed only if they are reasonably incurred and reasonable in amount.

(4) Any doubt as to whether costs assessed on the indemnity basis are reasonably incurred and are reasonable in amount will be resolved in favour of the receiving party.

Amount of assessed costs to be specified

52. The amount of any assessed costs will be inserted in the order made under rule 29 but, if that order is drawn up before the assessment has been completed, the amount assessed will be certified by the Registrar.

Appeal from assessment

53.—(1) A party who is dissatisfied with the assessment of costs made at an oral hearing may apply for that decision to be reviewed by a single Justice and any application under this rule must be made in the appropriate form and be filed within 14 days of the decision.

(2) The single Justice may (without an oral hearing) affirm the decision made on the assessment or may, where it appears appropriate, refer the matter to a panel of Justices to be decided with or without an oral hearing.

(3) An application may be made under this rule only on a question of principle and not in respect of the amount allowed on any item in the claim for costs.

Payment out of security for costs

54. Any security for costs lodged by an appellant will be dealt with by the Registrar in accordance with the directions of the Court.

PART 8

Transitional arrangements

Transitional arrangements

55.—(1) Unless the Court or the Registrar directs otherwise, these Rules shall apply, with any necessary modifications, to appeals which were proceeding, and petitions for leave which were lodged, in the House of Lords before 1st October 2009.

(2) The Court or the Registrar may give special directions, as and when necessary, in relation to appeals which were proceeding, and petitions for leave which were lodged, in the House of Lords

before 1st October 2009 notwithstanding anything that was done in accordance with the Practice Directions and Standing Orders of the House of Lords.

21st May 2009

The Lord Phillips of Worth Matravers
Senior Lord of Appeal in Ordinary

I direct that these Rules shall come into force on 1st October 2009

26th June 2009

Jack Straw
Lord Chancellor

EXPLANATORY NOTE

(This note is not part of these Rules)

These Rules govern the practice and procedure to be followed in the Supreme Court of the United Kingdom.

Part 1

- (1) contains interpretation provisions (rule 3);
- (2) makes provision for forms (rule 4);
- (3) contains rules about the service and filing of documents (rules 6, 7);
- (4) sets out what the Court may do in the event that the rules are not complied with (rule 8);
- (5) sets out how and by whom procedural decisions will be made (rule 9).

Part 2 contains the rules governing applications for permission to appeal and provides for the documents that are to be filed and the relevant time limits. Part 3 contains the rules about commencement of, and preparation for, an appeal, providing for the documents that are to be filed and the relevant time limits.

Part 4 contains rules about the hearing of appeals by the Court and Part 5 contains miscellaneous rules such as for the making of a procedural application, the hearing or withdrawal of appeals, the amendment of documents and orders for security for costs. Part 6 contains rules about particular types of appeals including those that raise human rights or devolution issues.

Part 7 contains provisions in relation to fees, claims for, and the assessment of, costs and for the payment out of security money. Part 8 contains transitional provisions.

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£5.50

The Supreme Court of the United Kingdom

Practice Direction 1

Section 1: The Supreme Court - General Note

1.1.1 The Supreme Court of the United Kingdom was established by Part 3 of the Constitutional Reform Act 2005 (“the Act”), coming into force on 1st October 2009. Its jurisdiction corresponds to that of the House of Lords in its judicial capacity under the Appellate Jurisdiction Acts 1876 and 1888 (which are repealed) together with devolution matters under the Scotland Act 1998, the Northern Ireland Act 1998 and the Government of Wales Act 2006, which are transferred to the Supreme Court from the Judicial Committee of the Privy Council. The jurisdiction of the Supreme Court is defined by section 40 of, and Schedule 9 to, the Act.

1.1.2 Under section 45 of the Act, the senior Lord of Appeal in Ordinary has, after consulting the Lord Chancellor, the General Council of the Bar of England and Wales, the Law Society of England and Wales, the Faculty of Advocates of Scotland, the Law Society of Scotland, the General Council of the Bar of Northern Ireland, the Law Society of Northern Ireland and other bodies likely to be affected by the Rules, made the Supreme Court Rules, which are published as S.I. 2009/1603. The Rules, which come into force on 1st October 2009, apply to civil and criminal appeals to the Court and to appeals and references under the Court’s devolution jurisdiction.

1.1.3 The overriding objective of the Supreme Court Rules is to secure that the Court is accessible, fair and efficient and the senior Lord of Appeal in Ordinary, the President of the Supreme Court, has issued these Practice Directions to supplement the Supreme Court Rules, to provide for the forms to be used in the Supreme Court and to provide general guidance and assistance to parties and their legal representatives.

1.1.4 Transitional arrangements Rule 55 of the Supreme Court Rules makes transitional arrangements for appeals and applications which were filed before 1st October 2009. Unless the Court or the Registrar directs otherwise, the Rules apply, with any necessary modifications, to any appeals and applications which were lodged in the House of Lords before 1st October 2009 and the Court or the Registrar may give special directions in these circumstances.

1.1.5 Forms. The Practice Directions provide for a number of forms and a reference in the Supreme Court Rules or in these Practice Directions to a form by number means the form so numbered in the relevant practice direction. The forms are to be used in the cases to which they apply or in the particular circumstances for which they are provided but a form may be varied by the Court or a party if the variation is required by the circumstances of a particular case. The forms are set out in Annex 1 to Practice Direction 7.

1.1.6 Jurisdiction The jurisdiction of the Supreme Court corresponds to that of the House of Lords in its judicial capacity together with devolution matters and its jurisdiction is summarised in Section 2 of this Practice Direction.

Section 2: The Jurisdiction of the Supreme Court

Civil Appeals

1.2.1 The key provisions in relation to civil appeals are subsections (2) and (3) of section 40 of the Act:

(2) An appeal lies to the Court from any order or judgment of the Court of Appeal in England and Wales in civil proceedings.

(3) An appeal lies to the Court from any order or judgment of a court in Scotland if an appeal lay from that court to the House of Lords at or immediately before the commencement of this section.

1.2.2 The principal provisions relating to civil appeals from Scotland are in section 40 of the Court of Session Act 1988 as amended by the Act. (But see also sections 24, 27 (5), 32(5), 41, 42, 43 and 52(3) as amended for further matters of detail and paragraph 1.2.25¹.)

1.2.3 The principal provisions relating to civil appeals from Northern Ireland are in section 42 of the Judicature (Northern Ireland) Act 1978 as amended by the Act. See also sections 43 (preserving leapfrog appeals), 44 (contempt) and 45 (habeas corpus), as amended.

1.2.4 Schedule 9 to the Act also amends a large number of statutes which gave rights of appeal (often limited to issues of law) to the House of Lords; these are replaced by corresponding rights of appeal to the Supreme Court.

1.2.5 Section 40(6) of the Act provides:

An appeal under subsection (2) lies only with the permission of the Court of Appeal or the Supreme Court; but this is subject to provision under any other enactment restricting such an appeal.

The most important general restriction on rights of appeal is section 54(4) of the Access to Justice Act 1999². The effect of this provision is that the Supreme Court may not entertain any appeal against an order of the Court of Appeal refusing permission for an appeal to the Court of Appeal from a lower court.

1.2.6 Where the Supreme Court does not have jurisdiction, the Registrar will inform the appellant in writing that the Supreme Court does not have jurisdiction.

Other statutory restrictions

1.2.7 There are other statutory restrictions on the Court's jurisdiction. The following are excluded from the Court's jurisdiction and are inadmissible

¹ September 2015

² Section 54 of the Access to Justice Act 1999 does not extend to Northern Ireland and the Civil Procedure Rules do not apply there, but the rule in *Lane v Esdaile* (see *Lane v. Esdaile* [1891] AC210) applies to Northern Ireland.

- a. appeals from incidental decisions of the Court of Appeal which may be called into question by rules of court: see Senior Courts Act 1981, section 58 (as amended by Access to Justice Act 1999, section 60);
- b. appeals from preliminary decisions of the Court of Appeal in respect of a case in which permission to appeal to the Court of Appeal was not granted (see *Lane v Esdaile* [1891] AC 210);
- c. applications brought by a person in respect of whom the High Court has made an order under section 42 of the Senior Courts Act 1981 (restriction of vexatious legal proceedings)³;
- d. applications for permission to appeal from a decision of the Court of Appeal on any appeal from a county court in any probate proceedings⁴;
- e. applications for permission to appeal from a decision of the Court of Appeal on an appeal from a decision of the High Court on a question of law under Part III of the Representation of the People Act 1983 (legal proceedings)⁵;
- f. applications for permission to appeal against the refusal by the Court of Appeal to reopen⁶ a previously concluded appeal or application for permission to appeal⁷.

Civil Contempt of Court Cases

1.2.8 In cases involving civil contempt of court, an appeal may be brought under section 13 of the Administration of Justice Act 1960⁸. Permission to appeal is required and an application for permission must first be made to the court below. If that application is refused, an application for permission to appeal may then be made to the Supreme Court. Where the decision of the court below is a decision on appeal under the same section of the same Act, permission to appeal to the Supreme Court is only granted if the court below certifies that a point of law of general public importance is involved in that decision and if it appears to that court or to the Supreme Court, as the case may be, that the point is one that ought to be considered by the Supreme Court. Where the court below refuses to grant the certificate required, an application for permission to appeal is not accepted for filing in the Supreme Court.

Time limit for applying for permission to appeal (civil appeals)

1.2.9 The time limit for applying for permission to appeal in civil cases (other than civil contempt of court or habeas corpus) is 28 days from the date of the order appealed from. The Supreme Court may extend this time limit.

³ It is open to such a person to seek to appeal the section 42 order itself if that order was the subject of an appeal to the Court of Appeal.

⁴ County Courts Act 1984 s 82.

⁵ Representation of the People Act 1983 s 157(1)

⁶ Under the rule in *Taylor v. Lawrence* [2002] EWCA Civ 90 the Court of Appeal can in exceptional circumstances reopen an appeal or application for permission to appeal after it has given a final judgment.

⁷ Civil Procedure Rules, r 52.17

⁸ Or, in Northern Ireland, under Judicature (Northern Ireland) Act 1978 s44.

Criminal Appeals

1.2.10 Appeals to the Supreme Court in criminal proceedings in England and Wales or Northern Ireland are subject to special restrictions limiting such appeals to cases of general public importance. As before, there is no appeal in criminal proceedings from the High Court of Justiciary or any other court in Scotland, but issues relating to criminal proceedings in Scotland may come before the Supreme Court as devolution issues under the Scotland Act 1998.

England and Wales (except courts-martial)

1.2.11 Appeals to the Supreme Court in criminal proceedings in England and Wales are regulated by sections 33 and 34 of the Criminal Appeal Act 1968 and sections 1 and 2 of the Administration of Justice Act 1960 as amended (in each case) by section 88 of the Courts Act 2003 and section 40 of, and Schedule 9 to, the Act. All such appeals may be made at the instance of the accused or the prosecutor. Section 13 of the Administration of Justice Act 1960 (as amended) extends the scope of sections 1 and 2, with some qualifications, to appeals relating to contempt of court (civil or criminal). Sections 36 to 38 of the Criminal Appeal Act 1968 (as amended) contain ancillary provisions about bail, detention and attendance at appeal hearings.

1.2.12 Any appeal under these provisions requires the permission of the court below or the Supreme Court, which may be granted (except for a first appeal in a contempt of court matter) only if (i) the court below certifies that a point of general public importance is involved and (ii) it appears to the court below or to the Supreme Court that the point is one which ought to be considered by the Supreme Court.

1.2.13 Section 36 of the Criminal Justice Act 1972 (as amended) permits the Court of Appeal to refer a point of law to the Supreme Court where (after an acquittal) the Attorney-General has referred the point of law to the Court of Appeal.

Northern Ireland

1.2.14 Similar provisions apply to appeals in criminal proceedings in Northern Ireland: see sections 31 and 32 of the Criminal Appeal (Northern Ireland) Act 1980 and section 41 of, and Schedule 1 to, the Judicature (Northern Ireland) Act 1978 as amended (in each case) by section 105 of the Courts Act 2003 and section 40 of, and Schedule 9 to, the Act.

Courts-Martial

1.2.15 Similar provisions apply to appeals from the Courts-Martial Appeal Court: see sections 39 and 40 of the Courts-Martial (Appeals) Act 1968 as amended by section 91 of the Courts Act 2003 and section 40 of, and Schedule 9 to, the Act.

Time limit for applying for permission to appeal (criminal appeals)

1.2.16 As a result of amendments made by the Courts Act 2003 the time limit for applying for permission to appeal is 28 days from the date of the decision to be appealed from, or (if later) the date when reasons for the decision are given. The Supreme Court may extend time except in appeals under the Extradition Act 2003 (see sections 32 and 33 of that Act).

Leapfrog Appeals⁹

1.2.17 Appeals in civil matters may exceptionally be permitted to be made direct to the Supreme Court under sections 12 to 16 of the Administration of Justice Act 1969, sections 14A to 14C of the Tribunals, Courts and Enforcement Act 2007, sections 37A to 37C of the Employment Tribunals Act 1996 and under sections 7B to 7D of the Special Immigration Commission Act 1997. These appeals are generally called leapfrog appeals.

1.2.18 Such appeals are permitted only if the relevant statutory conditions are satisfied and the Supreme Court grants permission.¹⁰

1.2.19 The relevant statutory conditions are set out in section 12(3) and (3A) of the Administration of Justice Act 1969, section 14A(4) and (5) of the Tribunals, Courts and Enforcement Act 2007, section 37A(4) and (5) of the Employment Tribunals Act 1996 and section 7B(4) and (5) of the Special Immigration Commission Act 1997.¹¹

Judicial review in England and Wales: civil matters

1.2.20 An application for permission to apply for judicial review is made to the Administrative Court (which is part of the Queen's Bench Division of the High Court). If the judge in the Administrative Court refuses the application without a hearing, an application can be made for the decision to be reconsidered at a hearing. Where permission to apply for judicial review has been refused by the Administrative Court after reconsideration at an oral hearing, the applicant may appeal against the refusal of permission. Such an appeal must be filed in the Court of Appeal within 7 days. For such an appeal to be successful, the applicant needs to be granted both i) permission to appeal against the Administrative Court's determination; and ii) permission to apply for judicial review.

1.2.21 If the Court of Appeal refuses permission to appeal to it against the Administrative Court's refusal of permission to apply for judicial review, there is no appeal to the Supreme Court. The Supreme Court has no jurisdiction to entertain such an appeal: *R v Secretary of State for Trade and Industry, ex parte Eastaway* [2000] 1 WLR 2222 applying the principle in *Lane v Esdaile* [1891] AC 210. However, if the Court of Appeal (a) grants permission to appeal to it against the Administrative Court's refusal of permission to apply for judicial review, but then (b) itself refuses permission to apply for judicial review, the Supreme Court does have jurisdiction to hear an appeal against that refusal: *R v Hammersmith and Fulham LBC, ex parte Burkett* [2002] 1WLR 1593.

1.2.22 Similar provisions apply in Scotland and Northern Ireland.

Human Rights

1.2.23 The Human Rights Act 1998 applies to the Supreme Court and issues under that statute will often arise on appeals to the Supreme Court. But the Human Rights Act 1998 does not

⁹ April 2015

¹⁰ April 2015

¹¹ April 2015 These statutes are amended by the Criminal Justice and Courts Act 2015, sections 63 - 66 on a day to be appointed.

confer any general right of appeal beyond those mentioned in this Practice Direction. As to declarations of incompatibility, see rule 40 and Practice Direction 9 (Human Rights Act issues).

Devolution Matters

1.2.24 Devolution matters raise issues of constitutional importance as to the purported or proposed exercise of a function by a member of the Scottish Executive, a Minister in Northern Ireland or a Northern Ireland department or the Welsh Ministers or as to the legislative competence of the Scottish Parliament under the Scotland Act 1998, the Northern Ireland Assembly under the Northern Ireland Act 1998, and the National Assembly of Wales¹² under the Government of Wales Act 2006. Under these Acts, as amended by Part 2 of Schedule 9 to the Act, the Supreme Court has an appellate jurisdiction in proceedings for the determination of a devolution issue and special statutory powers to consider referred questions, including questions referred by the relevant law officer or Ministers. See rule 41 and Practice Direction 10 (Devolution Issues).

Civil appeals from Scotland

1.2.25 Where judgment is pronounced after 22 September 2015 on a decision of the Inner House of the Court of Session which is

- (a) a decision constituting final judgment in any proceedings,
- (b) a decision in an exchequer cause,
- (c) a decision, on an application under s.29 of the Court of Session Act 1988, to grant or refuse a new trial in any proceedings,
- (d) any other decision in any proceedings if—
 - (i) there is a difference of opinion among the judges making the decision, or
 - (ii) the decision is one sustaining a preliminary defence and dismissing the proceedings.

an appeal may be made to the Supreme Court

- (a) with the permission of the Inner House, or
- (b) if the Inner House has refused permission, with the permission of the Supreme Court.
 - “final judgment”, in relation to any proceedings, means a decision which, by itself or taken along with prior decisions in the proceedings, disposes of the subject matter of the proceedings on its merits, even though judgment may not have been pronounced on every question raised or expenses found due may not have been modified, taxed or decerned for,
 - “preliminary defence”, in relation to any proceedings, means a defence that does not relate to the merits of the proceedings.

In the case of any other decision of the Inner House, an appeal may be made to the Supreme Court only with the permission of the Inner House.

No appeal may be taken to the Supreme Court against any decision of a Lord Ordinary.

¹² September 2015

An application to the Inner House for permission to take an appeal must be made—

- (a) within the period of 28 days beginning with the date of the decision against which the appeal is to be taken, or
- (b) within such longer period as the Inner House considers equitable having regard to all the circumstances.

An application to the Supreme Court for permission to appeal must be made—

- (a) within the period of 28 days beginning with the date on which the Inner House refuses permission for the appeal, or
- (b) within such longer period as the Supreme Court considers equitable having regard to all the circumstances.

The Inner House or the Supreme Court may grant permission for an appeal only if the Inner House or, as the case may be, the Supreme Court considers that the appeal raises an arguable point of law of general public importance which ought to be considered by the Supreme Court at that time¹³.

References under Art. 267

1.2.26 Community law requires that the Supreme Court (as the domestic court of last resort) should refer to the Court of Justice of the European Union any doubtful questions of Community law necessary to its decision. See rule 42 and Practice Direction 11 (The European Court of Justice).

Section 3 The exercise of the Supreme Court's Jurisdiction

1.3.1 Some of the powers of the Court may be exercised by a single Justice and by the Registrar. Rule 9 makes specific provision for procedural decisions. If any procedural question arises which is not dealt with by the Rules, the Court or the Registrar may adopt any procedure that is consistent with the overriding objective, the Act and the Rules: rule 9(7).

1.3.2 Procedural Decisions Except where rule 9(2) (see paragraph 1.3.4) applies, the powers of the Court under the following rules may be exercised by a single Justice or the Registrar without an oral hearing –

- rule 5 (time limits),
- rule 8 (non-compliance with Rules),
- rule 11 (rejection of applications)
- rule 33 (change of interest),
- rule 34 (withdrawal of appeal),
- rule 35 (advocate to the Court and assessors),
- rule 36 (security for costs),
- rule 37 (stay of execution) and
- rule 41 (devolution jurisdiction).

1.3.3 The single Justice may direct an oral hearing or may refer the matter to a panel of (at least three) Justices to be decided with or without an oral hearing: rule 9(3).

¹³ September 2015

1.3.4 A contested application

- a. alleging contempt of the Court; or
- b. for a direction under rule 8 dismissing an appeal or debarring a respondent from resisting an appeal; or
- c. for security for costs, has to be referred to a panel of three Justices: rule 9(2).

In a case of an alleged contempt, an oral hearing must be held; in any other case the Justices may hold an oral hearing.

1.3.5 The Registrar will normally make a decision without an oral hearing but may direct an oral hearing. The Registrar may also refer the matter to a single Justice (and paragraphs 1.3.2 and 1.3.3 then apply) or to a panel of three Justices for decision.

1.3.6 A party who is dissatisfied with a decision of the Registrar may apply for that decision to be reviewed by a single Justice. Any application must be made in Form 2 and must be filed within 14 days of the Registrar's decision: rule 9(5). A fee is payable and the procedure in paragraphs 1.3.2 and 1.3.3 applies. See paragraph 7.1 of Practice Direction 7 for applications and for the relevant fee see Annex 2 to Practice Direction 7.

1.3.7 Oral hearings on procedural matters are normally heard in open court or in a place to which the public are admitted.

The Supreme Court of the United Kingdom

Practice Direction 2

The Registry of the Supreme Court

2.1.1 The Registry of the Supreme Court is situated on the ground floor of the building in Parliament Square which houses the Supreme Court, the former Middlesex Guildhall. The staff of the Registry act under the guidance and supervision of the Registrar. The Registry of the Judicial Committee of the Privy Council is situated in the same room and the staff of that Registry act under the guidance and supervision of the Registrar of the Privy Council. Where a member of staff of one Registry is not available, a member of staff of the other Registry will try to assist.

2.1.2 The postal address of the Supreme Court is

The Supreme Court of the United Kingdom,
Parliament Square,
London
SW1P 3BD

DX 157230 Parliament Square 4.

The telephone numbers are 020 7960 1991, 1992

The email address for the Registry is registry@supremecourt.uk

The Registry is open from 10.00 a.m. to 4.30 p.m. on Mondays to Thursdays during the law terms¹ and from 10 a.m. to 4.00 p.m. on Fridays and outside the law terms. During August the Registry is open from 10.00 a.m. to 2.00 p.m.

2.1.3 The Registry is open on every day of the year except

- a. Saturdays and Sundays,
- b. the Thursday before Good Friday, Good Friday and the day after Easter Monday,
- c. during the Christmas vacation,
- d. Bank Holidays in England and Wales under the Banking and Financial Dealings Act 1971, and
- e. such other days as the Registrar, with the agreement of the President and the Chief Executive, may direct.

The “Christmas vacation” is the two week period over Christmas Day and New Year’s Eve and in 2009, for example, starts on 21 December 2009 and ends on 2 January 2010. At a time when the Registry is closed, the Registrar can for urgent business be contacted via the Supreme Court switchboard on 020 7960-1900.

2.1.4 Enquiries about fees and the filing of documents, papers and volumes should be addressed to Registry. The management of the Supreme Court’s list is dealt with by the listing

¹ The law terms are the four terms of the year during which the Supreme Court holds its sittings see Practice Direction 6 paragraph 6.2.1.

officer under the direction of the Registrar and enquiries about the listing of appeals should be addressed to the listing officer in the first instance. Enquiries about the assessment of costs should be addressed to the Registrar or the costs clerk.

2.1.5 Cheques and drafts for fees should be made payable to “The Supreme Court of the United Kingdom”.

2.1.6 Cheques and drafts for security money should be made payable to “UK Supreme Court Security Fund Account”.

Filing Documents in the Registry of the Supreme Court

2.1.7 A document may be filed in the Registry “by any of the following methods—

- a. personal delivery;
- b. first class post (or an alternative service which provides for delivery on the next working day);
- c. through a document exchange;
- d. (with the consent of the Registrar) by electronic means in accordance with [...] practice direction” 14: rule 7(1).

When an application for permission to appeal, a notice of appeal, a notice of objection, an acknowledgement by a respondent or an application is filed, it will be sealed by a member of staff in the Registry: rule 7(4).

2.1.8 A document filed by first-class post or through a document exchange will be taken to have been filed on the second day after it was posted or left at the document exchange, as the case may be (not including days which are not business days) : rule 7(2). Business days are defined by rule 3(2) and mean any day other than a Saturday, Sunday, Christmas Day, Good Friday or a bank holiday under the Banking and Financial Dealings Act 1971, in England and Wales. Where a document is received on a business day at a time when the Registry is closed, the document will be taken to have been filed in time and the Registrar may give whatever consequential directions appear appropriate.

2.1.9 Except with the consent of the Registrar, **“the contents of documents**

- a. **filed in hard copy must also be provided to the Registry by electronic means, and**
- b. **filed by electronic means must also be provided to the Registry in hard copy,”**

in accordance with the relevant practice direction: rule 7(3). See Practice Direction 14 for filing by electronic means.

2.1.10 The Registrar may refuse to accept any document which is illegible or does not comply with any provision in the Rules or any relevant practice direction. On refusing to accept a document, the Registrar will give whatever directions appear appropriate. (See rule 8.)

2.1.11 The Registry will not issue an application for permission to appeal or other document unless:

- a. it has been properly served on the respondents (see rule 6);

- b. all the required documents are supplied; and
- c. the prescribed fee is paid or a request for fee remission from court fees is made (see paragraphs 2.1.28 – 2.1.30).

Time limits

2.1.12 Rule 10(2) provides that an application for permission to appeal must be made first to the court below and an application may be made to the Supreme Court only after the court below has refused to grant permission to appeal. Where an application is made to the Supreme Court, the Rules provide for the following time limits to apply.

