

**INTERNATIONAL CENTRE FOR SETTLEMENT OF INVESTMENT DISPUTES**

**Woodhouse Investment Pte Ltd and West Cumbria Mining (Holdings)  
Limited**

**v.**

**United Kingdom of Great Britain and Northern Ireland**

**(ICSID Case No. ARB/25/37)**

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**PROCEDURAL ORDER NO. 3  
(on Document Production)**

***Members of the Tribunal***

Prof. Juan Fernández-Armesto, President of the Tribunal

Dr. Michael Pryles, Arbitrator

Prof. Sean D. Murphy, Arbitrator

***Secretary of the Tribunal***

Ms. Anna Holloway

***Assistant to the Tribunal***

Mr. Santiago Soto García

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6 March 2026

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## **RECITALS**

Whereas:

1. This arbitration arises between Claimants, Woodhouse Investment Pte Ltd and West Cumbria Mining (Holdings) Limited, and Respondent, the United Kingdom of Great Britain and Northern Ireland [collectively, the “**Parties**”].
2. On 27 January 2026, the Tribunal issued Procedural Order No. 1 [“**PO No. 1**”].
3. Paragraph 16.2 of PO No. 1 provides that the procedure for document production will be addressed in a subsequent procedural order.
4. On 27 January 2026, the Tribunal circulated a draft Procedural Order No. 3, on document production, seeking the Parties’ comments. The Parties submitted their comments on 11 February 2026.
5. On 24 February 2026, the Tribunal circulated a new version of Procedural Order No. 3, seeking the Parties’ last comments. On 3 March 2026, Respondent submitted its final round of comments, whilst Claimants confirmed that they had no further comments.
6. The following Procedural Order sets out the Tribunal’s decisions after consultation with the Parties.

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7. The document production phase, if requested by any Party, shall proceed in accordance with the Procedural Timetable attached as Annex A to PO No. 1.

#