- a. Except in cases of contempt of court and in leapfrog appeals, an application for permission to appeal must be filed “within 28 days from the date of the order or decision of the court below”: rule 11. This period runs from the date of the substantive order appealed from, not from the date on which the order is sealed or the date of any subsequent procedural order (e.g. an order refusing permission to appeal).
- b. A notice of appeal must be filed within 42 days of the date of the order or decision of the court below: rule 19(2). This period runs from the date of the substantive order appealed from, not from the date on which the order is sealed or the date of any subsequent procedural order (e.g. an order granting permission to appeal).
- c. If an appellant has applied for public funding, the Registrar must be informed in writing within the original 28 or 42 day period that public funding has been applied for. The above periods are then extended to 28 days after the final determination of the application for funding, including any appeals. (See rules 5(2) and 11.)

2.1.13 The Registry may accept an application for permission to appeal or a notice of appeal which is out of time if the application or the notice sets out the reason(s) why it was not filed within the time limit and it is in order in all other respects. The Registrar may reject an application for permission to appeal solely on the ground that it is out of time.²

2.1.14 The Justices or the Registrar may extend or shorten any time limit set by the Rules unless to do so would be contrary to any statutory provision. They may do so either on an application by one or both parties or without an application being made. An application for an extension of time may be granted after the time limit has expired. The Registrar will notify the parties when a time limit is varied. (See rule 5.)

2.1.15 A Respondent who has applied for public funding or other party who has difficulty in complying with a relevant time limit should contact the Registry.³

(See paragraphs 1.2.9 and 1.2.16 of Practice Direction 1 for general time limits for permission applications. For special cases see paragraph 2.1.16 and for notices of appeal see paragraph 4.3.1 of Practice Direction 4.)

Special cases: contempt of court and leapfrog appeals

² Amended April 2015

³ Amended April 2015

2.1.16 An application for permission to appeal in

- a. a case involving civil contempt of court must be filed within 14 days, beginning with the date of the refusal of permission by the court below; and
- b. a “leapfrog appeal”⁴ must be filed within one month from the date on which the certificate is granted under sections 12 to 16 of the Administration of Justice Act 1969, sections 14A to 14C of the Tribunals, Courts and Enforcement Act 2007, sections 37A to 37C of the Employment Tribunals Act 1996 or sections 7B to 7D of the Special Immigration Commission Act 1997.

Form of application for permission to appeal and notice of appeal

2.1.17 The form of an application for permission to appeal is dealt with in paragraphs 3.1.1 – 3.1.5 of Practice Direction 3. The form of a notice of appeal is dealt with in paragraphs 4.2.1 – 4.2.4 of Practice Direction 4.

Case title

2.1.18 Applications for permission to appeal and appeals carry the same title as in the court below, except that the parties are described as appellant(s) and respondent(s). For reference purposes, the names of parties to the original proceedings who are not parties to the appeal should nevertheless be included in the title: their names should be enclosed in square brackets. The names of all parties should be given in the same sequence as in the title used in the court below.

2.1.19 Applications for permission to appeal and appeals in which trustees, executors etc. are parties are titled in the short form, for example *Trustees of John Black's Charity (Respondents) v. White (Appellant)*.

2.1.20 In any application or appeal concerning children or where in the court below the title used has been such as to conceal the identity of one or more parties to the proceedings, this fact should be clearly drawn to the attention of the Registry at the time of filing, so that the title adopted in the Supreme Court can take account of the need for anonymity. Applications involving children are normally given a title in the form *B (Children)*.

2.1.21 In case titles involving the Crown, the abbreviation “R” meaning “Regina” is used. “R” is always given first. So case titles using this abbreviation take the form *R v Jones (Appellant)* or *R v Jones (Respondent)* (as the case may be) or *R (on the application of Jones) (Appellant) v Secretary of State for the Home Department (Respondent)*.

2.1.22 Apart from the above, Latin is not used in case titles.

Service

2.1.23 Documents such as applications for permission to appeal and notices of appeal must be served by the party or their solicitors on the respondents or their solicitors, in accordance with rule 6 or with any relevant statutory provisions⁵, before they are filed. A party or his solicitor will

⁴ Amended April 2015

⁵ The Companies Act 1985 and the Companies Act 2006 provide for the method of service on companies and limited liability partnerships.

be taken to have consented to a particular method of service if, for example, their writing paper includes a fax number or a numbered box at a document exchange unless they have indicated in writing that they are not willing to accept service by that particular method.

2.1.24 A certificate of service which complies with rule 6(4) by giving details of the persons served, the method of service used and the date on which the document was served personally, posted, delivered to the document exchange or sent electronically, must be included either in the original document and signed or a separate certificate of service must be provided.

Supporting documents

2.1.25 See paragraph 3.1.7 of Practice Direction 3 for the documents which must be filed with an application for permission to appeal.

2.1.26 See paragraph 4.3.2 of Practice Direction 4 for the documents which must be filed with a notice of appeal.

2.1.27 See paragraph 7.1.3 of Practice Direction 7 for guidance on documents which may need to be filed in support of an application.

Fees

2.1.28 The fees which are payable in the Supreme Court are prescribed by an order made under section 52 of the Act and rule 45 allows the Registrar to refuse to accept a document or to allow a party to take any step unless the relevant fee is paid.

2.1.29 In circumstances where a party would suffer financial hardship by the payment of fees, the requirement to pay fees may be waived (see the *Supreme Court Fees Order 2009*, S.I. 2009/2031). Any request for fee remission should be made to the Registrar, supported by evidence of the party's means. The Registrar may then grant full or part remission of the relevant fee. Remission of fees is usually granted where a remission of fees has been granted in the court below.

2.1.30 For the fees payable in the Supreme Court see Annex 2 to Practice Direction 7.

2.1.31 Any fees paid are not refunded, even if it is decided that an application for permission to appeal is inadmissible or if an application or other proceeding is withdrawn.

2.1.32 Conditional fee agreements. In certain circumstances payment of the court fee may be deferred if the Appellant's solicitors are operating under a CFA which imposes the liability to pay the court fees on the Appellant personally and the solicitor confirms that the Appellant would be eligible for fee remission and provides the necessary supporting evidence. If the Registrar is satisfied with the information provided, then the solicitor will be informed that payment of the fee had been deferred but that the remission of the fee would be reviewed once the permission application had been decided. Where permission to appeal is refused, payment of the fee will be waived if it is confirmed that the Appellant's means had not changed.⁶

⁶ Amended Nov 2013

The Supreme Court of the United Kingdom

Practice Direction 3

Applications for Permission to Appeal

Form of application for permission to appeal

3.1.1 Applications for permission to appeal are considered by an Appeal Panel, consisting of at least three Justices. Applications are generally decided on paper, without a hearing, and it is essential that the application is in the correct form.

3.1.2 An application for permission to appeal must be produced in Form 1 (PTA)¹ on A4 paper, securely bound on the left, using both sides of the paper. (See Annex 1 to Practice Direction 7 for Form 1.) The application should set out briefly the facts and points of law and include a brief summary of the reasons why permission should be granted. The information required by section 5 of Form 1 must be provided but the Court favours brevity and clarity.² The grounds of appeal should not normally exceed 10 pages of A4 size, bearing in mind that the judgments of the courts below will be available to the Justices. The Registrar will reject any application where the grounds appear without adequate explanation from counsel to be excessive in length or where the application fails to identify the relevant issues. Applications which are not legible or which are not produced in the required form will not be accepted.

Parties may consult the Registry at any stage of preparation of the application, and may submit applications in draft for approval. Amendments to applications are allowed where the Registrar is satisfied that this will assist the Appeal Panel and will not unfairly prejudice the respondents or cause undue delay. Any amendments must be served on the respondents (see paragraph 3.1.6).

3.1.3 If an application for permission to appeal

- a. asks the Supreme Court to depart from one of its own decisions or from one made by the House of Lords³;
- b. seeks a declaration of incompatibility under the Human Rights Act 1998; or
- c. seeks a reference to the Court of Justice of the European Union⁴,

this should be stated clearly in the application and full details must be given.

(The Supreme Court has not re-issued the House of Lords' Practice Statement of 26 July 1966 (Practice Statement (Judicial Precedent) [1966] 1 WLR 1234) which stated that the House of Lords would treat former decisions of the House as normally binding but that it would depart from a previous decision when it appeared right to do so. The Practice Statement is "part of the established jurisprudence relating to the conduct of appeals" and "has as much effect in [the

¹ Amended November 2018

² Amended Feb 2013; an Appeal Panel directed that irrespective of the outcome of the appeal the costs of preparing a permission application should not be recoverable in a case where it considered that a very long application did not assist the Panel.

³ Amended November 2018

⁴ Amended Jan 2012

Supreme] Court as it did before the Appellate Committee in the House of Lords”: *Austin v Mayor and Burgesses of the London Borough of Southwark* [2010] UKSC 28 at paragraphs 24, 25.)

3.1.4 An application for permission to appeal must be signed by the appellant or his agent.

3.1.5 The application for permission to appeal should include the neutral citation of the judgment appealed against, the references of any law report in the courts below, and subject matter catchwords for indexing (whether or not the case has been reported). This can conveniently be done in Section 9 of Form 1 (PTA)⁵.

Service

3.1.6 A copy of the application (and any amendment to it) must be served on the respondents or their solicitors, and on any person who was an intervener in the court below in accordance with rule 6, before it is filed. A certificate of service (giving the full name and address of the respondents or their solicitors) must be included in the original application and signed or a separate certificate of service must be provided. See rule 6(4) and paragraph 2.1.24 of Practice Direction 2. Additional supporting documents other than those set out in paragraphs 3.1.7 and 3.2.1 (additional papers) are not normally accepted.

Supporting documents

3.1.7 **In order to comply with rule 14(1), the original application together with 3 copies** must be filed at the Registry together with the prescribed fee, a copy of the order appealed against and, if separate, a copy of the order of the court below refusing permission to appeal. For the relevant fee see Annex 2 to Practice Direction 7. If the substantive order appealed against is not immediately available, the application should be filed within the required time limit, and the order filed as soon it is available. For the relevant time limits for filing an application for permission to appeal see paragraphs 2.1.12-2.1.16 of Practice Direction 2. Where an appellant is unable to file his permission application within the relevant time limit, an application for an extension of time must be made in Section 7 of Form 1 (PTA)⁶. The respondent’s views on the extension of time should be sought and, if possible, those views should be communicated to the Registry. The application for an extension of time will be referred to the Registrar and, if it is granted, the appellant must then comply with rule 14 and paragraph 3.2.1. When an application for permission to appeal is filed, it will be sealed by a member of staff in the Registry: rule 7(4).

Objections by respondents

3.1.8 Each “respondent who wishes to object to the application must, within 14 days after service, file notice of objection” in Form 3 together with a certificate of service: rule 13(1). (See Annex 1 to Practice Direction 7 for Form 3.) **The original notice together with 3 copies** must be filed at the Registry together with the prescribed fee. For the relevant fee see Annex 2 to Practice Direction 7. When a notice of objection is filed, it will be sealed by a member of staff in the Registry: rule 7(4).

3.1.9 Before filing, a respondent must serve a copy of the notice on the appellant, any other respondent and any person who was an intervener in the court below: rule 13(2). A certificate of

⁵ Amended November 2018

⁶ Amended November 2018

service (giving the full name and address of the persons served) must be included in Form 3 and signed or a separate certificate of service must be provided. See rule 6(4) and paragraph 2.1.24 of Practice Direction 2.

3.1.10 A notice of objection should

- a. set out briefly the reasons why permission to appeal should not be granted by reference to the threshold test for the grant of permission (see paragraph 3.3.3);
- b. state any conditions which the Respondent proposes should be attached to the grant of permission and whether permission should be limited to any issues, specifying them;
- c. normally not exceed 5 pages of A4 size in section 3 of Form 3 or in any attachment to Form 3.⁷

Anonymity and reporting restrictions

3.1.11 In any application concerning children, the parties, in addition to considering the case title to be used, should also consider whether it would be appropriate for the Court to make an order under section 39 of the Children and Young Persons Act 1933⁸ (reporting restrictions). The parties should always inform the Registry if such an order has been made by a court below. In such cases the Registrar will then make a further order imposing reporting restrictions. Any request for such an order to be made by the Court and any objections to the making of such an order should be made in writing, as soon as possible after the filing of an application for permission.

3.1.12 Paragraph 3.1.11 also applies to a request for an order under section 4 of the Contempt of Court Act 1981 (contemporary reports of proceedings).

Additional papers

3.2.1 **To comply with rule 14(2), the following additional papers** must be filed by the appellant for use by the Appeal Panel within 7 days after the filing of the application:

- a. **four** copies of the application;
- b. **four** copies of the order appealed against;
- c. if separate from the order at (b) above, **four** copies of the order of the court below refusing permission to appeal to the Supreme Court;
- d. **four** copies of the official transcript of the judgment of the court below⁹;
- e. **four** copies of the final order(s) of all other courts below;
- f. **four** copies of the official transcript of the final judgment(s) of all other courts below;
- g. **four** copies of any unreported judgment(s) cited in the application or judgment of a court below.

⁷ Amended Oct 2016

⁸ Extended to Scotland by the Children and Young Persons (Scotland) Act 1963, s 57(3).

⁹ If the judgment has been published in a report which is ordinarily received in court, copies of the report may be filed instead of transcripts. Transcripts of judgments marked “in draft” are not accepted without certification by the relevant court that the copy is the final version of the judgment.

No other papers are required, and documents other than those listed above will not be accepted unless requested by the Appeal Panel. An appellant who wishes to provide documents other than those listed above must give a detailed explanation as to why they are needed. Documents which are not clearly legible or which are not in the required style or form (see paragraph 3.1.2) will not be accepted.

3.2.2 The additional papers must be presented in the form required by paragraph 5.1.2 of Practice Direction 5 but do not need to be bound.

3.2.3 Where the required papers are not filed within 8 weeks after the filing of the application and no good reason is given for the delay, the Registrar may

- a. refer the application to an Appeal Panel without the required accompanying papers;
- b. dismiss the application, or
- c. give such other directions as appear appropriate under rule 8.

Consideration on paper

3.3.1 The Appeal Panel decides first whether an application for permission to appeal is admissible (that is, whether the Court has jurisdiction to entertain an appeal). The Court's jurisdiction is summarised in section 2 of Practice Direction 1. If the Appeal Panel determines that an application is inadmissible, it will refuse permission on that ground alone and not consider the content of the application. The Appeal Panel gives a reason for deciding that the application is inadmissible.

3.3.2 If the Appeal Panel decides that an application is admissible, rule 16 provides that the Panel may then:

- a. refuse permission (see paragraph 3.3.4);
- b. give permission (see paragraph 3.3.5);
- c. invite the parties to file written submissions as to the grant of permission on terms whether as to costs or otherwise (see paragraphs 3.3.6 - 3.3.11);
- d. direct an oral hearing (see paragraphs 3.3.12 – 3.3.16).

3.3.3 Permission to appeal is granted for applications that, in the opinion of the Appeal Panel, raise an arguable point of law of general public importance which ought to be considered by the Supreme Court at that time, bearing in mind that the matter will already have been the subject of judicial decision and may have already been reviewed on appeal. An application which in the opinion of the Appeal Panel does not raise such a point of law is refused on that ground. The Appeal Panel gives brief reasons for refusing permission to appeal. The reasons given for refusing permission to appeal **should not be regarded as having any value as a precedent**¹⁰.

For applications in which a question of Community law is raised see paragraph 11.1.2 of Practice Direction 11¹¹.

¹⁰ Amended Feb 2013

¹¹ Amended Feb 2013

Permission refused

3.3.4 If the Appeal Panel decides that permission should be refused, the parties are notified that the application is refused and they are sent a copy of the order sealed by the Registrar which records the Panel's decision.

Permission given outright

3.3.5 If the Appeal Panel decides that an appeal should be entertained without further proceedings, it grants permission outright and the parties are sent a copy of the order sealed by the Registrar which records the Panel's decision.

Respondents' objections

3.3.6 Respondents may submit written objections giving their reasons why permission to appeal should be refused when they file notice of objection in accordance with rule 13. Exceptionally a respondent could seek to file more fully reasoned objections or might be asked to do so by the Appeal Panel. In such circumstances further objections should be filed

- a. within 14 days of any invitation by the Appeal Panel to do so; or
- b. within 14 days of an application for permission to appeal being referred for an oral hearing.

3.3.7 Respondents' objections should set out briefly the reasons why the application should be refused or make submissions as to the terms upon which permission should be granted (for example, on costs). **One original and 4 copies** of the respondents' written objections must be filed in the Registry. The objections must be produced on A4 paper, securely fastened, using both sides of the paper.

3.3.8 A copy of the respondents' objections should be sent to the solicitors for the other parties. In certain circumstances the Appeal Panel may invite further submissions from the appellant in the light of the respondents' objections, but appellants are not encouraged to comment on respondents' objections. Where the Appeal Panel does not require further submissions to make its decision, the parties are sent a copy of the order sealed by the Registrar which records the Panel's decision. Where the Appeal Panel proposes terms for granting permission, paragraph 3.3.11 applies.

3.3.9 For the costs of respondents' objections, see paragraph 3.5.

3.3.10 Respondents who are unable to meet the deadlines set out in paragraph 3.3.6 must write to the Registrar requesting an extension of time for filing their written objections.

Permission given on terms

3.3.11 If the Appeal Panel is considering granting permission to appeal on terms:

- a. the Panel proposes the terms and the parties have the right to make submissions on the proposed terms within 14 days of the date of the Panel's proposal;
- b. the Panel will then decide whether to grant permission (unconditionally or on terms);
- c. prospective appellants who are granted permission to appeal subject to terms that they are unwilling to accept may decline to pursue the appeal;
- d. in an application for permission to appeal under the "leapfrog" procedure (see paragraph 3.6.1), prospective appellants who decline to proceed on the basis of the terms proposed by the Appeal Panel may instead pursue an appeal to the Court of Appeal in the usual way¹².

Application referred for oral hearing

3.3.12 In all cases where further argument is required, an application for permission to appeal is referred for an oral hearing.

3.3.13 Respondents may seek to file more fully reasoned objections within 14 days of being informed that the application has been referred for a hearing (see paragraph 3.3.6(b)).

3.3.14 When an application is referred for an oral hearing, the appellant and all respondents who have filed notice of objection under rule 13 are notified of the date of the hearing before the Appeal Panel. Parties may be heard before the Appeal Panel by counsel, by solicitor, or in person. If counsel are briefed, solicitors should ensure that the Registry is notified of their names. Only a junior counsel's fee is allowed on assessment (see paragraph 3.4.8).

3.3.15 Oral permission hearings usually last for 30 minutes. The panel will normally give its decision orally at the end of the hearing.

3.3.16 All the parties are sent a copy of the order sealed by the Registrar which records the Panel's decision.

Interventions in applications for permission to appeal

3.3.17 Any person (and in particular (i) any official body or non-governmental organization who seeks to make submissions in the public interest or (ii) any person with an interest in proceedings by way of judicial review) may make written submissions to the Court in support of an application for permission to appeal. See rule 15. Before the submissions are filed, a copy must be served on

- a. the appellant,
- b. every respondent and
- c. any person who was an intervener in the court below.

Four copies of the submissions must be filed together with a certificate of service.

3.3.18 Any submissions which are made are referred to the panel of Justices which considers the application for permission to appeal. Where the panel decides to take the submissions into account and grants permission to appeal, the person making them will be notified. If permission to appeal is granted, a formal application must be made under rule 26 if the intervener wishes to intervene in the appeal. See Practice Direction 7 - Applications.

¹² *Ceredigion County Council v Jones and others* [2007] UKHL 24.

Sealed Orders

3.3.19 The appellant, any recognised intervener and all respondents who have filed notice of objection under rule 13 are sent a copy of the order sealed by the Registrar which records the Panel's decision.

Filing notice to proceed

3.4.1 Where permission to appeal is granted by the Supreme Court, the application for permission to appeal will stand as the notice of appeal and the grounds of appeal are limited to those on which permission has been granted. The appellant must, within 14 days of the grant by the Court of permission to appeal, file notice under rule 18 that he wishes to proceed with his appeal. When the notice is filed, the application for permission to appeal will re-sealed and, **in order to comply with rule 18(2)**, the appellant must then serve a copy on each respondent, on any recognised intervener (that is, an intervener whose submissions have been taken into account under rule 15) and on any person who was an intervener in the court below and file **7 Copies** together with a certificate of service. See rule 6(4) and paragraph 2.1.24 of Practice Direction 2.

3.4.2 Where an appellant is unable to file notice under rule 18 within the time limit of 14 days, a formal application for an extension of time must be made in Form 2: see paragraph 7.1 of Practice Direction 7 for applications. The respondent's views on the extension of time should be sought and, if possible, those views should be communicated to the Registry. The application will be referred to the Registrar and, if it is granted, the appellant must then comply with rule 18(2) and paragraph 3.4.1.

Expedition

3.4.3 Once the required papers are filed at the Registry (under paragraph 3.2.1), the procedure described above is normally completed within eight sitting weeks (excluding any oral hearing). In cases involving liberty of the subject, urgent medical intervention or the well-being of children (see paragraph 3.4.4), a request for expedition may be made in writing to the Registrar. See rule 31.

Expedited hearing of proceedings under the Hague Convention etc

3.4.4 The *Convention on the Civil Aspects of International Child Abduction* (the Hague Convention) deals with the wrongful removal and retention of children from their habitual country of residence. The Revised Brussels II Regulation also deals with these matters¹³. In the Supreme Court an expedited timetable applies. The parties must therefore inform the Registrar that the proceedings fall under the Convention or Regulation. The Court normally gives judgment within six weeks of the commencement of proceedings but this can only be achieved with the fullest cooperation of the parties.

3.4.5 The following timetable may be taken as a general guideline:

¹³ Council Regulation (EC) No 2201/2003.

- a. an application for permission to appeal is decided by an Appeal Panel within 7 days of being filed;
- b. an appeal is heard within 21 days of a decision to grant permission to appeal;
- c. the result of the appeal is given immediately after the end of the hearing with reasons given later or, if judgment is reserved, the result of the appeal and the reasons are given within 2 weeks of the end of the hearing.

3.4.6 In order to achieve the above timetable the Court will set aside or vary the time limits and practice directions that normally apply to applications and appeals.

3.4.7 Abridged procedures and special rules for the production of documents are applied to meet the circumstances of each application and appeal. The following timetable for the production of documents is therefore indicative only:

- a. the statement of facts and issues is filed within 7 days of the decision to grant permission to appeal;
- b. the appellant's case is filed within 10 days of the decision to grant permission to appeal (or, if the relevant day falls on a Saturday or Sunday, the following Monday);
- c. the respondent's case is filed within 14 days of the decision to grant permission to appeal;
- d. the core volumes (if required) and the volumes of authorities are filed within 17 days of the decision to grant permission to appeal (or, if the relevant day falls on a Saturday or Sunday, the following Monday).

Counsel

3.4.8 Appellants and respondents to an application for permission to appeal may instruct leading or junior counsel, but on any assessment of costs only junior counsel's fees will be allowed for any stage of an application for permission to appeal, even if a public funding or legal aid certificate provides for leading counsel. The only exception to this practice is where leading counsel who conducted the case in the court below are instructed by the Legal Services Commission or legal aid authorities to advise on the merits of an appeal.

Costs

3.5.1 Where an unsuccessful application for permission to appeal is determined without an oral hearing, costs may be awarded as follows:

- a. to a publicly funded or legally aided appellant, reasonable costs incurred in preparing papers for the Appeal Panel;
- b. to a publicly funded or legally aided respondent, only those costs necessarily incurred in attending the client, attending the appellant's solicitors, considering the application for permission to appeal, filing notice of objection under rule 13 and, where applicable, preparing respondent's objections to the application;
- c. to an unassisted respondent where the appellant is publicly funded or legally aided, payment out of the Community Legal Service Fund (pursuant to section 11 of the Access to Justice Act 1999¹⁴) of costs as specified at (b) above;
- d. to a respondent where neither party is publicly funded or legally aided, costs as specified at (b) above.

¹⁴ September 2015

3.5.2 Where costs are sought under (c) or (d) above, the application may be made by letter addressed to the Registrar or may be included in a bill of costs filed in the Registry conditional upon the application being granted.

3.5.3 Where an application for permission to appeal is referred for an oral hearing and is dismissed, application for costs must be made by the respondent at the end of the hearing. No order for costs will be made unless a request is made at that time.

3.5.4 Where permission to appeal is granted, costs of the application for permission become costs in the appeal.

3.5.5 The reasonable costs of objecting to an unsuccessful application for permission to appeal will normally be awarded to the respondent, subject to any order for costs made by the Appeal Panel. If permission to appeal is granted, the costs of respondent's objections become costs in the appeal. Any claim for the costs of responding to an application will be expected to be in the range of £1000 to £2500 (see paragraphs 6 and 15 of Practice Direction 13).¹⁵

3.5.6 Bills of costs must be filed within three months from the date of the decision of the Appeal Panel or from the date on which an application for permission to appeal is withdrawn in accordance with rule 34. For the withdrawal of an application see paragraph 8.16.2 of Practice Direction 8. If an extension of the three month period is desired, application must be made in writing to the Registrar and copies of all such correspondence sent to all interested parties. In deciding whether to grant an application for an extension of time made after the expiry of the three-month period, the Registrar takes into account the circumstances set out in paragraph 8.2¹⁶ of Practice Direction 13.

3.5.7 For the fees payable on the assessment of a bill of costs, see Annex 2 to Practice Direction 7. For the assessment of costs, see rules 48 – 53 and Practice Direction 13. For security for costs see paragraph 4.7.1 of Practice Direction 4.

Withdrawal of application for permission to appeal

3.5.8 This is dealt with in paragraph 8.16.2 of Practice Direction 8.

Leapfrog appeals ¹⁷

3.6.1 In certain cases an appeal lies direct to the Supreme Court see paragraph 1.2.17 of Practice Direction 1. A certificate must first be obtained and the permission of the Supreme Court then given before the appeal may proceed¹⁸. Such appeals are known as “leapfrog” appeals.

¹⁵ Amended Oct 2016

¹⁶ September 2015

¹⁷ April 2015

¹⁸ Sections 12 – 16 of the Administration of Justice Act 1969 (as amended by the Criminal Justice and Courts Act 2015) provide circumstances in which decisions of the High Court or the Divisional Court may be “leapfrogged” to the Supreme Court. Sections 14A – 14C of the Tribunals, Courts and Enforcement Act 2007 and sections 37A – 37C of the Employment Tribunals Act 1996 (inserted by the Criminal Justice and Courts Act 2015) provide circumstances in which decisions of certain tribunals which have High Court equivalent jurisdiction may be “leapfrogged” to the Supreme Court and sections 7B – 7D of the Special Immigration Appeals Commission Act 1997 (inserted by the Criminal Justice and Courts Act 2015) provide circumstances in which SIAC decisions may be “leapfrogged” to the Supreme Court.

Judge's certificate

3.6.2 An application for a certificate may be made by any of the parties and the application should be made immediately after the judge gives judgment in the proceedings or, if no such application is made, within 14 days from the date on which judgment was given.

3.6.3 A certificate will be granted only if the relevant statutory conditions are fulfilled.

3.6.4 The relevant conditions are set out in section 12(3) and (3A) of the Administration of Justice Act 1969, section 14A(4) and (5) of the Tribunals, Courts and Enforcement Act 2007, section 37A(4) and (5) of the Employment Tribunals Act 1996 and section 7B(4) and (5) of the Special Immigration Commission Act 1997.

3.6.5 A certificate may not be granted in the cases specified in section 15 of the Administration of Justice Act 1969 section 14C of the Tribunals, Courts and Enforcement Act 2007, section 37C of the Employment Tribunals Act 1996 (inserted by the Criminal Justice and Courts Act 2015) or section 7D of the Special Immigration Appeals Commission Act 1997 (inserted by the Criminal Justice and Courts Act 2015).

3.6.6 No certificate may be given where the judge's decision concerns punishment for contempt of court.

3.6.7 No appeal lies against the grant or refusal of a certificate, but if a certificate is refused the applicant may appeal the decision in the normal way, once the time for applying for a certificate has expired.

Application for permission to appeal direct to the Supreme Court

3.6.8 At any time within one month from the date on which the judge grants the certificate, or such extended time as the Supreme Court may allow, any of the parties may apply to the Supreme Court for permission to appeal. Application is made in accordance with paragraph 3.1 of this Practice Direction. If any party to the proceedings is not a party to the application, the application must be endorsed with a certificate of service on that party.

3.6.9 One copy of the judge's certificate must be filed with the application. The application should indicate the statutory provision under which the certificate is granted.

3.6.10 The following additional papers for use by the Appeal Panel must be filed within seven days of the filing of the application:

- a. four additional copies of the application;
- b. four copies of the order appealed against;
- c. four additional copies of the certificate, if not contained in the order; and
- d. four copies of the transcript of judgment.

These additional papers must be presented in the form required by paragraph 5.1.2 of Practice Direction 5.

No other papers are required, and documents other than those listed above will not be normally accepted.

3.6.11 Applications for permission to appeal are normally determined by an Appeal Panel without a hearing.

3.6.12 Even where a certificate has been granted, the Appeal Panel will only grant permission to appeal where the case is one in which permission to appeal to the Supreme Court would have been granted in accordance with the usual criteria it applies.

3.6.13 The appellant and all respondents who have filed notice of objection under rule 13 are sent a copy of the order sealed by the Registrar which records the Panel's decision.

Extensions of time

3.6.14 Where an appellant is unable to file his application within the time limit, an application for an extension of time must be made in Section 7 of Form 1 (PTA)¹⁹. The respondent's views on the extension of time should be sought and, if possible, those views should be communicated to the Registry. The application for an extension of time will be referred to the Registrar and, if it is granted, the appellant must then comply with rule 14 and paragraph 3.2.1.

Proceedings after permission to appeal is granted or refused

3.6.15 If the Appeal Panel grants permission to appeal without terms, no appeal from the decision of the judge lies to the Court of Appeal but only to the Supreme Court. The appeal is brought in accordance with Practice Direction 4 and the usual requirements apply. However, an appeal does lie to the Court of Appeal from the judge's decision (i) where no application is made to the Supreme Court within the one month period after the judge has granted the certificate; or (ii) where permission to appeal direct to the Supreme Court has been refused by the Appeal Panel.

3.6.16 Prospective appellants who decline to proceed on the basis of the terms proposed by the Appeal Panel may instead pursue an appeal to the Court of Appeal in the usual way.

Habeas corpus

3.6.17 Proceedings for a writ of habeas corpus in England and Wales are subject to the procedures governing criminal appeals to the Supreme Court. These are set out in Practice Direction 12. In proceedings for a writ of habeas corpus, an appeal lies from the Queen's Bench Divisional Court to the Supreme Court at the instance of the defendant or prosecutor with the permission either of the Divisional Court or the Supreme Court. No certificate stating a point of law of general public importance is required.

3.6.18 Such an application is normally determined by an Appeal Panel without an oral hearing. The appellant and all respondents who have filed notice of objection under rule 13 are sent a copy of the order sealed by the Registrar which records the Panel's decision.

¹⁹ Amended November 2018

The Supreme Court of the United Kingdom

Practice Direction 4

Notice of Appeal

General note

4.1.1 The practice is that where permission to appeal is granted by the Supreme Court, the application for permission to appeal will stand as the notice of appeal and the grounds of appeal are limited to those on which permission has been granted: rule 18(1). The appellant must, within 14 days of the grant by the Court of permission to appeal, file notice under rule 18(1)(c) that he wishes to proceed with his appeal. When the notice is filed, the application for permission to appeal will be re-sealed and the appellant must then serve a copy on each respondent, on any recognized intervener (that is, an intervener whose submissions have been taken into account under rule 15) and on any intervener in the court below; and file 7 copies: rule 18(2). In any other case an appellant must file a notice of appeal in Form 1. (See Annex 1 to Practice Direction 7 for Form 1 (Appeal)¹.

Form of notice of appeal

4.2.1 A notice of appeal must be produced in Form 1 on A4 paper, securely bound on the left, using both sides of the paper. (See Annex 1 to Practice Direction 7 for Form 1 (Appeal)².) Notices which are not legible or which are not produced in the required form will not be accepted. Parties may consult the Registry at any stage of preparation of the notice, and may submit notices in draft for approval. Amendments to notices are allowed where the Registrar is satisfied that this will assist the Court and will not unfairly prejudice the respondents or cause undue delay. Any amendments must be served on the respondents (see paragraph 4.2.15).

4.2.2 The notice of appeal must be signed by the appellants or their agents. In appeals where permission to appeal is not required (for example, in most Scottish appeals) the notice of appeal must be certified as reasonable by two counsel from the relevant jurisdiction and signed by them³.

4.2.3 The notice of appeal should include the neutral citation of the judgment appealed against, the references of any law report in the courts below, and subject matter catchwords for indexing (whether or not the case has been reported). This can conveniently be done in Section 9 of Form 1.

4.2.4 If an appellant

- a. asks the Supreme Court to depart from one of its own decisions or from one made by the House of Lords;

¹ Amended November 2018

² Amended November 2018

³ September 2015

- b. seeks a declaration of incompatibility under the Human Rights Act 1998; or
- c. seeks a reference to the Court of Justice of the European Communities,

this should be stated clearly in the notice of appeal and full details must be given.

(The Supreme Court has not re-issued the House of Lords' Practice Statement of 26 July 1966 (Practice Statement (Judicial Precedent) [1966] 1 WLR 1234) which stated that the House of Lords would treat former decisions of the House as normally binding but that it would depart from a previous decision when it appeared right to do so. The Practice Statement is "part of the established jurisprudence relating to the conduct of appeals" and "has as much effect in [the Supreme] Court as it did before the Appellate Committee in the House of Lords": *Austin v Mayor and Burgesses of the London Borough of Southwark* [2010] UKSC 28 at paragraphs 24, 25.)

Case title

4.2.5 Notices of appeal to the Supreme Court carry the same title as in the court below, except that the parties are described as appellant(s) and respondent(s). For reference purposes, the names of parties to the original proceedings who are not parties to the appeal should nevertheless be included in the title: their names should be enclosed in square brackets. The names of all parties should be given in the same sequence as in the title used in the court below.

4.2.6 Notices of appeal in which trustees, executors, etc. are parties are titled in the short form, for example *Trustees of John Black's Charity (Respondents) v. White (Appellant)*.

4.2.7 In any notice of appeal concerning children or where in the court below the title used has been such as to conceal the identity of one or more parties to the proceedings, this fact should be clearly drawn to the attention of the Registry at the time the notice of appeal is filed, so that the title adopted in the Supreme Court can take account of the need for anonymity. Notices of appeal involving children are normally given a title in the form *B (Children)* (see also paragraph 4.2.10).

4.2.8 In case titles involving the Crown, the abbreviation "R" meaning "Regina" is used. "R" is always given first. Case titles using this abbreviation take the form *R v Jones (Appellant)* or *R v Jones (Respondent)* (as the case may be) or *R (on the application of Jones) (Appellant) v Secretary of State for the Home Department (Respondent)*.

4.2.9 Apart from the above, Latin is not used in case titles.

Anonymity and reporting restrictions

4.2.10 In any appeal concerning children, the parties, in addition to considering the case title to be used, should also consider whether it would be appropriate for the Court to make an order under section 39 of the Children and Young Persons Act 1933⁴ (reporting restrictions). The parties should always inform the Registry if such an order has been made by a court below. In such cases the Registrar will then make a further order imposing reporting restrictions. Any request for such an order to be made by the Court and any objections to the making of such an order should be made in writing, as soon as possible after the filing of an application for permission or a notice of appeal.

4.2.11 Paragraph 4.2.10 also applies to a request for an order under section 4 of the Contempt of Court Act 1981 (contemporary reports of proceedings).

Human Rights Act 1998

4.2.12 Where an appellant or a respondent seeks a declaration of incompatibility or seeks to challenge an act of a public authority under the Human Rights Act 1998, the appropriate section of Form 1 (Appeal)⁵ or Form 3 must be completed. Parties should set out briefly in their cases the arguments involved and state whether the point was taken below. The Crown has a right to be joined as a party to the appeal where a question of incompatibility is raised (see rule 40 and Practice Direction 9).

References to the European Court

4.2.13 If an appellant seeks a reference to the Court of Justice of the European Union⁶, this should be stated clearly in the notice of appeal and special provisions apply: see rule 42 and Practice Direction 11. The appellant must also notify the Registrar in writing.

London agents

4.2.14 Solicitors outside London may appoint London agents. Those who decide not to do so should note that any additional costs incurred as a result of that decision may be disallowed on any assessment of costs.

Service

4.2.15 A copy of the notice of appeal must be served on the respondents or their solicitors, on any recognized intervener (under rule 15) and on any person who was an intervener in the court below, in accordance with rule 6, before it is filed. A certificate of service (giving the full name and address of the respondents or their agents) must be included in Form 1 (Appeal)⁷ and signed or a separate certificate of service must be provided. See rule 6(4) and paragraph 2.1.24 of Practice Direction 2.

⁴ Extended to Scotland by the Children and Young Persons (Scotland) Act 1963, s 57(3).

⁵ Amended November 2018

⁶ Amended Feb 2013

⁷ Amended November 2018

Filing a notice of appeal

4.3.1 A notice of appeal must be filed in the Registry within 42 days of the date of the order or decision of the court below (see rule 19). However, this time limit may be varied by the Court under rule 5. For other relevant time limits see paragraphs 2.1.12 - 2.1.16 of Practice Direction 2. When a notice of appeal is filed, it will be sealed by a member of staff in the Registry: rule 7(4).

4.3.2 **In order to comply with rule 19(2), the original notice of appeal together with 3 copies** must be filed at the Registry with the prescribed fee. For the relevant fee see Annex 2 to Practice Direction 7. If permission to appeal was granted by the court below, a copy of the order appealed from must also be filed and, if separate, a copy of the order granting permission to appeal to the Supreme Court: rule 19(3). If the order appealed from is not immediately available, *“the notice of appeal should be filed without delay and the order filed as soon as it is available”*: rule 19(3).

Filing notice to proceed under rule 18

4.3.3 Where under rule 18(1)(a) an application for permission to appeal stands as a notice of appeal, the appellant must, within 14 days of the grant by the Court of permission to appeal, file notice that he wishes to proceed with his appeal. See paragraph 3.4.1 of Practice Direction 3 for filing notice to proceed and paragraph 3.4.2 where an appellant is unable to file notice within the prescribed time limit.

Out of time appeals

4.4.1 Where an appellant is unable to file a notice of appeal within the relevant time limit, an application for an extension of time must be made in Section 7 of Form 1 (Appeal)⁸. The respondent’s views on the extension of time should be sought and, if possible, those views should be communicated to the Registry. The application for an extension of time will be referred to the Registrar and, if it is granted, the appellant must comply with rule 19 and paragraph 4.3.2.

Fees

4.5.1 For the fees payable on filing a notice of appeal and on filing notice to proceed under rule 18 see Annex 2 to Practice Direction 7.

Acknowledgement by respondent

4.6.1 Each *“respondent who intends to participate in the appeal must, within 14 days after service under rule 18(2)(a) or rule 20, file notice”* in Form 3: rule 21(1). (See Annex 1 to Practice Direction 7 for Form 3.) (Where under rule 18(1)(a) an application for permission to appeal stands as a notice of appeal, the time limit for a respondent to give notice under rule 21 runs from the date on which he is served with a resealed copy of the application.) Form 3 must be produced on A4 paper, securely fastened, using both sides of the paper.

4.6.2 Before filing, a respondent must serve a copy of Form 3 on the appellant, any other respondent and any person who was an intervener in the court below or whose submissions were

⁸ Amended November 2018

taken into account under rule 15: see rule 21(2). A certificate of service (giving the full name and address of the persons served) must be included in Form 3 and signed or a separate certificate of service must be provided. See rule 6(4) and paragraph 2.1.24 of Practice Direction 2.

4.6.3 **The original notice together with 3 copies** must be filed at the Registry with the prescribed fee. For the relevant fee see Annex 2 to Practice Direction 7. When Form 3 is filed, it will be sealed by a member of staff in the Registry: rule 7(4).

4.6.4 A respondent who does not give notice under rule 21 will not be permitted to participate in the appeal and will not be given notice of its progress: rule 21(3). An order for costs will not be made in favour of a respondent who has not given notice.

Security for costs

4.7.1 Orders for security for costs under rule 36 will be sparingly made but the Court may, on the application of a respondent, order an appellant to give security for the costs of the appeal and any order for security will determine

- a. the amount of that security, and
- b. the manner in which, and the time within which, security must be given.

An application for security should be made in the general form of application, Form 2 (see paragraph 7.1 of, and Annex 1 to, Practice Direction 7). An order made under rule 36 may require payment of the judgment debt (and costs) in the court below instead of, or in addition to, the amount ordered by way of security for costs.

4.7.2 For payment of security see paragraph 8.7.1 of Practice Direction 8.

4.7.3 The following are generally not required to give security for costs:

- a. an appellant who has been granted a certificate of public funding/legal aid;
- b. an appellant in an appeal under the Child Abduction and Custody Act 1985;
- c. a Minister or Government department.

4.7.4 No security for costs is required in cross-appeals.

4.7.5 Failure to provide security as required will result in the appeal being struck out by the Registrar although the appellant may apply to reinstate the appeal. See paragraph 7.1 of Practice Direction 7.

Expedition

4.8.1 In cases involving liberty of the subject, urgent medical intervention or the wellbeing of children (see paragraph 3.4.4 of Practice Direction 3), a request for expedition may be made in writing to the Registrar. See rule 31. Wherever possible the views of all parties should be obtained before a request for an expedited hearing is made.

The Supreme Court of the United Kingdom

Practice Direction 5

Papers for the Appeal Hearing

General note

5.1.1 The Supreme Court does not wish to impose very detailed requirements as to the manner in which documents are presented to the Court for appeal hearings. Where parties are in any doubt as to how documents should be presented they should consult the Registrar and discuss the practice which should be adopted. The provisions of paragraphs 5.1.2 to 5.1.5 must, however, be strictly complied with.

5.1.2 All documents placed before the Court must be

- a. printed or reproduced (both as to font size and otherwise) so as to be easily legible – preferably font size 12 and one and a half line spacing¹;
- b. reproduced on paper of A4 size, printed on both sides; and
- c. (unless this causes great difficulty) presented in bound form, properly labelled and indexed. Gothic script and Roman numerals should be avoided.²

Documents must be presented in a form which is robust, manageable and not excessively heavy. The bundles should not be more than approximately one inch (2.5cm) thick and comb-bound.³

Duplication of material must be avoided particularly where two or more appeals are heard together. See Practice Direction 6 for core volumes, cases and authorities volumes.

5.1.3 **The statement of facts and issues** must be a single document, drafted initially by the appellant but *“submitted to, and agreed with, every respondent before being filed”*: rule 22(2). The statement must set out the relevant facts and, if the parties cannot agree as to any matter, the statement should make clear what items are disputed. It is usually helpful for it to contain a chronology with a list of the key dates. This should be set out in an annex and include cross-references to the page numbers of any relevant documents in the appendix. The statement should contain references to every law report of the proceedings below, and should state the duration of the proceedings below. It should be signed by counsel for all parties. The statement of facts and issues is a neutral document and is not to be used to argue a party’s case. It is the professional duty of the parties’ legal representatives to co-operate to produce the statement⁴.

5.1.4 **The appendix** should contain only such material as is necessary for understanding the legal issues and the argument to be presented to the Supreme Court (see rule 22(2)). It should not contain documents which were not in evidence below, nor should it contain transcripts of the proceedings or evidence below unless they are essential to the legal argument. If necessary, the appendix should be prepared in several parts, only the most essential documents being included in Part 1; only Part 1 will be included in the core volumes. The appendix must be submitted to, and agreed with, every respondent before being filed: rule 22(2).

5.1.5 Documents must be included in the appendix in the following order –

¹ Amended Jan 2012

² Amended Jan 2012

³ Amended Jan 2012

⁴ Amended Oct 2016

- a. the order appealed against;
- b. if separate from the order at (a) above, the order refusing permission to appeal to the Supreme Court;
- c. the official transcript of the judgment of the court below⁵;
- d. the final order(s) of all other courts below;
- e. the official transcript of the final judgment(s) of all other courts below;
- f. (where they are necessary for understanding the legal issues and the argument) the relevant documents filed in the courts below;
- g. (where they are necessary for understanding the legal issues and the argument) the relevant documents and correspondence relating to the appeal.

All documents must be numbered, and each part of the Appendix must include a list of its contents.

Time limits

5.2.1 The statement of facts and issues and the appendix must be filed by the appellant within 112 days after the filing of the notice under rule 18(1)(c) or the filing of the notice of appeal: rule 22(1).

5.2.2 If the appellant is unable to comply with the relevant time limit, an application for an extension of time must be made. (See rule 5 and paragraph 5.2.3.)

Extensions of time for filing the statement of facts and issues and the appendix

5.2.3 Appellants who are unable to complete preparation of the statement and appendix within the time limit may apply to the Registrar for an extension of that time under rule 5. Any application must be made in the general form of application, Form 2, (see Annex 1 to Practice Direction 7) and should explain the reason(s) why an extension is needed.

5.2.4 The Registrar may grant an application for an extension of time, provided that it does not prejudice the preparation for the hearing or its proposed date. The time limits provided by the Rules are, however, generous and applicants for an extension of time must set out in some detail why they are unable to comply with any relevant time limit.

Respondents' consent

5.2.5 Respondents are expected not to withhold unreasonably their consent to an application for an extension of time. Appellants are advised to communicate the views of respondents to the Registry since, if they raise no objection, the application may be dealt with on paper.

Filing the Statement and Appendix

5.2.6 When the statement and appendix are ready,

- a. **the original and 7 copies** of the statement,

⁵ If the judgment has been published in a report which is ordinarily received in court, copies of the report may be filed instead of transcripts. Transcripts of judgments marked “in draft” are not accepted without certification by the relevant court that the copy is the final version of the judgment.

- b. **eight copies** of Part 1 of the appendix and
- c. **10 copies** of Parts 2 etc. (if any)

must be filed at the Registry with the prescribed fee. (For the fee payable, see Annex 2 to Practice Direction 7.)

5.2.7 Within 7 days after filing the statement and the appendix, the parties must comply with rule 22(3) by notifying the Registrar that the appeal is ready to list and providing a time estimate (see paragraph 6.2.1 of Practice Direction 6).

The Supreme Court of the United Kingdom

Practice Direction 6

The Appeal Hearing

General note

6.1.1 The Supreme Court does not wish to impose very detailed requirements as to the manner in which documents are presented to the Court for appeal hearings. Where parties are in any doubt as to how documents should be presented they should consult the Registrar and discuss the practice which should be adopted. The provisions of paragraph 6.1.2 must, however, be strictly complied with.

6.1.2 All documents placed before the Court must be

- a. reproduced or printed (both as to font size and otherwise) so as to be easily legible – preferably font size 12 and one and a half spacing;
- b. reproduced on paper of A4 size, printed on both sides; and
- c. (unless this causes great difficulty) presented in bound form, properly labelled and indexed. Gothic script and Roman numerals should be avoided.

Documents must be presented in a form which is robust, manageable and not excessively heavy. Duplication of material must be avoided particularly where two or more appeals are heard together. See Practice Direction 5 for the statement of facts and issues and the appendix.

Fixing the hearing date

6.2.1 Within 7 days after the filing of the statement of facts and issues and the appendix (see paragraphs 5.1.3 and 5.2.1 of Practice Direction 5), the parties must notify the Registrar that the appeal is ready to list and...specify the number of hours that their respective counsel estimate to be necessary for their oral submissions: rule 22(3). Parties are encouraged to offer agreed dates which are convenient to all counsel at an early stage, but there is no need to wait until after the filing of the statement of facts and issues to fix the hearing date. Time estimates must be as accurate as possible since, subject to the Court's discretion, they are used as the basis for arranging the Court's list. The sittings of the Court (or the 'law terms') are four in each year, that is to say:

- a. the Michaelmas sittings which begin on 1 October and end on 21 December;
- b. the Hilary sittings which begin on 11 January and end on the Wednesday before Easter Sunday;
- c. the Easter sittings which begin on the second Tuesday after Easter Sunday and end on the Friday before the spring holiday; and
- d. the Trinity sittings which begin on the second Tuesday after the spring holiday and end on 31 July.

The ‘spring holiday’ means the bank holiday falling on the last Monday in May or any day appointed instead of that day under section 1(2) of the Banking and Financial Dealings Act 1971.

6.2.2 Subject to any directions by the Court before or at the hearing, counsel are expected to confine their submissions to the time indicated in their estimates. The Registrar **must** be informed at once of any alteration to the original estimate. Not more than two days are normally allowed for the hearing of an appeal and appeals are listed for hearing on this basis. Estimates of more than two days must be fully explained in writing to the Registrar and may be referred to the presiding Justice. Counsel should agree an order of speeches and timetable for the hearing and submit it to the Registry at least 3 working days¹ before the hearing.

6.2.3 The Registrar will subsequently inform the parties of the date fixed for the hearing. The appellant and every respondent (and any intervener or advocate to the Court) “must then sequentially exchange their respective written cases and file them”, and every respondent (and any intervener or advocate to the Court) must provide copies of their respective written cases to the appellant for the preparation of the core volumes: rule 22(4). (See paragraph 6.3 for cases).

Requests for expedition

6.2.4 Any request for an expedited hearing should be made to the Registrar. Wherever possible the views of all parties should be obtained before a request is made.

Directions hearings

6.2.5 Where it considers it to be appropriate, the Court may decide that a directions hearing should be held. A directions hearing will normally be held before 3 Justices. Any request for a directions hearing should be made to the Registrar. Wherever possible the views of all parties should be obtained before a request is made.

Appellants’ and Respondents’ cases

6.3.1 The case is the statement of a party’s argument in the appeal. The Court favours brevity and a case should be a concise summary of the submissions to be developed. A case should not (without permission of the Court) exceed 50 pages of A4 size and in most cases fewer than 50 pages will be sufficient. The requirements of paragraph 5.1.2 of Practice Direction 5 as to font size and line spacing etc. apply to cases.²

6.3.2 The case should be confined to the heads of argument that counsel propose to submit at the hearing and omit material contained in the statement of facts and issues (see paragraph 5.1.3 of Practice Direction 5).

6.3.3 If either party is abandoning any point taken in the courts below, this should be made plain in their case. If they intend to apply in the course of the hearing for permission to introduce a new point not taken below, this should also be indicated in their case and the

¹ Amended Apr 2015

² Amended November 2018

Registrar informed. If such a point involves the introduction of fresh evidence, application for permission must be made either in the case or by filing an application for permission to adduce the fresh evidence (see paragraph 7.1 of Practice Direction 7 for applications).

6.3.4 If a party intends to invite the Court to depart from one of its own decisions or from a decision of the House of Lords, this intention must be clearly stated in a separate paragraph of their case, to which special attention must be drawn. A respondent who wishes to contend that a decision of the court below should be affirmed on grounds other than those relied on by that court must set out the grounds for that contention in their case.

6.3.5 Transcripts of unreported judgments should only be cited when they contain an authoritative statement of a relevant principle of law not to be found in a reported case or when they are necessary for the understanding of some other authority.

6.3.6 All cases must conclude with a numbered summary of the reasons upon which the argument is founded, and must bear the signature of at least one counsel for each party to the appeal who has appeared in the court below or who will be briefed for the hearing before the Court.

6.3.7 The filing of a case carries the right to be heard by two counsel. The fees of two counsel only for any party are allowed on assessment unless the Court has ordered otherwise.³

Separate cases

6.3.8 Parties whose interests in the appeal are passive (for example, stakeholders, trustees, executors, etc.) are not required to file a separate case but should ensure that their position is explained in one of the cases filed.

Filing and exchange of cases

6.3.9 No later than six⁴ weeks before the proposed date of the hearing, the appellants must file at the Registry the original and **2 copies**⁵ of their case and serve it on the respondents.

6.3.10 No later than 4 weeks⁶ before the proposed date of the hearing, the respondents must serve on the appellants a copy of their case in response and file at the Registry the original and **2 copies**⁷ of their case, as must any other party filing a case (for example, an intervener or advocate to the court). **The further copies required by paragraph 6.4.1 must then be filed**⁸.

6.3.11 The number of copies of cases exchanged should be enough to meet the requirements of counsel and solicitors and should not usually exceed eight.

6.3.12 Following the exchange of cases, further arguments by either side may not without permission be submitted in advance of the hearing.

³ Amended Nov 2013

⁴ Amended Sept 2012

⁵ Amended Sept 2012

⁶ Amended Sept 2012

⁷ Amended Sept 2012

⁸ Amended Feb 2013

Form of cases

6.3.13 Cases must be produced on A4 paper, securely bound on the left, using both sides of the paper with:

- a. numbered paragraphs; and
- b. signatures of counsel at the end, above their printed names.

The core volumes and authorities volumes

6.4.1 As soon as the parties' cases have been exchanged and in any event not later than 14 days before the date fixed for the hearing the appellant must file core volumes in accordance with paragraph 6.4.3 and (if necessary) additional volumes containing further parts of the appendix and 10 copies of every case filed by the parties or any intervener. These copies of the cases must contain cross-references (in a footnote or in the body of the text) to the Appendix and authorities volumes⁹.

6.4.2 Copies of all authorities that may be referred to during the hearing must be filed by the appellant at the same time as the core volumes. See paragraphs 6.5.1- 6.5.10.

6.4.3 In addition to the documents already filed, the appellant must file **10** bound core volumes. Each core volume must contain in the following order:

- a. Form 1 – a copy of the notice of appeal (Form 1 (Appeal)) or the re-sealed application for permission to appeal (Form 1 (PTA))¹⁰;
- b. notice of cross-appeal (if any) and any acknowledgement and notice of objection filed by the respondent¹¹;
- c. any order made by the Supreme Court granting permission to appeal and any order made as to the costs of the appeal or the terms on which the appeal is to be brought¹²;
- d. statement of facts and issues;
- e. appellants' and respondents' cases, with cross-references (in a footnote or in the body of the text) to the Appendix and authorities volume(s);
- f. case of the advocate to the court or intervener, if any;
- g. Part 1 of the appendix; and
- h. index to the authorities volume(s).

Form of core volumes

6.4.4 The core volumes:

- a. should be bound, preferably with plastic comb binding and with blue (or, for criminal appeals, red) card covers;
- b. should include tabs for each of the documents set out in paragraph 6.4.3, preferably with the name of the document on the tab;
- c. should show on the front cover a list of the contents and the names and addresses

⁹ Amended Sept 2012

¹⁰ Amended November 2018

¹¹ Amended Sept 2012

¹² Amended Sept 2012

- of the solicitors for all parties;
- d. must indicate (by e.g. a label attached to the plastic spine) the volume number (in Arabic numerals) and the short title of the appeal.

For volumes in electronic form see Practice Direction 14.

Provision of documents

6.4.5 To enable the appellants to produce the core volumes, the respondents must provide the appellants' solicitors with the respondents' case.¹³

6.4.6 Respondents should arrange with the appellants' solicitors for the delivery to them of such core volumes as the respondents' counsel and solicitors¹⁴ require.

Authorities

6.5.1 A joint set of authorities, jointly produced, should be compiled for the appeal. This set should include a primary volume, agreed between Counsel for the parties, containing those legislative provisions and caselaw authorities to which frequent reference is likely to be made during oral argument. Seven sets of the primary volume, and three copies of all other volumes of authorities, should be filed in hard copy¹⁵ at the same time as the core volumes referred to in paragraph 6.4.3. All these authorities must also be filed electronically and included in the electronic bundle prepared for the hearing in accordance with Practice Direction 14.¹⁶ Respondents should arrange with the appellants for the delivery to them of such volumes of authorities as the respondents' counsel and solicitors require. The following paragraphs give guidance on the arrangement and order of the volumes but where the parties consider that a different order or arrangement would be of greater assistance to the Court, that order or arrangement should be adopted.¹⁷

Form and content of authorities volumes

6.5.2 The authorities should appear in alphabetical order in the primary volume as well as in other bundles or categories within bundles. The primary volume should include an index to all authorities in all the volumes of authorities, and, where there is a large number of volumes, this index should also be reproduced separately. Every volume of authorities other than the primary volume should contain an index of its own contents. (The indexes must be included in the pagination.)¹⁸

6.5.3 Authorities should (where appropriate) be further divided into the categories: domestic, Strasbourg, foreign and academic material. Where the parties consider that a different arrangement would be of greater assistance to the Court, that arrangement should be adopted. The volumes of authorities should

- a. be A4 size reproduced as one page per view (with any authorities smaller than A4

¹³ Amended November 2018

¹⁴ Amended Feb 2013

¹⁵ Amended November 2018

¹⁶ Amended November 2018

¹⁷ Amended April 2015

¹⁸ Amended November 2018

- being enlarged)
- b. [separate each authority by numbered dividers;]¹⁹
 - c. be numbered consecutively on the cover and spine with numerals at least point 72 in size for swift identification during the hearing;
 - d. have printed clearly on the front cover the title of the appeal and the names of the solicitors for all parties;
 - e. have affixed to the spine a sticker indicating clearly the volume number in Arabic numerals and short title of the appeal.

Where an authority or other document extends to many pages, only those pages that are relevant to the appeal should be copied. In cases where it is necessary to cite substantial members of Strasbourg authorities, the Court should be provided with an agreed Scott schedule: see Lord Reed's judgment in *R (Faulkner)* [2013] UKSC 23 at paragraphs 99 – 103.²⁰

6.5.4 Copies of cases that have been reported should be of the case as reported in the Law Reports or Session Cases, failing which copies of the case as reported in other recognised reports should be provided. In Revenue appeals, copies of the case as reported in the Tax Cases or Simon's Tax Cases may be provided, but references to any report of the case in the Law Reports or Session Cases should be included when the case is listed in the index. Unreported copies of the judgment should only be included if the case has not been reported in any of the recognised reports.

6.5.5 The Court has on numerous occasions criticised the over-proliferation of authorities. It should be understood that not every authority that is mentioned in the parties' printed cases need be included in the volumes of authorities. They should include only those cases that are likely to be referred to during the oral argument or which are less accessible because they have not been reported in the Law Reports.

6.5.6 All the volumes²¹ of authorities should be filed in the Registry, preferably in separate containers from the core volumes.

6.5.7 In order to produce the volumes of authorities, parties may download text from electronic sources. Where online versions of textbooks or academic authorities are used, the front sheet or first page must be included so that the date of the relevant edition and other such information is provided²². See Practice Direction 14 for provisions in relation to electronic volumes.

6.5.8 In certain circumstances (for example, when during the hearing it becomes apparent that a particular authority is needed but is not in the volumes of authorities), the Supreme Court Library can arrange for copies of authorities to be made available at the hearing. Parties must themselves provide ten copies of any other authority or of unreported cases. They must similarly provide copies of any authority of which notice has not been given.

6.5.9 The cost of preparing the volumes of authorities falls to the appellants, but is ultimately subject to the decision of the Court as to the costs of the appeal.

¹⁹ Amended November 2018

²⁰ Amended May 2013

²¹ Amended November 2018

²² Amended Feb 2013

Respondents' documents

6.5.10 Respondents are not encouraged to provide additional documents of their own but, where it is necessary for a respondent to place documents before the Court, they should be provided to the Registry in advance of the hearing with an explanatory letter.

The hearing

6.6.1 The Registrar lists appeals taking into account the convenience of all the parties. Provisional dates are agreed with the parties well in advance of the hearing and every effort is made to keep to these dates. Counsel, solicitors and parties are, however, advised to hold themselves in readiness during the week before and the week following the provisional date given. Solicitors receive formal notification shortly before the hearing.

6.6.2 Parties should inform the Registry as early as possible of the names of counsel they have briefed.

6.6.3 The Court usually hears appeals on Mondays from 11.00am to 1pm and from 2pm to 4pm and on Tuesdays to Thursdays from 10.30am to 1pm and from 2 to 4pm.

6.6.4 Only in wholly exceptional circumstances will the Court consider sitting in private. Any request for the Court to sit in private should be addressed to the Registrar and should be copied to the other parties. The request should set out fully the reasons why it is made and the request together with any objections filed by the other parties will normally be referred to the presiding Justice.

6.6.5 No more than two counsel will be heard on behalf of a party (or a single counsel on behalf of an intervener permitted to make oral submissions).

6.6.6 If a party wishes to have a stenographer present at the hearing or to obtain a full transcript of the hearing, he must notify the Registrar not less than 7 days before the hearing. Any costs of the stenographer or of transcription must be borne by the party making such a request.

6.6.7 The Registrar will on request inform the parties of the intended constitution of the Court for the hearing of a forthcoming appeal; this will be subject to possible alteration. Counsel should assume that the Court will have read the printed cases and the judgment under appeal but not all the papers which have been filed. The Justices should be addressed as 'My Lord' or 'My Lady' as the case may be.

6.6.8 Provided that all Counsel in the case agree, they may communicate to the Registrar their wish to dispense with part or all of court dress. The Court will normally agree to such a request.²³

6.6.9 Hearings may be filmed and broadcast on television: see paragraph 8.17.1 of Practice Direction 8. Permission has been given for video footage of hearings to be streamed live, and made available afterwards on the Supreme Court website.²⁴

²³ Amended Jan 2012

²⁴ Amended Dec 2015

6.6.10 The Supreme Court has not formally re-issued the House of Lords' Practice Statement of 22 May 2008 (Practice Statement (House of Lords: Appearance of Counsel) [2008] 1 WLR 1143) which stated that Counsel instructed in an appeal are expected to be present throughout the hearing as such hearings take precedence over hearings in lower courts. However, the Practice Statement has as much effect in the Supreme Court as it did in the Appellate Committee in the House of Lords.²⁵

Costs

6.7.1 Rule 46 deals with orders for costs. If counsel seek an order other than that costs should be awarded to the successful party, they may make written submissions in accordance with rule 47 if the Court so directs. If a party wishes to defer making submissions as to costs until after judgment, the court must be informed of this not later than at the close of the oral argument. If the Court **“accedes to the request it will give such directions as appear appropriate and it may, in particular, give directions –**

- a. for the hearing of oral submissions as to costs immediately after judgment;
- b. for the simultaneous or sequential filing of written submissions as to costs within a specified period after judgment;
- c. for the hearing of oral submissions after the filing of written submissions”: rule 47(2).

The original and 3 copies of any written submissions must be filed at the Registry. Copies should also be sent to the other parties to the appeal. Costs submissions are considered on paper.

Conditional fee agreements

6.7.2 Conditional fee agreements may properly be made by parties to appeals before the Supreme Court²⁶. It is open to the officer assessing costs to reduce the percentage uplift recoverable under a conditional fee agreement if he considers it to be excessive. The costs officer decides questions of percentage uplift in accordance with the principles set out in *Designers Guild Limited v. Russell Williams (Textiles) Limited (trading as Washington DC)* [2003] 2 Costs LR 204. If a party appearing before the Court seeks a ruling that the percentage uplift provided for in a conditional fee agreement should be wholly disallowed on legal grounds, such a ruling should (unless otherwise ordered) be expressly sought from the Court before the end of the hearing.

This paragraph does not apply to appeals from Scotland or Northern Ireland.

Judgment

Place and time of judgment

6.8.1 Judgments are given on a day notified in advance. One week's notice is normally given. If judgment is to be handed down on a Wednesday, copies will be released on the

²⁵ Amended Feb 2013

²⁶ Conditional fee agreements are sanctioned by the Courts and Legal Services Act 1990, as amended by the Access to Justice Act 1999.

previous Thursday. All corrections are to be submitted by midday on the following Monday.

Attendance of Counsel

6.8.2 One junior counsel for each party or group of parties who have filed a case may attend when judgment is delivered in open court, but the attendance of counsel is not required. If counsel do attend, they should be familiar with the subject matter of the appeal and with the options for its disposal. Where judgment is to be promulgated by the Registrar, copies will be made available for collection by counsel or a solicitor at the Registry on a day notified in advance.

Conditions under which judgments are released in advance

6.8.3 The judgment of the Court is made available to certain persons before judgment is given. When, for example, judgment is given on a Wednesday morning, it is made available to counsel from 10.30 am on the previous Thursday morning. In releasing the judgment, the Court gives permission for the contents to be disclosed to counsel, solicitors (including solicitors outside London who have appointed London agents) and in-house legal advisers in a client company, Government department or other body. The contents of the judgment and the result of the appeal may be disclosed to the client parties themselves 24 hours before the judgment is to be given unless the Court or the Registrar directs otherwise. A direction will be given where there is reason to suppose that disclosure to the parties would not be in the public interest.

6.8.4 It is the duty of counsel to check the judgment for typographical errors and minor inaccuracies. In the case of apparent error or ambiguity in the judgment, counsel are requested to inform the Judicial Support section as soon as possible. This should be done by e-mail to judicialsupport@supremecourt.uk, no later than two working days before the date judgment is to be given. The purpose of disclosing the judgment is not to allow counsel to re-argue the case and attention is drawn to the opinions of Lord Hoffmann and Lord Hope in *R (Edwards) v Environment Agency* [2008] UKHL 22, [2008] 1WLR 1587.

6.8.5 Accredited members of the media may on occasion also be given a printed copy of the judgment in advance by the Court's communications team. The contents of this document are subject to a strict embargo, and are not for publication, broadcast or use on club tapes before judgment has been delivered. The documents are issued in advance solely at the Court's discretion, and in order to inform later reporting²⁷, on the strict understanding that no approach is made to any person or organisation about their contents before judgment is given.

6.8.6 The Registrar will prepare a draft of the order which is to be made in advance of the day on which judgment is given and, when the draft has been approved by the Court, Counsel may be invited to comment on the draft. If parties have been able to agree the order for costs, the Registry should be informed. If the parties wish to make written submissions on costs to the Court, the Registrar should be informed by 4.30pm on the day before judgment is to be given.

²⁷ Amended March 2016

Intervention

6.9.1 A person who is not a party to an appeal may apply in accordance with rule 26 for permission to intervene in the appeal. An intervener under rule 15 who wishes to intervene in the appeal must make a formal application under rule 26.

6.9.2 An application should be made in the general form of application, Form 2, (see paragraph 7.1 of Practice Direction 7 for applications) and should state whether permission is sought for both oral and written interventions or for written intervention only. The application should be filed with the prescribed fee and confirmation of the consent of the appellants and respondents in the appeal. If their consent is refused, the application must be endorsed with a certificate of service on them, with a brief explanation of the reasons for the refusal.

6.9.3 Applications for permission to intervene should be filed at least 8 weeks before the date of hearing of the appeal. Failure to meet this deadline may increase the burden on the parties in preparing their cases and the core volumes, and may delay the hearing of the appeal. The Court will wish to consider all the applications to intervene at one time and the Registrar will group applications together and refer them to members of the Court as a group. Strict adherence to the time limit for filing is therefore necessary²⁸.

6.9.4 If permission is given, written submissions must be filed and also given to the appellants and respondents for incorporation into the core volumes at least **4**²⁹ weeks before the hearing. They should avoid repeating material that is in the parties' written cases. They should concentrate on the particular points that the intervener wishes to raise and should normally not exceed 20 pages of A4 size.

6.9.5 All counsel instructed on behalf of an intervener with permission to address the Court should attend the hearing unless specifically excused.

6.9.6 Subject to the discretion of the Court, interveners bear their own costs and any additional costs to the appellants and respondents resulting from an intervention are costs in the appeal. Orders for costs **“will not normally be made either in favour of or against interveners but such orders may be made if the Court considers it just to do so (in particular if an intervener has in substance acted as the sole or principal appellant or respondent)”**: rule 46(3).

Specialist advisers and advocates to the Court

6.10.1 For a request for a specialist adviser or an advocate to the Court to be appointed in an appeal see paragraphs 8.13.1 and 8.13.2 of Practice Direction 8.

²⁸ Amended November 2018

²⁹ Amended Feb 2013

The Supreme Court of the United Kingdom

Practice Direction 7

Applications, Documents, Forms and Orders

Applications

7.1.1 Applications are governed by rule 30. An application should be made as soon as it becomes apparent that an application is necessary or expedient.

7.1.2 An application must be made in Form 2 and should be served on all the other parties before it is filed: rule 30(1)(3).

7.1.3 An application must state what order the applicant is seeking and, briefly, why the applicant is seeking the order: see rule 30(2). Certain applications (e.g. for security) should be supported by written evidence. Although there may be no requirement to provide evidence in support, it should be borne in mind that, as a practical matter, the Court will often need to be satisfied by evidence of the facts that are relied on in support of or for opposing the application. Evidence must be filed as well as served on the respondents.

7.1.4 A party “**who wishes to oppose an application must, within 7 days after service, file notice of objection**” in Form 3 and “**must (before filing) serve a copy on the applicant and any other parties**”: rule 30(4).

7.1.5 The parties to an application for a consent order must ensure that they provide any material needed to satisfy the Court that it is appropriate to make the order.

7.1.6 Applications will be dealt with without a hearing wherever possible. Unless the Registrar directs otherwise, opposed procedural applications are referred to a Panel of Justices and may be decided with or without an oral hearing.

7.1.7 **The original and 3 copies** of the application must be filed, with the prescribed fee. The original application must bear a certificate of service on the other parties and must clearly indicate whether the other parties consent or refuse to consent to the application. **The original and 3 copies** of the notice of objection must be filed, with the prescribed fee. The original notice must bear a certificate of service on the other parties.

7.1.8 If the Panel of Justices orders an oral hearing, the parties may seek permission to adduce affidavits, witness statements and such other documents as they may wish. **Eight copies** are required. Copies of such documents must be served on the other parties before the oral hearing. Authorities are not normally cited before the Panel.

Documents

Preparation

7.2.1 All formal documents for the Supreme Court must be produced on A4 paper, securely bound on the left, using both sides of the paper. Documents which are not

legible or which are not produced in the authorised form or which are unsatisfactory for some other similar reason are not accepted.

7.2.2 See paragraph 7.2.4 for a list of the provisions governing the form of documents which are to be filed.

Number of documents required

7.2.3 The following table shows the numbers of documents usually required for the hearing of an appeal. The numbers shown are the minimum prescribed by the Rules. Actual requirements must be subject to agreement and depend on the number of parties, counsel and solicitors concerned, and on the special circumstances of each appeal. Copies for the use of the party originating the documents are not included in the numbers indicated.

The appellants must provide:

Document	For Registry	For other side
Notice of appeal	Original and 3 copies on filing	One on service
Statement of facts and issues	Original and 7 copies	As arranged
Appendix Part 1	8	One in advance otherwise as arranged
Appendix Part 2 and any subsequent Parts	10	One in advance otherwise as arranged
Case	Original and 2 ¹ copies no later than six ² weeks before the hearing; 10 copies two weeks before the hearing ³	As arranged on exchange
Core volumes plus memory sticks ⁴	10 no later than two weeks before the hearing	As arranged
Primary volume of authorities ⁵	7 no later than two weeks before the hearing	As arranged
Authorities not included in the primary volume ⁶	3 no later than two weeks before the hearing	As arranged

¹ Amended Sept 2012

² Amended Sept 2012

³ Amended Sept 2012

⁴ Amended November 2018

⁵ Amended November 2018

⁶ Amended November 2018

The respondents (and any interveners) must provide:

Document	For Registry	For other side
Case	Original and 2 ⁷ copies no later than four ⁸ weeks before the hearing; 10 copies two weeks before the hearing ⁹ (see PD 6) ¹⁰	As arranged
Respondents' additional documents (if any)	10	As arranged

Form of documents

7.2.4 Reference should be made to the following Practice Directions for the form of documents –

- For Statement of facts and issues: see Practice Direction 5 paragraph 5.1.3
- For Appendix: see Practice Direction 5 paragraph 5.1.4
- For Cases: see Practice Direction 6 paragraph 6.3
- For Core volumes: see Practice Direction 6 paragraph 6.4
- For Volumes of authorities: see Practice Direction 6 paragraph 6.5.

Disposal of documents

7.2.5 All forms and supporting documents which are filed become the property of the Court. No documents submitted in connection with an application for permission to appeal can be returned. Certain documents submitted in connection with an appeal may be returned, on application to the Registrar within 14 days of judgment in the appeal. Original documents are retained.

7.2.6 Documents filed for the use of the Court may be inspected by persons who are not a party to the appeal on application under rule 39. Such persons must comply with any anonymity orders, data protection requirements and/or conditions imposed by the Registrar under rule 39.

⁷ Amended Sept 2012

⁸ Amended Sept 2012

⁹ Amended Sept 2012

¹⁰ Amended Jan 2013

Forms

7.3.1 Rule 4 provides for the forms which are to be used in the Supreme Court.

7.3.2 The following forms are set out in Annex 1 to this Practice Direction.

Form 1 (PTA)¹¹ Application for permission

Form 1 (Appeal) Notice of appeal¹²

Form 2 Application form

Form 3 Notice of objection/acknowledgement by respondent

Orders

Draft order

7.4.1 Before the Court hands down its judgment, the Registrar will normally send a draft order to all parties who filed a case. The drafts must be returned to the Registrar no later than 2 days after receipt (unless otherwise directed), either approved or with suggested amendments. If amendments are proposed, they must be submitted to the solicitors for the other parties, who should indicate their approval or disagreement both to the solicitors submitting the proposals and to the Registrar.

Final order

7.4.2 A copy of the sealed final order is sent to the solicitors for all parties.

¹¹ Amended November 2018

¹² Amended November 2018

Annex 1

Form 1	Application for permission
Form 1	Notice of appeal ¹³
Form 2	Application form
Form 3	Notice of objection/acknowledgement by respondent

¹³ Amended November 2018

Annex 2

Fees payable in the Supreme Court

The fees set out in column (2) of the table below are payable in the Supreme Court in respect of the items described in column (1) of the table.

No fee in column (2) is payable in respect of criminal proceedings, other than the fee payable on submitting a claim for costs and for copying documents¹⁴.

In relation to its devolution jurisdiction the fees set out in column (3) of the table are payable in respect of the items described in column (1) of the table.

(1) Number and description of fee	(2) Amount of fee	(3) Amount of fee
1 Application for permission to appeal		
1.1 On filing an application for permission to appeal. ¹⁵	£1000	£400
1.2 On filing notice of objection to an application for permission to appeal.	£160	£160
2 Appeals etc		
2.1 On filing notice under rule 18(1)(c) of the 2009 Rules of an intention to proceed with an appeal.	£800	£400
2.2 On filing a notice of appeal.	£1600	£400
2.3 On filing a reference under the Supreme Court's devolution jurisdiction.	n/a	£200
No fee is payable where the reference is made by a court.		
2.4 On filing notice under rule 21(1) of the 2009 Rules (acknowledgement by respondent).	£320	£160
2.5 On filing a statement of relevant facts and issues and an appendix of essential documents.	£4820	£800
3 Procedural applications		
3.1 On filing an application for a decision of the Registrar to be reviewed.	£1500	£200
3.2 On filing an application for permission to intervene in an appeal.	£800	£200
3.3 On filing any other procedural application.	£350	£200
3.4 On filing notice of objection to a procedural application.	£150	£150
4 Costs		
4.1 On submitting a claim for costs.	2.5% of the sum claimed	2.5% of the sum claimed
4.2 On certification by the Registrar under rule 52 of the 2009 Rules of the amount of assessed costs, or on receipt of an order showing the amount.	2.5% of the sum allowed	2.5% of the sum allowed
5 Copying		
5.1 On a request for a copy of a document (other than where fee 5.2 or 5.3 applies)—		
(a) for ten pages or less;	£5	£5

¹⁴ Amended Jan 2012

¹⁵ Amended Jan 2012

(b) for each subsequent page.	50p	50p
5.2 On a request for a copy of a document to be provided on a computer disk or in other electronic form, for each such copy.	£5	£5
5.3 On a request for a certified copy of a document.	£20	£20

The Supreme Court of the United Kingdom

Practice Direction 8

Miscellaneous Matters

Bankruptcy or winding up

8.1.1 If a party to an appeal is adjudicated bankrupt or a corporate body is ordered to be wound up, their solicitor must give immediate notice in writing to the other parties and to the Registrar, who must also be provided with a certified copy of the bankruptcy or winding up order. The bankrupt party (or his trustee in bankruptcy) or the liquidator must file an application to pursue the appeal and the appeal cannot proceed until the application has been approved.

8.1.2 An application to pursue the appeal must be filed within 42 days of the date of the notice.

8.1.3 The form of application and the procedure for any supplemental case follows that for death of a party (see paragraph 8.4 below).

Grouping or linking of appeals

8.2.1 The Registrar may direct that appeals raising the same or similar issues are heard either together or consecutively by the court constituted by the same Justices and may give any consequential directions that appear appropriate.

8.2.2 The Registrar should be consulted on whether grouping or linking is likely to be appropriate. A principal consideration will be to avoid wherever possible separate representation by counsel and any duplication in the submissions made or in the documents produced for the hearing.

Cross-appeals

8.3.1 A respondent who wishes to argue that the order appealed from should be upheld on grounds different from those relied on by the court below, must state that clearly in his written case but need not cross-appeal: rule 25(1). A respondent who wishes to argue that the order appealed from should be varied must obtain permission to cross-appeal except in cases where “*leave is required from the Court of Session for an appeal from that court or... an appeal lies... as of right*”: rule 25(2). Except in those cases, applications for permission to cross-appeal should be made by the respondents directly to the Supreme Court.

8.3.2 Where permission to cross-appeal is required, an application for permission may only be filed after permission to appeal has been granted to the original applicant for permission to appeal. **The original and 3 copies** of the application for permission to cross-appeal must be filed within 42 days of the grant by the Court of permission to appeal. Where permission to cross-appeal is granted by the Supreme Court, the application for permission to cross-appeal will stand as the notice of appeal and the appellant must then comply with rule 18 and paragraph 3.4.1 of Practice Direction 3.

8.3.3 If permission to cross-appeal is not required, the notice of cross-appeal must be filed with the prescribed fee within 42 days of the grant by the Court of permission to appeal or the filing of the notice of appeal. **The original and 3 copies** of the notice of cross-appeal must be filed. In a notice of cross-appeal, the original appellant is designated as original-appellant/cross-respondent and the original respondent is designated as original-respondent/cross-appellant.

8.3.4 A cross-appeal may be presented out of time in accordance with paragraph 4.4.1 of Practice Direction 4. For the fees payable for cross-appeals see Annex 2 to Practice Direction 7.

8.3.5 Argument in respect of a cross-appeal must be included by each party in their case in the original appeal. Such an inclusive case must clearly state that it is filed in respect of both the original and cross-appeals.

8.3.6 In a cross-appeal, the cases on the original appeal must be filed 6¹ weeks before the hearing. The cross-appellants' case for the cross-appeal must be filed 4² weeks before the hearing as part of their reply to the original appellants' case. The original appellants/cross-respondents may reply to the case for the cross-appeal in their case filed in the core volumes.

8.3.7 There is only one Appendix for the original appeal and cross-appeal, and documents in respect of the appeal and cross-appeal must be included in the same Appendix. The original-appellants/cross-respondents are responsible for filing the Statement and Appendix and for notifying the Registrar that the appeal and cross-appeal are ready for listing (including payment of the fee).

8.3.8 The provisions of the above paragraphs apply to appeals from Scotland with the appropriate modifications.

Death of a party

8.4.1 If a party to an appeal dies before the hearing, immediate notice of the death must be given in writing to the Registrar and to the other parties. The appeal cannot proceed until a new party has been appointed to represent the deceased person's interest.

8.4.2 The application to substitute the new party must be filed with the prescribed fee within 42 days of the date of notice of death. It should explain the circumstances in which it is being filed. It must be endorsed with a certificate of service on all other parties.

8.4.3 If the death takes place after the case for the deceased person has been filed but before the appeal has been heard, the appellants must file a supplemental case setting out the information about the newly-added parties.

8.4.4 If a party to an application for permission to appeal dies and that party has no personal representative, immediate notice of the death must be given in writing to the Registrar and to the other parties. The Registrar may direct that the application proceeds in the absence of a person representing the estate of the deceased or may appoint a person to represent the deceased person's interest. Any application to substitute the new party must be filed with the prescribed fee within 28 days of the date of notice of death. It should explain the circumstances in which it is being filed. It must be endorsed with a certificate of service on all other parties.

¹ Amended Feb 2013

² Amended Feb 2013

Dispute between parties settled

8.5.1 It is the duty of counsel and solicitors in any pending appeal, if an event occurs which arguably disposes of the dispute between the parties, either to ensure that the appeal is withdrawn by consent or, if there is no agreement on that course, to bring the facts promptly to the attention of the Registrar and to seek directions. See further paragraph 8.16 below.

Exhibits

8.6.1 Parties who require exhibits to be available for inspection at the hearing must apply to the Registrar for permission for the exhibits to be brought to the Court before the hearing.

Fees and security for costs

8.7.1 Payments of fees and deposits of security money may be made by banker's draft or cheque. Drafts and cheques for fees must be made payable to 'The Supreme Court of the United Kingdom'. Drafts and cheques for security money must be made payable to 'UK Supreme Court Security Fund Account'.

Interveners

8.8.1 A person who is not a party to an application for permission to appeal may apply for permission to intervene in accordance with rule 15. See paragraph 3.3.17 of Practice Direction 3. A person who is not a party to an appeal may apply for permission to intervene in accordance with rule 26. See paragraph 6.9 of Practice Direction 6.

8.8.2 Attention is drawn to paragraphs 2 and 3 of Lord Hoffmann's opinion in *E v The Chief Constable of the Royal Ulster Constabulary (Northern Ireland Human Rights Commission intervening)* [2008] UKHL 66, [2009] 1 AC 536, where he said this.

"2. It may however be of some assistance in future cases if I comment on the intervention by the Northern Ireland Human Rights Commission. In recent years the House has frequently been assisted by the submissions of statutory bodies and non-governmental organisations on questions of general public importance. Leave is given to such bodies to intervene and make submissions, usually in writing but sometimes orally from the bar, in the expectation that their fund of knowledge or particular point of view will enable them to provide the House with a more rounded picture than it would otherwise obtain. The House is grateful to such bodies for their help.

3. An intervention is however of no assistance if it merely repeats points which the appellant or respondent has already made. An intervener will have had sight of their printed cases and, if it has nothing to add, should not add anything. It is not the role of an intervener to be an additional counsel for one of the parties. This is particularly important in the case of an oral intervention. I am bound to say that in this appeal the oral submissions on behalf of the NIHRC only repeated in rather more emphatic terms the points which had already been quite adequately argued by counsel for the appellant. In future, I hope that interveners will avoid unnecessarily taking up the time of the House in this way."

New submissions

8.9.1 If, after the conclusion of the argument on an appeal, a party wishes to bring to the notice of the Court new circumstances which have arisen and which might affect the decision or order of the Court, application must be made without delay by letter to the Registrar for permission to make new submissions. The application should indicate the circumstances and the submissions it is desired to make, and a copy must be sent to the solicitors for the other parties to the appeal.

Opposed procedural applications

8.10.1 See paragraph 7.1 of Practice Direction 7 for applications.

Patents

8.11.1 This direction applies to any appeal direct from the High Court under sections 12 and 13 of the Administration of Justice Act 1969, from an order for the revocation of a patent made under section 32 or section 61 of the Patents Act 1949 or under section 72 of the Patents Act 1977.

8.11.2 Notice of intention to file an appeal, with a copy of the notice of appeal, must be served on the Comptroller-General of Patents, Designs and Trade Marks, as well as on the respondents.

8.11.3 If at any time before the hearing of the appeal the respondents decide not to file an acknowledgement to oppose the appeal, they must without delay serve notice of their decision on the Comptroller and on the appeal. Any such notice served on the Comptroller must be accompanied by a copy of the petition under section 32 of the 1949 Act or of the statements of case in the claim and the affidavits filed therein.

8.11.4 The Comptroller must, within 14 days of receiving notice of the respondents' decision, serve on the appellant and file a notice stating whether or not he intends to file an acknowledgement.

8.11.5 The Comptroller may appear and be heard in opposition to the appeal:

- a. in any case where he has given notice of his intention to appear, and
- b. in any other case (including in particular a case where the respondents withdraw opposition to the appeal during the hearing) if the Court so directs or allows.

8.11.6 The Court makes such orders for the postponement or adjournment of the hearing of the appeal as may appear necessary for the purpose of giving effect to the provisions of this paragraph.

Public funding and legal aid

8.12.1 The Court does not provide public funding or legal aid. Application for public funding must be made in England and Wales to the Legal Aid Agency³, in Scotland to the Scottish Legal Aid Board, and in Northern Ireland to the Legal Aid Committee.

8.12.2 A party to whom a public funding or legal aid certificate has been issued must as soon as possible thereafter file a copy at the Registry. Any emergency certificate and subsequent amendments and the authority for leading counsel must also be filed.

Effect of application by appellant for public funding/legal aid

8.12.3 Provided the Registrar and the other parties have been notified in writing, an application by an appellant for public funding or legal aid suspends the commencement of proceedings and the time limits in rules 11 and 19 are extended until 28 days after the determination of the application for public funding or legal aid (including any appeals against a refusal of funding). Proof that an application has been made for legal aid must be provided to the Registrar.⁴

8.12.4 Notification must be given far enough before the expiry of the original time limits to ensure that the appeal is not dismissed as being out of time. A copy of the order appealed from must be submitted by the applicant with the notification.

Effect of application by respondent for public funding/legal aid

8.12.5 Where a respondent to an appeal has applied for public funding or legal aid, they should inform the Registrar as soon as possible and in any event within the original time limit for filing the statement and appendix, particularly if they anticipate any possible difficulty in complying with a relevant time limit⁵.

Issuing of public funding/legal aid certificate

8.12.6 Where a public funding or legal aid certificate is granted, the relevant date for the purpose of calculation of time limits under paragraphs 8.12.3 and 8.12.4⁶ is the date of issue of the certificate.

Specialist advisers and advocates to the Court

8.13.1 Any party to an appeal may apply in writing to the Registrar for specialist advisers to attend the hearing: rule 35⁷. Such advisers provide assistance to the Court and are strictly independent of the parties to the appeal.

8.13.2 A request for an advocate to the Court to be appointed in an appeal should be made in writing to the Registrar. Any request should indicate whether the other parties to the appeal support the request.

³ Amended Nov 2013

⁴ Amended May 2013

⁵ Amended 2015

⁶ Amended May 2013

⁷ For Nautical Assessors, see also Supreme Court of Judicature Act 1891 s 3.

Stay of execution

8.14.1 Filing a notice of appeal or an application for permission to appeal does not in itself place a stay of execution on any order appealed from. A party seeking such a stay must apply to the court appealed from, not to the Supreme Court. The Supreme Court cannot stay an interlocutor of the Court of Session⁸.

Transcription

8.15.1 See paragraph 6.6.6 of Practice Direction 6 for requests for stenographers and transcripts.

Withdrawal of appeals and applications

8.16.1 Attention is drawn to the provisions of rule 34.

Applications for permission to appeal

8.16.2 An application for permission to appeal may be withdrawn by writing to the Registrar, stating that the parties have agreed how the costs should be settled. The respondents should notify the Registrar of their agreement.

Appeals

8.16.3 An appeal that has not been listed for hearing may be withdrawn by writing to the Registrar, stating that the parties to the appeal have agreed the costs of the appeal. The nature of the agreement should be indicated. Where appropriate, the letter should also indicate how any security money should be disposed of. Written notification must also be given to the respondents who must notify the Registrar of their agreement to the withdrawal of the appeal and who must confirm that the costs have been agreed.

8.16.4 An appeal that has been listed for hearing may only be withdrawn by order of the Court on application. (See paragraph 7.1 of Practice Direction 7 for applications.) An application for such an order should include submissions on costs and, where appropriate, indicate how any security money should be disposed of. The application must be submitted for their consent to those respondents who have filed an acknowledgement. The application should be filed with the prescribed fee.

Broadcasting

8.17.1 The President and the Justices of the Supreme Court have given permission for video footage of proceedings before the Court to be broadcast where this does not affect the administration of justice and the recording and broadcasting⁹ is conducted in accordance with the protocol¹⁰ which has been agreed with representatives of several UK broadcasters.¹¹ Permission

⁸ Court of Session Act 1988 s 41(2).

⁹ Amended Dec 2015

¹⁰ The protocol ensures that certain types of proceedings and some aspects of proceedings such as private discussions between parties and their advisers are not recorded, televised or filmed. It also regulates the use of extracts of proceedings and prevents their use in certain types of programmes (such as party political broadcasts) and in any form of advertising or publicity.

to broadcast proceedings must be sought from the President or the presiding Justice on each occasion and requires his or her express approval. Where the President or the presiding Justice grants permission, he or she may impose such conditions as he or she considers to be appropriate including the obtaining of consent from all the parties involved in the proceedings.

Enforcement of orders made by the Supreme Court

8.18.1 The enforcement of orders made by the Supreme Court in England and Wales is dealt with in paragraph 13 of Practice Direction 40B which supplements Part 40 of the Civil Procedure Rules. This provides for an application to be made in accordance with CPR Part 23 for an order to make an order of the Supreme Court (or the House of Lords) an order of the High Court. The application should be made to the procedural judge of the Division, District Registry or court in which the proceedings are taking place and may be made without notice unless the court directs otherwise.

8.18.2 The Part 23 application must be supported by the following:

1. details of the order which was the subject of the appeal to the Supreme Court or the House of Lords;
2. details of the order of the Supreme Court or the House of Lords, with a copy annexed, and
3. a copy of the certificate of the Registrar of the Supreme Court or of the Clerk of Parliaments of the assessment of the costs of the appeal to the Supreme Court or the House of Lords.

8.18.3 The order to make an order of the Supreme Court or the House of Lords an order of the High Court should be in form no PF68.

8.18.4 An order made by the Supreme Court is a UK judgment and enforcement of such an order in Scotland and Northern Ireland is dealt with in accordance with Schedule 6 to the Civil Jurisdiction and Judgments Act 1982. See Part 74 of the Civil Procedure Rules.

Application for order that a solicitor has ceased to act

8.19.1 A solicitor may apply for an order declaring that he has ceased to be the solicitor acting for a party.

Application for order that a solicitor has cease to act.¹²

8.19.2 Where such an application is made

- a. the application must be served on the party for whom the solicitor is acting, unless the Registrar directs otherwise; and

¹¹ Amended Dec 2015

¹² Amended Jan 2013

b. the application must be supported by evidence.

8.19.3 Where the Registrar makes an order that a solicitor has ceased to act, a copy of the order must be served on every party to the proceedings and the order takes effect when it is served.

The Supreme Court of the United Kingdom

Practice Direction 9

The Human Rights Act 1998

Appeals involving declarations of incompatibility

9.1.1 Where an appellant or a respondent seeks a declaration of incompatibility under the Human Rights Act 1998, the appropriate section of Form 1 or Form 3 must be completed and the provisions of the relevant Practice Direction must be complied with: see Practice Direction 4 paragraph 4.2.12.

9.1.2 The Crown has the right to intervene in any appeal where the Court is considering whether to declare that a provision of primary or subordinate legislation is incompatible with a Convention right: see rule 40. In any appeal where the Court is considering, or is being asked to consider, whether to make, uphold or reverse such a declaration, the Registrar must notify the appropriate Law Officer(s)¹: if the Crown (through a Minister, governmental body or other person defined in Human Rights Act 1998 s 5(2)) is not already a party to the appeal: rule 40(1).

9.1.3 The person notified under paragraph 9.1.2 must within 21 days of receiving such notice, or such extended period as the Registrar may allow, serve on the parties and file a notice stating whether or not the Crown intends to intervene in the appeal; and the identity of the Minister or other person who is to be joined as a party to the appeal². Where the Crown intends to intervene in the appeal, notice can be given in Form 2.

9.1.4 If a Minister or other person has already been joined to proceedings in the court below in accordance with the provisions of s 5 of the Human Rights Act 1998, the permission of the Court is not required for the continued intervention of the Crown.

9.1.5 Once joined to the appeal, the case for the Minister or other person must be filed in accordance with Practice Direction 6, paragraph 6.3.

9.1.6 The Court may order the postponement or adjournment of the hearing of the appeal for the purpose of giving effect to the provisions of this direction or the requirements of the Act.

Other Human Rights Act appeals

9.1.7 Where an appellant or a respondent seeks to challenge an act of a public authority under the Human Rights Act 1998, the appropriate section of Form 1 or Form 3 must be completed and the provisions of the relevant Practice Direction must be complied with: see Practice Direction 4 paragraph 4.2.12.

¹ The Registrar notifies:

- (i) in appeals from England, the Attorney-General;
- (ii) in appeals from Scotland, the Advocate General for Scotland and the Lord Advocate;
- (iii) in appeals from Wales, if appropriate, the Counsel General of the National Assembly for Wales
- (iv) in appeals from Northern Ireland, the Attorney General for Northern Ireland

² Human Rights Act 1998 ss5(2) and 9(5)

9.1.8 Where an issue under the Human Rights Act is raised in respect of a judicial act³, the Registrar notifies the Crown through the Treasury Solicitor as agent for the Lord Chancellor⁴.

9.1.9 Except as stated above, no special steps are required for other Human Rights Act appeals.

³ Human Rights Act 1998 ss 7, 9(3) and 9(4)

⁴ In appeals from Scotland, the Registrar notifies the Solicitor to the Scottish Government; in appeals from Northern Ireland, he notifies the Crown Solicitor and the Departmental Solicitor.

The Supreme Court of the United Kingdom

Practice Direction 10

Devolution Jurisdiction

General note

10.1.1 The Supreme Court has jurisdiction to hear and determine questions relating to the powers and functions of the legislative and executive authorities established in Scotland and Northern Ireland by the Scotland Act 1998 and the Northern Ireland Act 1998 respectively, and questions as to the competence and functions of those established by the Government of Wales Act 2006, whether or not the issue arises in proceedings in England and Wales, Scotland or Northern Ireland. These questions are referred to in the relevant legislation as “devolution issues”, except that as a result of provisions introduced by Part 4 of the Scotland Act 2012 a question of the kind described in section 288ZA(2) of the Criminal Procedure (Scotland) Act 1995 is referred to as a “compatibility issue” and the powers of the Supreme Court are exercisable only for the purpose of determining that issue: section 288ZB(6) of the Criminal Procedure (Scotland) Act 1995.¹

10.1.2 The Supreme Court can also be asked to scrutinise Bills of the Scottish Parliament (under sections 32A or² 33 of the Scotland Act), Bills of the Northern Ireland Assembly (under section 11 of the Northern Ireland Act) and Bills of the National Assembly for Wales³ (under section 112 of the Government of Wales Act 2006)⁴.

10.1.3 Questions of the kind referred to in paragraphs 10.1.1 and 10.1.2.⁵ can reach the Supreme Court in four ways.

- a. by way of a reference of a question by a relevant officer.
- b. by way of an appeal from the determination of a devolution issue by⁶ certain superior courts of England and Wales, Scotland and Northern Ireland and from the determination of a compatibility issue by a court of two or more judges of the High Court of Justiciary in Scotland.⁷
- c. by way of a reference of a devolution issue or a compatibility issue⁸ by certain appellate courts.
- d. by way of a direct reference by a relevant officer⁹ of a devolution issue whether or not the devolution¹⁰ issue is the subject of litigation.

10.1.4 Rule 3(2) defines “relevant officer” as meaning

¹ Amended April 2013

² Amended Oct 2016

³ Amended April 2013

⁴ Amended April 2013

⁵ Amended April 2013

⁶ Amended April 2013

⁷ Amended April 2013

⁸ Amended April 2013

⁹ Amended April 2013

¹⁰ Amended April 2013

- a. in relation to proceedings in England and Wales, the Attorney General and, in relation to proceedings that particularly affect Wales, the Counsel General to the Welsh Assembly Government,
- b. in relation to proceedings in Scotland, the Advocate General for Scotland and the Lord Advocate, and
- c. in relation to proceedings in Northern Ireland, the Advocate General for Northern Ireland and ¹¹ the Attorney General for Northern Ireland.

10.1.5 Rule 41 of the Supreme Court Rules provides in general for appeals or references under the Court’s devolution jurisdiction (as defined by section 40 of, and Schedule 9 to, the Constitutional Reform Act 2005) to be dealt with in accordance with the Rules, but the Court will give special directions as and when necessary and in particular as to –

- a. any **question** referred to the Supreme Court¹² for decision under sections 32A or¹³ 33 of the Scotland Act 1998, section 11 of the Northern Ireland Act 1998 or section 99 or 112 of the Government of Wales Act 2006;
- b. any reference of a **devolution issue** or a **compatibility issue**¹⁴;
- c. any **direct reference** under paragraph 33 or 34 of Schedule 6 to the Scotland Act 1998, paragraph 33 or 34 of Schedule 10 to the Northern Ireland Act 1998 or paragraph 29 or 30 of Schedule 9 to the Government of Wales Act 2006.

As to **(a)** above, sections 32A and¹⁵ 33 of the Scotland Act 1998 provides for the scrutiny of Bills of the Scottish Parliament by the Supreme Court. Section 11 of the Northern Ireland Act 1998 provides for the scrutiny of Bills of the Northern Ireland Assembly¹⁶ Section 112 of the Government of Wales Act 2006 provides for the scrutiny of Bills of the National Assembly for Wales¹⁷.

As to **(b)** above,

(i) a **devolution issue** is defined by Schedule 6 to the Scotland Act 1998, Schedule 10 to the Northern Ireland Act 1998 or Schedule 9 to the Government of Wales Act 2006: see paragraph 10.1.1 above. Under paragraphs 10, 11, 22 and 30 of Schedule 6 to the Scotland Act 1998, paragraphs 9, 19, 28 and 29 of Schedule 10 to the Northern Ireland Act 1998 or paragraphs 10, 18, 19 and 27 of Schedule 9 to the Government of Wales Act 2006, certain appellate courts may refer a devolution issue arising in proceedings before them to the Supreme Court;

(ii) a **compatibility issue** is defined by section 288ZA(2) of the Criminal Procedure (Scotland) Act 1995, inserted by section 34(3) of the Scotland Act 2012. Under section 288ZB (1) and (2) of the Criminal Procedure (Scotland) Act 1995 a court consisting of two or more judges of the High Court of Justiciary in Scotland may refer, or be required

¹¹ Was omitted April 2013

¹² Amended April 2013

¹³ Amended Oct 2016

¹⁴ Amended April 2013

¹⁵ Amended Oct 2016

¹⁶ Was omitted April 2013

¹⁷ Was omitted April 2013

to refer, a compatibility issue which has arisen in proceedings before it to the Supreme Court.¹⁸

As to (c) above, (i) a relevant officer may make a direct reference of a devolution issue to the Supreme Court under paragraph 33 or 34 of Schedule 6 to the Scotland Act 1998, paragraph 33 or 34 of Schedule 10 to the Northern Ireland Act 1998 or paragraph 29 or 30 of Schedule 9 to the Government of Wales Act 2006 whether or not the issue is the subject of litigation.

10.1.6 The forms set out in Annex 1 to Practice Direction 7 may be used for appeals and applications brought under the Court's devolution jurisdiction. In cases where a reference is made to the Court, the use of Form 1 is likely to be inappropriate and, in those circumstances, a document should be filed which contains the information set out in Annex 1 to this Practice Direction: see the Local Government Byelaws (Wales) Bill 2012 – Reference by the Attorney General for England and Wales¹⁹.

10.1.7 In cases where the Court is asked to consider the provisions of Bills passed by devolved legislatures, it will usually be desirable for special directions to be given, particularly if there is some urgency. It is helpful if at an early stage the relevant officer making the reference notifies any relevant officer and any other person or body who has a potential interest in the proceedings, of the making of the reference and of any request for directions. All parties to the proceedings are expected to co-operate with one another in order that the Court can ensure that the proceedings are conducted efficiently and expeditiously.²⁰

References of a question by a relevant officer

10.2.1 A reference of a question by a relevant officer is made by –

- a. filing the reference, and
- b. serving a copy on any other relevant officer who is not already a party and who has a potential interest in the proceedings, within any time limits specified by the relevant statute.

10.2.2 The reference should state –

- a. the question to be determined with respect to the proposed Order in Council or Bill to which the reference relates;
- b. whether it applies to the whole Order in Council, Bill or to a provision of it, and the reference shall have annexed to it a copy of the Order in Council or Bill to which it relates.

10.2.3 Any relevant officer (other than the one making the reference) who wishes to participate in the proceedings shall within 7 days of service of the reference on him give notice to the Registrar by filing an acknowledgment in Form 3 and serve that notice on²¹

¹⁸ Amended April 2013

¹⁹ Reported as *Attorney General v National Assembly for Wales* [2012] 3 WLR 1294

²⁰ Amended March 2016

²¹ Amended April 2013

the other parties. Any relevant officer who gives notice automatically becomes a respondent to the proceedings.

10.2.4 The relevant officer making the reference shall, within 14 days of filing the reference, file a case with respect to the question referred. The referring relevant officer's case should include a copy of any statement made in relation to the Order in Council or Bill in accordance with the relevant statute and any relevant extracts from the Official Report of proceedings in the Parliament or Assembly.

10.2.5 Any other relevant officer who is participating in the proceedings shall file a case with respect to the question referred within 14 days of the notice given under paragraph 10.2.3.

10.2.6 The relevant officer making the reference shall, within 7 days of filing the reference,²² also notify the relevant Assembly or Parliament which passed the Bill or approved the draft of the Order in Council, as the case may be, of the making of the reference and, in the case of a Bill passed by the Northern Ireland Assembly, the relevant officer shall also notify the Office of the First Minister and Deputy First Minister²³.

10.2.7 If the Supreme Court decides that an Act or a provision of an Act is not within the competence of the relevant Assembly or Parliament that a member of the relevant executive authority did not have power to make, confirm or approve a provision of subordinate legislation or that any other purported exercise of a function by a member of the Scottish Executive was outside devolved competence, it may make an order removing or limiting any retrospective effect of that decision or suspending its effect for a period to allow the defect to be corrected. Where that decision relates to a compatibility issue, however, the power to make such an order is exercisable by the High Court of Justiciary instead of the Supreme Court: Scotland Act 1998, section 102, as amended by Scotland Act 2012, section 36(3).²⁴

Appeals to the Supreme Court

a. Permission to appeal

10.3.1 Part 2 of the Supreme Court Rules applies to applications for permission to appeal. Permission to appeal to the Supreme Court may be sought only if permission to appeal has been applied for and refused by the court below. Where permission is sought for the purpose of determining a compatibility issue, the application must be made within 28 days of the date on which the High Court of Justiciary refused permission or within such longer period as the Supreme Court considers equitable having regard to all the circumstances: Section 288AA(8) of the Criminal Procedure (Scotland) Act 1995²⁵. The provisions of this section apply, with necessary modifications, to applications for permission to cross-appeal as they apply to applications for permission to appeal. For the procedure in cases where permission to appeal is not required, see paragraph 10.3.3.

10.3.2 An application for permission to appeal shall –

- a. briefly set out the facts and points of law involved in the appeal;

²² Amended April 2013

²³ Amended April 2013

²⁴ Amended April 2013

²⁵ Amended April 2013

- b. conclude with a summary of the reasons why permission to appeal should be granted; and
- c. not normally be accompanied by supporting documents except
 - i. the order or interlocutor appealed from;
 - ii. the judgment appealed from; and
 - iii. if separate, the order or interlocutor of the court below refusing permission to appeal to the Supreme Court.

b. Appeals

10.3.3 Rules 18 and 19 and the following paragraphs apply to a person who has obtained permission to appeal from the Supreme Court and in cases where permission to appeal is not required, for example, where a person desires to appeal to the Supreme Court under paragraph 12 of Schedule 6 to the Scotland Act 1998²⁶ against a determination of a devolution issue by the Inner House of the Court of Session on a reference under paragraph 7 or 8 of that Schedule.

10.3.4 A person who desires to appeal to the Supreme Court shall file Form 1 within 42 days of the date on which the order or interlocutor appealed from was made or permission to appeal was granted, as the case may be.

10.3.5 A notice of appeal must be made in Form 1 and signed by the appellants or their counsel or solicitor.

10.3.6 The appellant must also serve a copy of his Form 1 on any relevant officer to whom it has not already been intimated or²⁷who is not already a party and who has a potential interest in the proceedings. Any relevant officer who is so served may intervene in the proceedings on the appeal in the Supreme Court if within 14 days of service he notifies the Registrar by filing an acknowledgement in Form 3 and serving that notice on²⁸ all other parties. Any relevant officer who gives notice automatically becomes a respondent to the proceedings.

References by Courts

10.4.1 A reference by a court is made by the appropriate officer of the court –

- a. filing the reference,
- b. serving a copy of the reference on the parties, and
- c. serving a copy of the reference on any relevant officer who is not already a party and who has a potential interest in the proceedings.

10.4.2 The reference shall set out -

- a. the question referred;
- b. the addresses of the parties;
- c. the name and address of any person who applied for or required the reference to be made;
- d. a concise statement of the background to the matter including -

²⁶ Amended April 2013

²⁷ Amended April 2013

²⁸ Amended April 2013

the facts of the case, including any relevant findings of fact by the referring court or lower courts; and

the main issues in the case and the contentions of the parties with regard to them;

- e. the relevant law, including the relevant provisions of the relevant statute;
- f. the reasons why an answer to the question is considered necessary for the purpose of disposing of the proceedings.

10.4.3 All judgments and orders already given in the proceedings, including copies of any interlocutors and any notes attaching to such interlocutors, shall be annexed to the reference.

10.4.4 Any party to the proceedings in the court making the reference who intends to participate in the proceedings in the Supreme Court shall within 14 days of service of the copy reference on him notify the Registrar by filing Form 3 and serving that form on²⁹ the other parties. Any relevant officer who is already a party to the proceedings automatically becomes a respondent to the proceedings.

10.4.5 Any party who does not intend to participate shall give notice in writing to the Registrar and the other parties accordingly.

10.4.6 Where notice has to be given under this section of this Practice Direction, it shall also be given to any relevant officer who is not already a party and who has a potential interest in the proceedings.

10.4.7 Any relevant officer who is not already a party to the proceedings may intervene in the proceedings on the reference by filing Form 3 and serving that form on³⁰ other relevant officers with a potential interest and the court making the reference.

10.4.8 Unless the Supreme Court directs otherwise, once a final judgment has been given on a reference by a court the proceedings shall stand remitted to the court from which the reference came without further order, subject to the disposal of any outstanding issues as to the costs of the reference.

Direct reference by a relevant officer

10.5.1 In a case where the devolution issue arises in proceedings before a court or tribunal to which the relevant officer is a party, a direct reference by the relevant officer is made by –

- a. filing the reference,
- b. serving a copy of the reference on the parties to those proceedings, and
- c. serving a copy of the reference on all other relevant officers who are not already a party to those proceedings and who have a potential interest.

²⁹ Amended April 2013

³⁰ Amended April 2013

10.5.2 The reference shall set out –

- a. the question referred;
- b. the addresses of the parties;
- c. the name and address of any other person who applied for or required the reference to be made;
- d. a concise statement of the background to the matter including -

the facts of the case, including any relevant findings of fact by the court or tribunal;
and

the main issues in the case and the contentions of the parties with regard to them;
- e. the relevant law, including the relevant provisions of the relevant statute;
- f. the reasons why an answer to the question is considered necessary for the purpose of disposing of the proceedings.

10.5.3 All judgments and orders already given in the proceedings, including copies of any interlocutors and any notes attaching to such interlocutors, shall be annexed to the reference.

10.5.4 Any party to the proceedings in the court or tribunal who intends to participate in the proceedings in the Supreme Court shall within 14 days of service of the copy reference on him notify the Registrar by filing Form 3 and serving that form on³¹ the other parties. Any relevant officer who gives notice automatically becomes a respondent to the proceedings.

10.5.5 In a case where the devolution issue is not the subject of proceedings before a court or tribunal, a direct reference by the relevant officer is made by –

- a. filing the reference, and
- b. serving a copy of the reference on any other relevant officer who has a potential interest.

10.5.6 Any relevant officer served with a copy of the reference may intervene in the proceedings on the reference by filing Form 3 and serving that form on³² the relevant officer making the reference.

10.5.7 Where notice has to be given to any person under the Scotland Act 1998, the Northern Ireland Act 1998 or the Government of Wales Act 2006, as the case may be, the reference shall state the name and address of that person and when he was notified.

10.5.8 A person who has to be notified under paragraph 35 of Schedule 6 to the Scotland Act 1998, paragraph 35 of Schedule 10 to the Northern Ireland Act 1998 or paragraph 30 of Schedule 9 to the Government of Wales Act 2006, as the case may be, but who does not intend to participate in the proceedings in the Supreme Court shall give notice in writing within 14 days to the Registrar and the other parties to the proceedings.

³¹ Amended April 2013

³² Amended April 2013

Annex 1 PD 10³³

References to the Supreme Court

1. Where a reference is made to the Supreme Court, the provisions of the Supreme Court Rules 2009 and the Practice Directions which supplement the Rules, are to be applied with such variations or modifications as may be required by the particular circumstances of the reference.
2. The reference must contain the matters required to be set out by Practice Direction³⁴ 10 and be produced on A4 paper, securely bound on the left using both sides of the paper. A reference must be served in accordance with the relevant statute and the provisions of this Practice Direction before it is filed. Notice of the filing of a reference should be given to those persons and bodies required to be notified by the terms of the relevant statute or of this Practice Direction. Ten copies of the reference should be filed.
3. The person at whose request the reference is made (“the applicant”) must
 - (a) provide the Registrar with the name and address of any person or body who was served with the reference (*“the respondent”*) and the dates when service was effected;
 - (b) supply the Registrar with the names, addresses and contact details of the applicant’s legal representatives and (if known) of the respondent’s legal representatives;
 - (c) inform the Registrar of any person or body who has been notified of the making of the reference, providing the names, addresses and contact details of that person or body and their legal representatives.
4. A respondent who wishes to take part in the reference must notify the Registrar and provide the names, addresses and contact details of his legal representatives.
5. The information required by paragraphs 3 and 4 is to be supplied in addition to the information and details which are required to be supplied by the terms of Practice Direction 10.
6. Appendix and cases
 - (a) At least 4 weeks before the hearing (or within such period as may be specified by the Registrar), the applicant must file 12 copies of an appendix of the essential documents which are necessary for consideration of the reference.
 - (b) The Appendix must be submitted to, and agreed with, every Respondent before being filed.
 - (c) The Applicant and every Respondent must file 12 copies of their written cases at least 2 weeks before the hearing.

³³ Amended April 2013

³⁴ Amended April 2013

The Supreme Court of the United Kingdom

Practice Direction 11

The Court of Justice of the European Union

11.1.1 Article 267 (ex 234) of the Treaty on the Functioning of the European Union provides:

The Court of Justice of the European Union shall have jurisdiction to give preliminary rulings concerning:

- a. the interpretation of the Treaties;
- b. the validity and interpretation of acts of the institutions, bodies, offices or agencies of the Union;

Where such a question is raised before any court or tribunal of a Member State, that court or tribunal may, if it considers that a decision on the question is necessary to enable it to give judgment, request the Court to give a ruling thereon.

Where any such question is raised in a case pending before a court or tribunal of a Member State against whose decisions there is no judicial remedy under national law, that court or tribunal shall bring the matter before the Court.

If such a question is raised in a case pending before a court or tribunal of a Member State with regard to a person in custody, the Court of Justice of the European Union shall act with the minimum of delay.

11.1.2 When the Court refuses permission to appeal in a case where the application includes a contention that such a question is involved, the UKSC gives additional reasons for its decision not to grant permission to appeal. These reflect the reasoning of the CJEU in *CILFIT v Ministry of Health* (Case C283/81). The CJEU there made clear that no reference need be made to it in relation to any such question of interpretation or validity as referred to Article 267:

- a. where the question raised is irrelevant;
- b. where the European Union law provision in question has already been interpreted by the CJEU;
- c. where the question raised is materially identical with a question which has already been the subject of a preliminary ruling in a similar case; or
- d. where the correct application of European Union law is so obvious as to leave no scope for any reasonable doubt as to the manner in which the question of interpretation or validity is to be resolved.

11.1.3 The Court may order a reference to the CJEU before determining whether to grant permission to appeal. In such circumstances proceedings on the application for permission to appeal are stayed until the answer is received.

11.1.4 When the Court intends to make a reference, it will give consequential directions as to the form of the reference and the staying of the appeal (see rule 42(3)) and the parties are invited to submit an agreed draft of the question(s) to be referred. A further statement of facts and issues, for the use of the European Court of Justice, may also be appropriate. The Court then makes the reference, with or without judgments. At this stage the appeal may also be disposed of in part.

11.1.5 The reference must contain the matters specified in the European Court's rules of procedure¹ and comply with any guidance given by the European Court. Parties should be aware that the Court of Justice will not translate documents which are longer than 20 pages; only summaries are made.

Further proceedings in the Supreme Court

11.1.6 Within 28 days of the judgment of the European Court of Justice, the parties must file written submissions on whether a further hearing before the Supreme Court is necessary or on how the appeal is to be disposed of. If a further hearing is required before the Supreme Court, the parties may file supplemental cases.

11.1.7 If supplemental cases are filed, then:

- a. no later than 5 weeks before the expected date of the further hearing, the appellants must file the original and 7 copies of their supplemental case and also serve it on the respondents;
- b. no later than 3 weeks before the expected date of the further hearing, the respondents must file the original and 7 copies of their supplemental case and also serve it on the appellants;
- c. no later than 3 weeks before the expected date of the further hearing, any other party filing a case (e.g. an intervener or advocate to the court) must file the original and 7 copies of their supplemental case, and also provide copies to the appellants and respondents.

11.1.8 As soon as all the supplemental cases have been exchanged, and no later than 2 weeks before the date of the expected hearing, the appellants must file 10 additional sets of core volumes containing:

¹ See <http://curia.europa.eu>

- a. appellants' and respondents' cases;
- b. cases of interveners etc, if any;
- c. judgment of the European Court of Justice;
- d. any additional authorities relied on that are not included in the original green authorities' volumes.

11.1.9 The Registry supplies the Court with the original core volumes, appendices and authorities volumes.

Costs

11.1.10 The Court of Justice does not make orders for costs. The costs of the reference are included in the order of the Supreme Court disposing of the appeal; and, if necessary, are assessed by the Costs Officers of the Court.

The Supreme Court of the United Kingdom

Practice Direction 12

Criminal Proceedings

Section 1 General Note and the Jurisdiction of the Supreme Court in Criminal Proceedings

Introduction

12.1.1 The procedure of the Supreme Court is regulated by statute, by the Supreme Court Rules and by the practice directions which supplement the Rules. Copies of these and other documents may be downloaded from www.supremecourt.gov.uk.

12.1.2 Practice Directions 1-11 and 13 governing civil proceedings apply to criminal proceedings in the Supreme Court subject to any modifications or additional provisions made by this Practice Direction.

Right of appeal

12.1.3 The right of appeal to the Supreme Court is regulated by statute and subject to statutory restrictions. The principal statutes for criminal appeals (as amended in most cases by section 40 of, and Schedule 9 to, the Act) are:

the Administration of Justice Act 1960;
the Criminal Appeal Act 1968;
the Courts-Martial (Appeals) Act 1968;
the Administration of Justice Act 1969;
the Judicature (Northern Ireland) Act 1978;
the Criminal Appeal (Northern Ireland) Act 1980;
the Proceeds of Crime Act 2002;
the Extradition Act 2003;
the Criminal Justice Act 2003;
the Serious Organised Crime and Police Act 2005.

Every applicant for permission to appeal must comply with the statutory requirements before the application can be considered by the Court. The Human Rights Act 1998 applies to the Court in its judicial capacity. But that Act does not confer any general right of appeal to the Court, or any right of appeal in addition to or superseding any right of appeal provided for in Acts passed before the coming into force of the Human Rights Act 1998.

England and Wales and Northern Ireland

12.1.4 An appeal to the Supreme Court may only be brought with the permission of the court below or, if refused by that court, with the permission of the Supreme Court. Subject to paragraphs 12.2.2 – 12.2.4, in criminal matters such permission may not be granted unless the court below has issued the certificate referred to in paragraph 12.2.1.

12.1.5 Subject to paragraphs 12.1.4 and 12.2.1-12.2.6, an application for permission to appeal to the Supreme Court in a criminal matter may be made by either the defendant or the prosecutor, as follows:

- a. from any decision of the Court of Appeal Criminal Division in England and Wales on an appeal to that court¹;
- b. from any decision of the Courts-Martial Appeal Court on an appeal to that court²;
- c. from any decision of the Court of Appeal in Northern Ireland on an appeal to that court by a person convicted on indictment³;
- d. from any decision of the Court of Appeal in Northern Ireland in a criminal cause or matter on a case stated by a county court or magistrates' court⁴;
- e. from any decision of the High Court of Justice in England and Wales in a criminal cause or matter⁵;
- f. from any decision of the High Court of Justice in Northern Ireland in a criminal cause or matter⁶.

Scotland

12.1.6 No appeal lies to the Supreme Court from criminal proceedings in the High Court of Justiciary in Scotland.

Criminal contempt of court cases

12.1.7 In cases involving criminal contempt of court, an appeal lies to the Supreme Court at the instance of the defendant only and, in respect of an application for committal or attachment, at the instance of the applicant from any decision of the Court of Appeal Criminal Division, the Courts-Martial Appeal Court or the High Court⁷.

Section 2 Applications for Permission

2. Certificate of point of law

12.2.1 Subject to paragraphs 12.2.2 – 12.2.4, permission to appeal to the Supreme Court in a criminal matter may only be granted if it is certified by the court below that a point of law of general public importance is involved in the decision of that court, and it appears to that court or to the Supreme Court that the point is one that ought to be considered by the Supreme Court⁸. An application for permission to appeal without the required certificate may not be filed (paragraph 12.4.3), except as provided by paragraphs 12.2.2 – 12.2.4.

¹ Criminal Appeal Act 1968 s33(1) (as amended); Criminal Justice Act 2003, Part 9.

² Courts-Martial (Appeals) Act 1968 s39(1).

³ Judicature (Northern Ireland) Act 1978 s40(1)(b); Criminal Appeal (Northern Ireland) Act 1980 s31(1) (as amended).

⁴ Judicature (Northern Ireland) Act 1978 s41(1)(b).

⁵ Administration of Justice Act 1960 s1(1)(a) (as amended); Extradition Act 2003 ss 32, 114.

⁶ Judicature (Northern Ireland) Act 1978 s41(1)(a); Extradition Act 2003 ss 32, 114.

⁷ Administration of Justice Act 1960 s13; Judicature (Northern Ireland) Act 1978 s44. For appeals in cases involving civil contempt of court see Practice Direction 1 paragraph 2.1.8.

⁸ Criminal Appeal Act 1968 s 33(2); Administration of Justice Act 1960 s 1(2); Courts-Martial (Appeals) Act 1968 s39(2); Judicature (Northern Ireland) Act 1978 s41(2); Criminal Appeal (Northern Ireland) Act 1980 s31(2); Extradition Act 2003 ss 32, 114; Proceeds of Crime Act (Appeals under Part 4) Order 2003, SI 2003/458.

12.2.2 A certificate is not required for an appeal from a decision of the High Court in England and Wales or of the High Court in Northern Ireland on a criminal application for habeas corpus¹.

12.2.3 A certificate is not required for an appeal by a minister of the Crown or a person nominated by him, a member of the Scottish Executive, a Northern Ireland minister or a Northern Ireland department when they have been joined as a party to any criminal proceedings, other than in Scotland, by a notice given under the Human Rights Act 1998 ss. 5(1) and 5(2) and they wish to appeal under section 5(4) of that Act against any declaration of incompatibility made in those proceedings.

12.2.4 A certificate is not required in contempt of court cases where the decision of the court below was not a decision on appeal².

12.2.5 In cases where the court below has not certified a point of law of general public importance, the Supreme Court has no jurisdiction (see *Gelberg v Miller* [1961] 1 WLR 459, *Jones v DPP* [1962] AC 635).

Judicial Review: Criminal Matters

12.2.6 There is no appeal to the Court of Appeal from a refusal by a Divisional Court to grant permission to apply for judicial review in a criminal case³; and the Supreme Court has no jurisdiction to hear an appeal against a refusal by a Divisional Court of permission to apply for judicial review in a criminal case⁴. So, if a Divisional Court refuses permission to apply to it for judicial review in a criminal matter, there is no further remedy in the domestic courts. The only circumstances in which an application may be made to the Supreme Court for permission to appeal from a Divisional Court in a criminal judicial matter are when the Divisional Court certifies that a point of law of general public importance arises from its decision.

3. Time Limits

Time within which to apply for permission to appeal

12.3.1 An application for permission to appeal to the Supreme Court in a criminal matter must first be made to the court below. If the court below refuses permission to appeal, application may then be made to the Supreme Court.

12.3.2 An application to the Supreme Court for permission to appeal is made in accordance with rule 10 and Practice Direction 3. An application for permission to appeal to the Supreme Court

- a. from a decision of the Court of Appeal under s 33(1) of the Criminal Appeal Act 1968 or
- b. from a decision of a Divisional Court of the Queen's Bench Division in a criminal cause or matter under s 1(1)(a) of the Administration of Justice Act 1960

¹ Administration of Justice Act 1960 s15(3) (as amended); Judicature (Northern Ireland) Act 1978 s45(3).

² Administration of Justice Act 1960 s13(4); Judicature (Northern Ireland) Act 1978 s44(4).

³ Supreme Court Act 1981 s18(1)(a).

⁴ Administration of Justice Act 1960 s1(1) & (2) and the decisions of the House of Lords in *Re Pob Eastaway and Burkett*.

must be made within 28 days beginning with the date on which the application for permission was refused by the court below (and not the following day)¹. This date is not necessarily that on which the point of law was certified. Where the time prescribed expires on a Saturday, Sunday, bank holiday or other day on which the Registry is closed, the application is accepted as being in time if it is received on the next day on which the Registry is open.

12.3.3 An application for permission to appeal must be made within 14 days if made under one of the following provisions: ss 32(5), 114(5) of the Extradition Act 2003; ss 33, 44 and 66 of the Proceeds of Crime Act 2002²; and, ss 183, 193 and 214 of the Proceeds of Crime Act 2002³. A 14 day time limit also applies to an application to refer a case pursuant to the Attorney General's Reference procedure under s 36(5) of the Criminal Justice Act 1988⁴.

Application for extension of time to file application for permission

12.3.4 Subject to paragraph 12.3.5, the Supreme Court or the court below may, on application made at any time by the defendant and in certain limited circumstances the prosecutor⁵, extend the time within which application for permission to appeal to the Supreme Court may be made to the Supreme Court or to that court⁶. Such an application to the Supreme Court is incorporated in the application for permission itself, and should set out briefly the reason(s) why the application is being presented outside the statutory period.

12.3.5 No extension may be granted in respect of applications made under ss 32 and 114 of the Extradition Act 2003.

Public funding and legal aid

12.3.6 Paragraph 8.12 of Practice Direction 8 applies to appeals in criminal proceedings. In criminal proceedings, depending on the route of appeal, application should be made to the court appealed from or, in Northern Ireland, to the Legal Aid Committee.

12.3.7 A copy of the order appealed from must be submitted by the appellant with the notification of the application for funding. The period within which the application for permission to appeal or notice of appeal (as the case may be) must be filed is then extended to 28 days after the final determination of the application for funding, including any appeals. An extension may not be granted to an appellant under the Extradition Act 2003⁷.

12.3.8 A representation order will usually provide for junior counsel and solicitors at the permission stage with the addition of leading counsel if permission is granted.

¹ Criminal Appeal Act 1968 s34(1) (as amended); Administration of Justice Act 1960 s2(1) (as amended).

² Proceeds of Crime Act 2002 (appeals under Part 2) Order 2003 (SI 2003 No 82), Part 3, Article 12.

³ Proceeds of Crime Act 2002 (appeals under Part 4) Order 2003 (SI 2003 No 483), Part 3, Article 12.

⁴ Criminal Justice Act 1988 Sch 3, para 4.

⁵ Criminal Appeal Act 1968, ss 33(1B), 34(2).

⁶ Criminal Appeal Act 1968 s 34(2); Administration of Justice Act 1960 s 2(3); Courts-Martial (Appeals) Act 1968 s 40(2); Criminal Appeal (Northern Ireland) Act 1980 s 32(2); Judicature (Northern Ireland) Act 1978 Schedule 1, paragraph 1(2). Section 1A of the Geneva Convention Act 1957 makes, in relation to protected prisoners, certain extensions to the time limits in the Administration of Justice Act 1960, the Criminal Appeal Act 1968, the Courts-Martial (Appeals) Act 1968 and the Criminal Appeal (Northern Ireland) Act 1980.

⁷ Extradition Act 2003 ss 32, 114.

4. Application for Permission to Appeal

Form of Application

12.4.1 The provisions of Practice Direction 3 govern the form of applications for permission to appeal.

Case title

12.4.2 In applications where a prosecuting authority is the appellant, the prosecuting authority should be described as follows: “Director of Public Prosecutions (*or other prosecuting authority*) (on behalf of Her Majesty)”.

12.4.3 Subject to paragraphs 12.2.2 – 12.2.4, the Registry cannot issue any application for permission to appeal that is not accompanied by the certificate from the court below required by statute, certifying a point of law of general public importance (see paragraph 12.2.1 above).

Service

12.4.4 In habeas corpus appeals and/or in appeals concerning extradition, the application must be served on the government that is seeking extradition or on the Director of Public Prosecutions if he is acting for that government.

Interpretation and translations in proceedings in the Supreme Court¹

12.4.5 Directive 2010/64/EU on the right to interpretation and translation in criminal proceedings applies to proceedings in the Supreme Court. The solicitors to any applicant or respondent who is a suspected, accused or convicted person in the context of the proceedings shall notify the Registry upon, or as soon as they have notice of, the filing of an application for permission to appeal, if it will be necessary to provide translations or interpretation at any stage during the proceedings in compliance with the Directive.²

5. Costs

12.5.1 Where an application for permission to appeal is determined without an oral hearing, costs may be awarded as follows:

- a. to a publicly funded or legally aided appellant, reasonable costs incurred in preparing papers for the Appeal Panel;
- b. to a publicly funded or legally aided respondent, only those costs necessarily incurred in attending the client, attending the appellant’s solicitors, considering the application, filing notice of objection and, where applicable, preparing respondent’s objections to the application;
- c. to an unassisted respondent where the appellant is publicly funded or legally aided, payment in accordance with the relevant statutory provisions^{3 4} of costs as specified at (b) above;

¹ Amended Aug 2013

² Amended Aug 2013

³ September 2015.

⁴ Or s 18 Legal Aid Act 1988; or, in Scotland, pursuant to s 19 Legal Aid (Scotland) Act 1986, or in Northern Ireland, pursuant to Article 16 Legal Aid Advice and Assistance (N.I.) Order 1981.

- d. to an appellant or respondent, payment out of central funds, pursuant to s 16 or s 17 of the Prosecution of Offences Act 1985, of costs incurred at (a) or (b) above, as the case may be;
- e. to a respondent where neither party is publicly funded or legally aided, costs as specified at (b) above to be paid by the appellant.

Where costs are sought under (c), (d) or (e) above, application may be made by letter addressed to the Registrar or may be included in a bill of costs filed in the Registry conditional upon the application being granted.

12.5.2 Where an application for permission to appeal is referred for an oral hearing and is dismissed, application for costs must be made by the respondent at the end of the hearing. No order for costs will be made unless requested at that time.

12.5.3 Where permission to appeal is granted, the costs of the permission application become costs in the appeal.

12.5.4 Bills of costs for assessment must be filed within three months from the date of the decision of the Appeal Panel or the date on which an application for permission is withdrawn. If an extension of the three months period is desired, application must be made in writing to the Registrar and copies of all such correspondence sent to all interested parties. In deciding whether to grant an application for an extension of time made after the expiry of the three month period the Registrar takes into account the circumstances set out in paragraph 6.2 of Practice Direction 13.

6. Fees

12.6.1 No fee is payable at any stage of an application for permission to appeal in a criminal matter. Fees are payable on the assessment of a bill of costs.

Section 3 Appeals

7. Time Limits

12.7.1 Apart from appeals under the Extradition Act 2003, a notice of appeal must be filed in accordance with rule 19.

12.7.2 Appeals under the Extradition Act 2003 must be filed within 28 days of the grant of permission, starting with the day on which permission is granted. The time for doing so may not be extended¹.

8. Security for Costs

12.8.1 No security for costs is required in criminal appeals.

9. Statement of Facts and Issues

12.9.1 The provisions of Practice Direction 5 apply to appeals in criminal proceedings.

¹ Extradition Act 2003 ss 32, 114.

12.9.2 In any appeal under the Criminal Appeal Act 1968, the statement of facts and issues must state clearly whether any grounds of appeal have been left undetermined by the Court of Appeal (see also paragraph 12.11.2).

10. Filing of Statement and Appendix

Respondents' consent

12.10.1 The provisions of Practice Direction 5 apply to appeals in criminal proceedings but it is not the practice in criminal appeals to require the consent of the respondents to applications for extension of time.

11. Appellants' and Respondents' Cases

12.11.1 The provisions of Practice Direction 6 apply to appeals in criminal proceedings.

12.11.2 In any appeal under the Criminal Appeal Act 1968 in which grounds of appeal have been left undetermined by the Court of Appeal (see paragraph 12.9.2), each party should include in their case submissions on the merits of those grounds and on how they would seek to have them disposed of by the Court.

12. Core Volumes

Form of Core Volumes

12.12.1 The provisions of Practice Direction 6 apply to appeals in criminal proceedings.

12.12.2 It is not necessary for the appellants' solicitors to produce additional volumes for the use of victims attending the hearing. The Registry provides the necessary documents from among the number produced for the use of the Court.

13. Bail

12.13.1 The Supreme Court does not grant bail. Applications for bail should be made to the court below. Where bail is granted to a party to an appeal to the Court, the Registrar should be notified.

12.13.2 The attendance of a party to an appeal who is in custody is not normally required or permitted. Where the attendance of a party in custody is required, his solicitors will be informed by the Registrar in writing.

12.13.3 It should be noted that where a party was on bail pending the hearing of the appeal, surrender is usually required on the first day of the hearing.

14. Exhibits

12.14.1 Parties who require exhibits to be available for inspection at the hearing must apply to the Registrar for permission for the exhibits to be brought to the Court before the hearing.

15. The Code of Practice for Victims of Crime

12.15.1 The Victims' Code of Practice governs the services to be provided in England and Wales to victims of criminal conduct that has occurred in England and Wales. The Code is issued by the Secretary of State for Justice under s32 of the Domestic Violence, Crime and Victims Act 2004. The Court applies the Code.

12.15.2 Accordingly, all applications for permission to appeal and all appeals are examined to establish whether a victim can be identified and, if so, to determine what services are required to be provided to the victim.

12.15.3 In giving effect to paragraph 12.15.2 the Registrar may consult the Treasury Solicitor, the Court of Appeal Criminal Division and other relevant persons to obtain any necessary information.

12.15.4 The Registry may either directly or through the joint police/CPS Witness Care Units contact victims to inform them that an application for permission to appeal or an appeal has been filed, to explain the appeals procedure, and to report progress on the application and/or appeal, including the date set for the hearing.

12.15.5 Victims may attend the hearing of an appeal or application for permission to appeal or the handing down of judgment. The Registry arranges such attendance and provides the case papers.

12.15.6 If permission to appeal is granted by an Appeal Panel, the Registrar notifies the joint police/CPS Witness Care Units no later than one working day after the day on which permission to appeal has been granted.

12.15.7 The Registry notifies the joint police/CPS Witness Care Units of the result of the appeal no later than one working day after the day of the result.

12.15.8 The Scottish Strategy for Victims and the Code of Practice for Victims of Crime in Northern Ireland do not cover proceedings in the Supreme Court. In practice the Registry will, with the assistance of the relevant authorities in Scotland and Northern Ireland, seek to provide appropriate services for victims in Scotland and Northern Ireland.¹

Interpretation and translations in proceedings in the Supreme Court²

12.16.1 Directive 2010/64/EU on the right to interpretation and translation in criminal proceedings applies to proceedings in the Supreme Court. The solicitors to any applicant or respondent who is a suspected, accused or convicted person in the context of the proceedings shall notify the Registry upon, or as soon as they have notice of, the filing of a notice of appeal, if it will be necessary to provide translations or interpretation at any stage during the proceedings in compliance with the Directive.³

¹ Amended Nov 2013

² Updated Aug 2013

³ Updated Aug 2013

The Supreme Court of the United Kingdom

Practice Direction 13

Costs

Note: enquiries about costs should be made to the Costs Clerk (tel: 020-7960 1990).
Enquiries about fees should be made to the Registry (tel: 020-7960 1991, 1992).

Drafts and cheques for fees, including assessment fees, should be made payable to ‘**The Supreme Court of the United Kingdom**’.

Contents

Section 1

1. Introduction
2. Entitlement to costs
3. Basis of assessment
4. Costs orders against legally aided parties
5. Pro bono costs orders under section 194(3) of the Legal Services Act 2007
6. Costs of preparing applications for permission to appeal or notices of objection
7. Filing and service of bill of costs
8. Extension of time and filing out of time
9. Provisional assessment
10. Attendance at detailed assessment
11. Costs Officers’ discretion
12. Review of decision of the Costs Officers
13. Assessment Certificates
14. Interest
15. Guidelines on fees allowed
16. Conditional Fee Agreements
17. Costs of litigants in person
18. Costs of assessment

Section 2 – Form 5 (Bill of Costs)

Section 3 – Guideline hourly rates for solicitors

Section 1

1. Introduction

1.1 Detailed assessments of costs in the Supreme Court are conducted by Costs Officers appointed by the President: see rule 49. One Costs Officer will be the Senior Costs Judge (the Chief Taxing Master of the Senior Courts) or any Costs Judge nominated by him and the second may be the Registrar of the Supreme Court.

1.2 The Costs Clerk is a court officer in the Registry who acts under the direction of the Costs Officers.

1.3 The assessment of costs is governed by the relevant provisions of the Supreme Court Rules 2009 supplemented by this and the other Practice Directions issued by the President. To the extent that the Supreme Court Rules and Practice Directions do not cover the situation, the Rules and the Practice Directions which supplement Parts 44 to 47 of the Civil Procedure Rules (the “CPR”) are applied by analogy at the discretion of the Costs Officers, with appropriate modifications for appeals from Scotland and Northern Ireland. The legal principles applied are those also applicable to assessments between parties in the High Court and Court of Appeal in England and Wales¹.

1.4 Reference in this Practice Direction to

- “bill of costs” mean a claim for costs in Form 5 filed in accordance with Rule 48 of the Supreme Court Rules 2009;
- “the Costs Officer” include the plural;
- “costs” and “bills of costs” include expenses and accounts of expenses in appeals from Scotland;
- “legal aid provider” include the Legal Services Commission, the Legal Aid Agency and its Director, the Northern Ireland Legal Services Commission and the Scottish Legal Aid Board
- “legally aided” mean funded by a legal aid provider and include references to ‘publicly funded’ in terms of the Access to Justice Act 1999;
- “legal representative” mean a person authorised to conduct litigation;
- “the Access to Justice Act 1999” include references to the relevant provisions of the Legal Aid, Sentencing and Punishment of Offenders Act 2012;
- “pro bono costs order” mean an order made under section 194(3) of the Legal Services Act 2007;
- “solicitor²” include a costs draftsman or other agent.

¹ *Kuwait Airways Corporation v Iraqi Airways Company and others*: Appeal Committee, 102nd Report (2001-02), paragraph 16, HL Paper 155.

² Rule 3 of the Supreme Court Rules 2009 defines “solicitor” as including any person authorised to provide legal services other than as counsel in connection with proceedings before the Court.

2 Entitlement to Costs

2.1 Costs are in the discretion of the Court and it “may make such orders as it considers just in respect of the costs of any appeal, application for permission to appeal, or other application to or proceeding before the Court”: rule 46(1).

2.2 In the exercise of its discretion the Court may, on application, make

- a. a costs capping order
- b. a protective costs order or
- c. an order limiting the recoverable costs of an appeal in an Aarhus Convention claim or in proceedings in which costs recovery is limited or excluded at first instance.

In making such an order, the Court may apply the provisions of CPR 3.19, CPR 45.43 or, as the case may be, CPR52.19 or CPR52.19A.

2.3 An application for a costs capping order, a protective costs order or an order limiting the recoverable costs of an appeal must be made as soon as practicable. See Practice Direction 7 for applications.

2.4 A bill of costs in Form 5 (see Section 2 of this Practice Direction) may be filed in the Registry for assessment where:

- a. costs are payable by appellants, respondents or other persons under an order for costs made by an Appeal Panel or by the Court;
- b. an Appeal Panel or the Court orders a determination of the costs payable by a legal aid provider to appellants, respondents or other persons in accordance with the relevant statutory provisions (i.e. the Access to Justice Act 1999, the Legal Aid, Sentencing and Punishment of Offenders Act 2012, the Legal Aid (Scotland) Act 1986 or the Legal Aid, Advice and Assistance (Northern Ireland) Order 1981);
- c. costs are payable by a legal aid provider to solicitors, counsel or other legal representatives acting on behalf of a legally aided party.

3. Basis of assessment

3.1 Costs in the Supreme Court are ordered to be assessed on the standard basis or on the indemnity basis in accordance with rules 50 and 51 of the Supreme Court Rules or the equivalent bases that apply in Scotland and Northern Ireland. The court will not allow costs which have been unreasonably incurred or which are unreasonable in amount.

3.2 On the standard basis, the court will only allow costs which are proportionate to the matters in issue and will resolve any doubt as to whether costs were reasonably incurred or reasonable and proportionate in amount in favour of the paying party.

3.2 Costs incurred are proportionate if they bear a reasonable relationship to:

- a. the sums in issue in the proceedings;
- b. the value of any non-monetary relief in issue in the proceedings;

- a. the sums in issue in the proceedings;
- b. the value of any non-monetary relief in issue in the proceedings;
- c. the complexity of the litigation;
- d. any additional work generated by the conduct of the paying party; and
- e. any wider factors involved in the proceedings, such as reputation or public importance.

Costs which are disproportionate in amount may be disallowed or reduced even if they were reasonably incurred or even if they were necessarily incurred.

3.4 On the indemnity basis the court will resolve any doubt which it may have as to whether costs were reasonably incurred or were reasonable in amount in favour of the receiving party.

3.5 Detailed assessments are conducted in public.

3.6 See paragraph 11 for the Costs Officers' discretion as to what to allow.

4. Costs Orders against Legally Aided Parties

England and Wales

4.1 Any costs ordered to be paid by a legally aided party must not exceed the amount which is reasonable for them to pay having regard to all the circumstances including

- a. the financial resources of all the parties to the proceedings; and
- b. their conduct in connection with the dispute to which the proceedings relate.

4.2 Costs which were incurred by one party during a period when another party was legally aided, and which are not recoverable from the publicly funded party only because of section 11 of the Access to Justice Act 1999 or section 26 of the Legal Aid, Sentencing and Punishment of Offenders Act 2012, may, in certain circumstances, be payable by the legal aid provider itself.

4.3 Regulations made under section 11 of the Access to Justice Act 1999 and section 26 of the Legal Aid, Sentencing and Punishment of Offenders Act 2012 provide a code governing orders for costs against legally aided parties and against the Lord Chancellor or legal aid provider.

4.4 A party who seeks such costs against the Lord Chancellor or legal aid provider, or who may do so, depending upon the amount of costs payable by the legally aided party, must (within the time limit specified in the relevant Regulations) file with his bill of costs copies of any documents (including a statement of resources) and any notice served by him which he has served upon others in compliance with the Regulations.

4.5 Within 21 days of being served with a bill of costs to which section 11 of the Access to Justice Act 1999 or section 26 of the Legal Aid, Sentencing and Punishment of Offenders Act 2012 applies, a party who is or was legally aided during any period covered by the bill must respond by filing in the Registry a statement of resources and serving a copy of it on the receiving party and, where relevant, on the Lord Chancellor or the legal aid provider.

4.6 The Lord Chancellor or legal aid provider may appear at any hearing relating to an order made against them.

Scotland and Northern Ireland

4.7 Costs orders against legally aided parties or legal aid providers in Scotland and Northern Ireland and the assessment of those costs are governed by the relevant provisions of Legal Aid (Scotland) Act 1986, the Legal Aid, Advice and Assistance (Northern Ireland) Order 1981 and Regulations made under them. Paragraphs 4.1 – 4.6 (above) are to be construed with the appropriate modifications.

5 Pro Bono Costs Orders under Section 194 (3) of the Legal Services Act 2007

England and Wales

5.1 A pro bono costs order must specify that the costs payable under it are to be paid to the prescribed charity and the Registrar must send a copy of the costs order to the prescribed charity.

5.2 Where the court makes a pro bono costs order and the amount of costs payable is not agreed the provisions of this Practice Direction will apply to the assessment of those costs with the following modification:

- a. references to ‘costs orders’ and ‘orders for costs’ are to be read, unless otherwise stated, as if they refer to a pro bono costs order,
- b. references to ‘costs’ are to be read as if they referred to a sum equivalent to the costs that would have been claimed by, incurred by or awarded to, the party with pro bono representation had that representation not been provided free of charge; and
- c. References to ‘receiving party’ are to be read as meaning a party who has pro bono representation and who would have been entitled to be paid costs had that representation not been provided free of charge.

5.3 VAT is not recoverable under a pro bono costs order.

6. Costs of preparing applications for permission to appeal or notices of objection

General

6.1 Where a party applies for costs in accordance with paragraph 3.5.1 of Practice Direction 3 (that is, in circumstances where an application for permission to appeal is refused) the application is made by filing and serving Form 5.

- 6.2 As a general rule the application is not granted where:
- a. the application for permission was not served on the respondent making the application for costs; or
 - b. the respondent making the application did not file a notice of objection to the application for permission; or
 - c. the application is made by one of two or more parties and it cannot be demonstrated that the applicant had an interest in the application for permission to appeal that required separate representation.

- 6.3 Where an unsuccessful application for permission to appeal is determined without an oral hearing, costs may include:
- a. the reasonable costs of preparing and filing a legally aided appellant’s application for permission to appeal and attending the client, counsel or other parties;
 - b. the reasonable costs of preparing and filing respondent’s objections and attending the client, counsel or other parties.

6.4 If an application for permission to appeal is dismissed after an oral hearing, the costs of the hearing are allowable in addition to the costs at 6.3(a) and (b) above.

6.5 The costs of a successful application for permission to appeal become costs in the appeal unless the court orders otherwise.

Counsel’s fees

6.6 The general rule is that a fee for one junior counsel is allowed for preparing an application for permission to appeal or a notice of objection.

- 6.7 A fee will be allowed for Queen’s Counsel instead of or in addition to junior counsel
- a. if this is held to be necessary because of the difficulty or complexity of the case or other good reason; or
 - b. if a legal aid provider has given the appropriate authorisation.

6.8 For guideline figures for fees on applications for permission to appeal, see paragraph 15.

Filing and Service of Bill of Costs

Filing

7.1 A claim for costs in Form 5 must be filed within three months of the date on which the relevant costs order is made and must at the same time be served on the other parties.

- 7.2 The following documents only must be filed with the Costs Clerk:
- a. **two copies of the bill of costs** (Form 5);
 - b. counsel’s fee notes (which must be receipted except in the case of legal aid bills) and, where counsel’s fees exceed the guideline rates in paragraph 15, a detailed note explaining why; and
 - c. receipts or other evidence of disbursements of £500 or more.

7.3 The certificate of service must include the details of all parties entitled to be represented at the detailed assessment.

7.4 The certificates in part 3 of Form 5 must be completed where appropriate. The completed certificate of discharge is accepted as evidence of payment of disbursements under £500, but may, subject to any direction by the Cost Officer, be challenged by the paying party.

7.5 All papers may be filed by email with the Costs Clerk.

7.6 Other papers on which the parties intend to rely may be brought to the hearing or filed with the Costs Clerk as he thinks appropriate. Where a bill is complex or large any papers the Costs Officers need to pre-read must be filed at least 7 days before the hearing.

7.7 Where costs between the parties and legal aid costs are claimed together the legal aid costs should be entered separately in Form 5.

Points of dispute to bill of costs

7.8 Points of dispute under rule 48 may, and if the bill is above £5,000 must, be filed at the Registry and served on the receiving party within 21 days of service of the bill of costs. The receiving party may within 14 days from service of the points of dispute respond to the points if they think it appropriate to do so. Any request for an extension of time to file points of dispute or replies must be made to the Costs Clerk within the relevant time period or, after expiry of that limit, by application made in Form 2. (For applications see Practice Direction 7.)

7.9 Where the paying party does not file points of dispute a provisional assessment will be conducted (see paragraph 9 below).

Fees

7.10 The fee payable on filing a bill of costs is 2.5% of the amount claimed (including VAT).

7.11 The fee payable on the assessment of a bill of costs is 2.5% of the amount allowed (including the costs of assessment and VAT).

7.12 The filing fee and the assessment fee are costs of the detailed assessment.

7.13 Where a bill of costs is agreed fewer than 21 days prior to assessment the assessment fee is payable on the amount agreed between the parties. In these circumstances all parties must confirm the position in writing or by email to the Costs Clerk.

7.14 Drafts and cheques for fees are payable to ‘The Supreme Court of the United Kingdom’.

7.15 The Supreme Court fees provided for by the Supreme Court Fees Order 2009 (as amended) are set out in Annex 2 to Practice Direction 7.

Completing Form 5

7.16 Form 5 (including the agreed costs figures and the summary) must be completed and returned to the Costs Clerk along with the assessment fee within one month of the assessment.

7.17 If a paying party refuses to sign Form 5, the signature of the receiving party will be sufficient, provided the Registrar is satisfied that the paying party has refused to sign without good reason.

8. Extension of time and filing out of time

8.1 Any request for an extension of the three month period for filing a bill must be made in writing or by email to the Costs Clerk and copied to the other parties. If such an extension is agreed by the parties they should inform the Costs Clerk.

8.2 An application to file a bill of costs out of time made after the expiry of the three month period must be made in Form 2. In deciding whether to grant an application the Registrar takes into account all the circumstances, including:

- a. the interests of the administration of justice;
- b. whether the failure to file in time was intentional;
- c. whether there is a good explanation for the failure to file in time;
- d. the effect which the delay has had on each party; and
- e. the effect which the granting of an extension of time would have on each party.

8.3 See Practice Direction 7 for applications.

9. Provisional Assessment

9.1 A provisional assessment (carried out on the papers provided by the parties) is conducted without a hearing:

- a. in cases involving public funding except where a legal aid provider requests a hearing or where the size or complexity of the bill requires a detailed assessment hearing;
- b. where one of the parties requests such an assessment (see rule 49(5));
- c. where the costs claimed are £75,000 or less; and
- d. where the paying party fails to file points of dispute (for points of dispute see paragraph 7.8 above).

9.2 The parties are informed in writing of the outcome of the provisional assessment. If a party is dissatisfied with the result representations should be filed with the Costs Clerk within 14 days of receipt of the assessed bill. If points of disagreement cannot be resolved in correspondence, a detailed assessment will be carried out at an oral hearing.

9.3 A detailed assessment in these circumstances proceeds on the basis of the original claim for costs and any points of dispute and replies, any of which may be amended in light of the provisional assessment.

9.4 The Scottish Legal Aid Board will be informed of any provisional assessment in an appeal from Scotland in order that it may decide whether or not to intervene.

10 Attendance at Detailed Assessment

10.1 The Registrar gives 14 days' notice of the date and time of the detailed assessment.

10.2 Parties may be represented by their legal representative (including but not limited to a solicitor, costs lawyer or costs draftsman, or counsel).

10.3 The receiving party or their solicitor or other agent must attend the detailed assessment hearing.

10.4 If additional papers are brought to the detailed assessment (see paragraph 7.6 above) three copies must be provided to the Court and one copy to each other party.

Counsel

10.5 For counsel's fees of attending the detailed assessment see paragraph 18.

Detailed assessment of the papers

10.6 The Registrar may, at the request of a party or if the circumstances justify it, direct that a detailed assessment be carried out on the papers.⁴

11 Costs Officers' Discretion

11.1 The Costs Officers have discretion as to the amount to allow. In exercising this discretion they bear in mind the terms "reasonably incurred" and "reasonable in amount" in rule 51 of the Supreme Court Rules, (or in appeals from Scotland the provisions of Rule 42.10 of the Rules of the Court of Session 1994). The factors they consider include:

- a. to what extent an item assisted the Court in determining the appeal;
- b. the length of a hearing;
- c. the complexity of the issues as indicated by the judgments delivered by the Court; and
- d. the general level of fees sought and allowed in the lower courts.

11.2 In the case of applications for permission to appeal, a major consideration is whether the application gave rise to a point of public importance.

11.3 The Costs Officers will reduce or disallow claims in respect of documents (including electronic documents) provided by a party where those documents were excessive, inadequate or proved unhelpful to the Court or the Appeal Panel.

11.4 For guideline figures for solicitors and counsel see paragraph 15 below.

12 Review of Costs Officers' Decision**Application for a review**

12.1 Any party to an assessment who is dissatisfied with all or part of a decision of the Costs Officers may apply in accordance with rule 53 for that decision to be reviewed by a single Justice. The application must be made in Form 2 and served on the other parties. For applications see Practice Direction 7.

12.2 An application may be made only on a question of principle and not in respect of the amount allowed on any item.

12.3 Any application must be made within 14 days of the end of the detailed assessment or such longer period as may be fixed by the Court.

12.4 An application for a review must include written submissions stating concisely the grounds of the objections and must be served on the other parties.

12.5 A party who objects to the application may, within 14 days of service or such longer period as may be fixed by the Court, file a notice of objection in Form 3, which must be served on the other parties.

⁴ Amended Oct 2016

Referral to a Single Justice

12.6 The matter is then referred to a single Justice nominated by the presiding or senior Justice who heard the appeal or application for permission to appeal.

12.7 The single Justice will decide whether the matter should be referred to a panel of Justices and, before he makes a decision, he may consult the other Justices who heard the appeal or application. If the single Justice is of the opinion that the matter should not be referred to a panel, the decision of the Costs Officer is affirmed.

Referral to Panel of Justices

12.8 The Panel of Justices decides the matter with or without an oral hearing; and may direct a further oral hearing by the full Court.

12.9 If the application is referred for hearing the parties must liaise with the Costs Clerk over papers and listing.

13 Assessment Certificates**Civil**

13.1 When the assessment fee has been paid, an assessment certificate for the costs allowed will be sent to the receiving party, except in the case of respondents whose costs can be wholly satisfied from money deposited as security for costs (see rules 36 and 54).

Criminal

13.2 Where costs have been ordered to be paid out of Central Funds or where costs are paid under Representation Orders issued by the Registrar of the Court of Appeal, Criminal Division, the certificate will be sent to the Senior Courts Fees Office to settle with the parties or their solicitors and counsel direct.

Courts-Martial

13.3 Where costs are payable by the Secretary of State for Defence in respect of an appeal from the Courts-Martial Appeal Court, the certificate is sent direct to the Ministry of Defence to settle.

Criminal (Northern Ireland)

13.4 Where the costs are payable in accordance with section 41 of the Criminal Appeal (Northern Ireland) Act 1980 the certificates are sent to the Northern Ireland Office to settle.

Default costs certificate

13.5 Where a party fails to file or serve points of dispute within 14 days, or such other period as may be fixed by the Registrar, the receiving party may apply for a default costs certificate. Such a certificate will normally certify all the costs claimed in the bill of costs but the Registrar may reduce costs which appear to be unreasonably incurred, unreasonable in amount or disproportionate.⁵

⁵ Amended Oct 2016

14 Interest

14.1 Interest is payable on costs assessed between the parties and on costs in favour of successful unassisted parties. The rate of interest is in accordance with the provisions of the Judgments Act 1838, as amended, and interest accrues from the day on which the costs order of the Court is made or such other date as the Court may specify unless the Costs Officers exercise their discretion to vary the period for which interest is allowed.

15 Guidelines on Fees Allowed

Solicitors practising in England and Wales⁶

15.1 The Court adopts the guideline rates issued by the Senior Courts Costs Office for summary assessment and the rates are the starting point for all assessments. These are consolidated figures that include a mark-up for care and attention. Form 5 must be completed using a consolidated figure for the hourly rate. If a rate is charged that exceeds the guideline rate an explanation must be given under the heading 'Fee earners and hourly rates' in part 1 of Form 5.

15.5 The following table sets out the current hourly rates and localities:

Grade of fee earner	A	B	C	D
London 1	£409	£296	£226	£138
London 2	£317	£242	£196	£126
London 3	£229 to £267	£172 to £229	£165	£121
National 1	£217	£192	£161	£118
National 2	£201	£177	£146	£111

An explanation of the grades and details of localities is set out in Section 3 below. If the rates set by the Senior Courts Costs Office have been amended the Supreme Court will allow the amended rates in lieu of those in this table.

15.3 Where solicitors have charge of producing large documents such as the authorities or core volumes, it will not usually be appropriate for a higher grade rate to be applied. Time spent photocopying is not recoverable (although the cost of photocopying is). See also paragraph 11.3 above for documents.

15.4 Travel and waiting are allowed at the rate agreed with the client, unless this is more than the hourly rate allowed on assessment.

15.5 Letters and telephone calls are allowed at one tenth (1/10) of the hourly rate.

Counsel

15.6 The following guideline figures are used in assessing payments to counsel at the application for permission to appeal stage

Applications for permission to appeal	Junior	QC
---------------------------------------	--------	----

⁶ Consolidated rates based on those permitted in the respective jurisdictions are allowed for solicitors practising in Scotland or Northern Ireland.

Settling application	£1250	£1750
Advice for legal aid provider	£500	£800
Preparing respondents' objections	£800	£1100
One conference	£250	£500
Attending oral hearing by Appeal Panel	£1600	£2100

15.7 A claim for an increase on any of the above items or claim for any other item must be explained in a detailed note from counsel.

15.8 The general rule is that only one counsel's fees is allowed on assessment for any stage of an application for permission to appeal, unless a public funding or legal aid certificate authorises two counsel (but see paragraphs 6.6 and 6.7).

15.9 The following guideline figures are used in assessing payments to counsel at the appeal stage:

Appeals	Junior	QC
Notice of appeal (where UKSC has granted permission)	£150	£150
Notice of appeal (where permission is not required)	£1250	£1750
Statement of facts and issues	£2250	£4500
Authorities	£900	£1800
Conferences (each, up to a maximum of six)	£600	£1200
Advice	£1000	£2000
Brief (based on a 1 day hearing)	£7500	£15000
Brief (based on a 2 day or longer hearing)	£10000	£20000
Refresher (from day two of the hearing)	£1625	£3250

Notes

15.10 Counsel's fees are assessed in respect of each item of work counsel has undertaken. It is essential that this approach is reflected by those completing Form 5. It should be borne in mind that the number of hours spend by counsel in preparation is rarely of assistance to the Costs Officers when assessing the amount of counsel's fees at any stage of the proceedings.

15.11 Counsel for an appellant generally commands a higher fee than counsel for a respondent.

15.12 The brief fee includes all work on the brief, the written case, counsel-only conferences and the first day of attendance at the Court.

15.13 The Costs Officers exercise discretion in instances where junior counsel has undertaken most of the work on a particular item.

15.14 For settling a notice of appeal where the Supreme Court has granted permission, only one counsel's fee is permitted.

15.15 The Costs Officers have no discretion to allow the fees of more than two counsel unless the Court has ordered otherwise.

These fees are intended as a guide. If counsel seek higher fees, they must provide an explanation in a detailed note.

16 Conditional Fee Agreements

16.1 Notification should be given to the opposing parties and to the Registry as soon as practicable after a conditional fee agreement or funding arrangement has been entered into.

17 Costs of litigants in person

17.1 The amount allowed to a litigant in person may not exceed the loss actually sustained or, where no loss has been sustained, £18 for each hour reasonably spent, subject in either case to a maximum for any particular item of two thirds of the sum which in the opinion of the Costs Officer would have been allowed for that item if the litigant had been represented by a solicitor. The two thirds limit does not apply to out-of-pocket expenses which would be disbursements if incurred by a solicitor. (For further information see CPR 46.5 and paragraph 3 of Practice Direction 46 which supplements it.)

18. Costs of Assessment

18.1 By way of guidance for smaller claims, the following sums are usually justified for completing Form 5:

Amount of bill	Amount allowed
Bills assessed at up to £2000 (excluding VAT)	£300
Bills assessed at £2001-£5000 (excluding VAT)	£500
Bills assessed at £5001-£10000 (excluding VAT)	£700

18.2 For a larger bill the amount allowed for time reasonably spent in drafting the bill is calculated as a multiple of the relevant hourly rate for a Grade D fee-earner (unless a claim for a higher grade is justified).

18.3 The parties must prepare costs schedules for the consideration of the Costs Officers after detailed assessment.

18.4 Counsel may not claim a brief fee for attending detailed assessment on their own behalf but may do so if briefed in respect of the entire bill.



Section 2 - Form 5 (Bill of Costs)

UKSC Form 5 Part 1 BILL OF COSTS
Case title/UKSC reference
Parties
Summary of UKSC decision
Brief outline of proceedings below
Brief outline of UKSC proceedings
Outline of funding arrangements
Fee earners and hourly rates
Other useful information
VAT number if appropriate

Item	Description/date etc	Profit costs	Counsel's fees	Other disbursements	VAT
PERMISSION TO APPEAL					
Counsel's fees					
1					
2					
3					
Attendances on and communications with the court including fees paid					
4					
5					
6					
Attendances on and communications with counsel					
7					
8					
9					
Attendances on and communications with client					
10					
11					
12					
Attendances on and communications with opponent					
13					
14					
15					
Attendances on and communications with others					
16					
17					
18					
Work done on documents (itemise at Part 3)					
19					
20					
21					
Other work done/disbursements					
22					
23					
24					
Costs claimed against legal aid provider					
25					
26					
27					
NOTICE OF APPEAL					
Counsel's fees					
28					
29					
30					
31					
32					
33					
Attendances on and communications with the court including fees paid					
34					
35					
36					
37					
38					
39					

Attendances on and communications with counsel					
40					
41					
42					
43					
44					
45					
Attendances on and communications with client					
46					
47					
48					
49					
50					
51					
Attendances on and communications with opponent					
52					
53					
54					
55					
56					
57					
Attendances on and communications with others					
58					
59					
60					
61					
62					
63					
Work on documents (itemise at Part 3)					
64					
65					
66					
67					
68					
69					
Other work done/disbursements					
70					
71					
72					
73					
74					
75					
Costs claimed against legal aid provider					
76					
77					
78					
79					
80					

COSTS OF ASSESSMENT					
Attendances on and communications with the court					
81					
82					
83					
84					
Attendances on and communications with counsel					
85					
86					
87					
88					
Attendances on and communications with opponent					
89					
90					
91					
92					
Work done drawing the bill					
93					
94					
95					
96					
Costs claimed against legal aid provider only					
97					
98					
99					
100					
Other work done/disbursements					
101					
102					
103					
104					
Detailed assessment costs schedule					
105					
106					
107					
108					

Total costs claimed between the parties					
	Profit costs				
	VAT on profit costs				
	Counsel's fees				
	VAT on counsel's fees				
	Other disbursements				
	VAT on other disbursements				
	TOTAL				
Total costs claimed against legal aid provider					
	Profit costs				
	VAT on profit costs				
	Counsel's fees				
	VAT on counsel's fees				
	Other disbursements				
	VAT on other disbursements				
	TOTAL				

Total costs of assessment				
	Profit costs			
	VAT on profit costs			
	Counsel's fees			
	VAT on counsel's fees			
	Other disbursements			
	VAT on other disbursements			
	TOTAL			
Totals				
Grand total				

Part 2 Summary and agreed amount to be certified					
	Claimed	Assessed off	Allowed	VAT	Total £
Profit costs					
Counsels' fees					
Other disbursements					
Filing fee					
Assessment fee					
Total amount to be certified					
Signed for receiving party					
Signed for paying party					

Part 4 Certificates – delete or amend as appropriate	
<p>CERTIFICATE OF SERVICE This bill was served on the appellant/respondent [NAME] on [DATE] This document was served on the [NAME OF SOLICITORS] by the following method: [METHOD OF SERVICE] I believe that the facts stated in this certificate are true</p>	Y/N
<p>CERTIFICATE AS TO INTEREST OF LEGALLY AIDED PARTY PURSUANT TO REGULATION 119 OF THE CIVIL LEGAL AID (GENERAL) REGULATIONS 1989 The legally aided party has no financial interest in the detailed assessment OR A copy of this bill has been sent to the legally aided party in accordance with Regulation 119 of the Civil Legal Aid General Regulations 1989 with an explanation of his/her interest in the detailed assessment and the steps which can be taken to safeguard that interest in the assessment. He/she has/has not requested that the costs officer be informed of his/her interest and has/has not requested that notice of the detailed assessment hearing be sent to him/her.</p>	Y/N Y/N
<p>CERTIFICATES AS TO ACCURACY, INTEREST, PAYMENTS AND VAT</p> <p>(i) Accuracy This bill is both accurate and complete <i>(where the receiving party was legally aided)</i> All the work claimed as payable by a legal aid provider was done under a certificate issued by the legal aid provider granted to [legally aided party] <i>(where costs are claimed for work done by an employed solicitor)</i> The work claimed at items [] was conducted by a solicitor who is an employee of the receiving party <i>(other cases where costs are claimed for work done by a solicitor)</i> The costs claimed in this bill do not exceed the costs which the receiving party is required to pay me/my firm.</p>	Y/N Y/N Y/N Y/N
<p>(ii) Interest and Payments No rulings have been made in this case which affects the receiving party's entitlement to interest on costs OR The only rulings made in this case as to interest are as follows <i>[give brief details as to the date of such ruling]</i> AND No payments have been made by the paying party on account of costs included in this bill of costs OR The following payments have been made on account of costs included in this bill of costs <i>[give brief details of such payments]</i></p>	Y/N Y/N Y/N Y/N
<p>(iii) Disbursements All disbursements listed in this bill which individually do not exceed £500 (other than those relating to Counsel's fees) have been duly discharged.</p>	Y/N
<p>(iv) VAT With reference to the pending assessment of the appellant's/respondent's costs and disbursements which are payable by the appellant/respondent— the appellant/respondent, on the basis of its last completed VAT return, would [not] be entitled to recover/would be entitled to recover only X percent of the Value Added Tax on such costs and disbursements as input tax pursuant to Section 14 of the Value Added Tax Act 1983.</p>	Y/N
<p>I, _____ Grade solicitor at the firm _____, certify that the above statements are true</p> <p>Signed _____</p> <p>Date _____</p>	Y/N

Section 3 – Guideline hourly rates for solicitors

Solicitors' hourly rates: England and Wales

1. The guideline rates set out in paragraph 15 for solicitors are broad approximations. Rates include care and attention.
2. The grades of fee earner are those that have been agreed between representatives of the Senior Courts Costs Office, the Association of District Judges and the Law Society. The categories are as follows:
 - a. Solicitors with over eight years' post qualification experience including at least eight years litigation experience.
 - b. Solicitors, employed barristers and legal executives with over four years' post qualification experience including at least four years litigation experience.
 - c. Other solicitors, legal executives and fee earners of equivalent experience.
 - d. Trainee solicitors, para legals and fee earners of equivalent experience.
3. "Legal Executive" means a Fellow of the Institute of Legal Executives. Those who are not Fellows of the Institute are not entitled to call themselves legal executives and in principle are therefore not entitled to the same hourly rate as a legal executive.
4. Unqualified clerks who are fee earners of equivalent experience may be entitled to similar rates and in this regard it should be borne in mind that Fellows of the Institute of Legal Executives generally spend two years in a solicitor's office before passing their Section 1 general examinations, spend a further two years before passing the Section 2 specialist examinations and then complete a further two years in practice before being able to become Fellows. Fellows therefore possess considerable practical experience and academic achievement. Clerks without the equivalent experience of legal executives will be treated as being in the bottom grade of fee earner i.e. trainee solicitors and fee earners of equivalent experience. Whether or not a fee earner has equivalent experience is ultimately a matter for the discretion of the court.

The National 1 rates apply to

- Aldershot, Farnham, Bournemouth (including Poole)
- Birmingham Inner
- Bristol
- Cambridge City, Harlow
- Canterbury, Maidstone, Medway & Tunbridge Wells
- Cardiff (Inner)
- Chelmsford South, Essex & East Suffolk
- Chester
- Fareham, Winchester
- Hampshire, Dorset, Wiltshire, Isle of Wight
- Kingston, Guildford, Reigate, Epsom
- Leeds Inner (within 2 kilometres radius of the City Art Gallery)
- Lewes
- Liverpool, Birkenhead
- Manchester Central
- Newcastle - City Centre (within a 2 mile radius of St Nicholas Cathedral)
- Norwich City
- Nottingham City
- Oxford, Thames Valley
- Southampton, Portsmouth
- Swindon, Basingstoke
- Watford

The National 2 rates apply to

- Bath, Cheltenham and Gloucester, Taunton, Yeovil
- Birmingham Outer
- Bradford (Dewsbury, Halifax, Huddersfield, Keighly & Skipton)
- Bury
- Chelmsford North, Cambridge County, Peterborough, Bury St E, Norfolk, Lowestoft
- Cheshire & North Wales
- Coventry, Rugby, Nuneaton, Stratford and Warwick
- Cumbria
- Devon, Cornwall
- Exeter, Plymouth
- Grimsby, Skegness
- Hull (City)
- Kidderminster
- Leeds Outer, Wakefield & Pontefract
- Leigh
- Lincoln
- Luton, Bedford, St Albans, Hitchin, Hertford
- Manchester Outer, Oldham, Bolton, Tameside
- Newcastle (other than City Centre)
- Northampton & Leicester

- Nottingham & Derbyshire
- Preston, Lancaster, Blackpool, Chorley, Accrington, Burnley, Blackburn, Rawenstall & Nelson
- Scarborough & Ripon
- Sheffield, Doncaster and South Yorkshire
- Shrewsbury, Telford, Ludlow, Oswestry
- South & West Wales
- Southport
- Stafford, Stoke, Tamworth
- St Helens
- Stockport, Altrincham, Salford
- Swansea, Newport, Cardiff (Outer)
- Teesside
- Wigan
- Wolverhampton, Walsall, Dudley & Stourbridge
- Worcester, Hereford, Evesham and Redditch
- York, Harrogate

London Bands Grade	A	B	C	D
London 1 EC1, EC2, EC3, EC4	£409	£296	£226	£138
London 2 W1, WC1, WC2, SW1	£317	£242	£196	£126
London 3 (All other London post codes: W, NW, N, E, SE, SW and Bromley, Croydon, Dartford, Gravesend and Uxbridge)	£229 to £267	£172 to £229	£165	£121

Scotland and Northern Ireland

The Costs Officers bear in mind the guideline rates for England and Wales when determining appropriate rates in appeals from Scotland and Northern Ireland.

The Supreme Court of the United Kingdom

Practice Direction 14

Filing Documents in the Registry of the Supreme Court by electronic means

Introduction

14.1 The Supreme Court intends to take full advantage of the opportunities offered by modern information technology and rules 6(1)(d) and 7(1)(d) provide for the service and filing of documents “(with the consent of the party to be served or at the direction of the Registrar) by electronic means in accordance with the relevant practice direction”. This Practice Direction makes the necessary provision.

Filing of documents

14.2.1 Subject to paragraph 14.4.6, all documents must be filed electronically at the same time as hard copies are sent to the Registry. See rule 7(3) which provides that: “Except with the consent of the Registrar, the contents of documents

- a. filed in hard copy must also be provided to the Registry by electronic means, and
- b. filed by electronic means must also be provided to the Registry in hard copy.”

Other parties should be notified by the filing party that filing has taken place.

14.2.2 Each electronic document must be named in accordance with the file naming convention published by the Registrar.

14.2.3 In the event of a mistake being made, the Registry should be notified immediately.

Submission of electronic documents to the Registry

14.3.1 Unless otherwise directed or permitted by the Registrar, or where the circumstances in paragraph 14.5.5 apply, the means of submitting electronic documents to the Registry is via e-mail at registry@supremecourt.uk.

14.3.2 Where the Registrar directs or permits, or in accordance with 14.5.5 below, the party should submit the electronic documents to the Registry on a memory stick, clearly marked or labelled with the title of the case and the identity of the party.

General provisions

14.4.1 A document is not filed until the transmission is received and accepted by the Registry, whatever time it is shown to have been sent.

14.4.2 The time of receipt of a transmission will be recorded electronically on the transmission as it is received.

14.4.3 If a transmission is received after 4pm –

- a. the transmission will be treated as received; and
- b. any document attached to the transmission will be treated (if accepted) as filed, on the next day the Registry is open.

14.4.4 A party sending an e-mail is responsible for ensuring that the transmission or any document attached to it is filed within any relevant time limits.

14.4.5 The Registry will normally reply by e-mail where –

1. the response is to a message transmitted electronically; and
2. the sender has provided an e-mail address.

14.4.6 Parties are advised not to transmit electronically any correspondence or documents of a confidential or sensitive nature, as security cannot be guaranteed.

14.4.7 If a document transmitted electronically requires urgent attention, the sender should contact the court by telephone.

Format of electronic documents for the hearing

14.5.1 Electronic documents for use at the hearing must be prepared in accordance with the following provisions and the parties are encouraged to co-operate in their preparation. The electronic document (which must be identical to the hard copy) should be contained in a single pdf and must be numbered in ascending order throughout. Pagination should begin with the first page of the first document and should be continued throughout the entire series of documents. New pagination must *not* be used for separate documents or folders within the single pdf. When referring to documents, counsel should first refer to the page number on the electronic version. It will also be necessary, where this is different, to refer to the hard copy bundle number. The hard copy bundles should bear the same page numbering as the electronic document as well as any internal page numbering. This should appear at the foot of the page on the right.

14.5.2 The default display view size on all pages must be 100%. Text on all pages must be in a format that will allow comments and highlighting to be imposed on the text. Bookmarks must be labelled so as to identify the document to which each refers. The bookmark should have the same name or title as the actual document. The index page must be hyperlinked to the pages or documents to which it refers. A sample bundle will be available for Court users from the Registry.

14.5.3 Unless otherwise directed or permitted by the Registrar, core volumes and volumes of authorities must be filed as a single pdf document and bookmarked in accordance with the index so that each individual document can be accessed directly by hypertext link both from the index page and from bookmarks on the left-hand side. Please see the example core volume and accompanying instructions on the Supreme Court website at <http://www.supremecourt.gov.uk/procedures/electronic-bundle-guidelines.html>¹

14.5.4 Wherever possible, pdf documents within core volumes and within volumes of authorities and otherwise filed with the Court must be converted to pdf from their original electronic

¹ Amended Jan 2012

versions rather than scanned as images. Where documents are only available in hard copy and have to be scanned, the resultant pdf files should, where the quality of the scan allows, be subjected to a process of optical character recognition (OCR). This is to enable the documents to be text searchable and annotatable by the Court. Please see the example core volume and accompanying instructions on the Supreme Court website at <http://www.supremecourt.gov.uk/procedures/electronic-bundle-guidelines.html>²

14.5.5 Where electronic core volumes or other individual documents exceed 10 megabytes in size they must be submitted on memory stick, clearly marked or labelled with the title of the case and the identity of the party.

14.5.6 The Registrar may permit filing in a different or additional format (e.g. Excel) for good reason.

Hypertext linking within documents

14.6.1 The Supreme Court does not intend at this stage to impose detailed requirements as to hypertext linking within documents. However, it wishes to encourage parties to employ hypertext links within documents. In particular, it would be helpful if hypertext links were introduced at the time the core volumes are produced to link:

- a. the statement of facts and issues to documents in the appendix,
- b. written cases to documents in the appendix and to the authorities,
- c. cases to the relevant law reports and to the index of authorities.

14.6.2 The parties should seek to agree on the extent to which hypertext linking is to be used.

Special directions

14.7 The Registrar may give special directions for the filing of electronic documents to meet the requirements of particular cases or by way of experiment.

² Amended Jan 2012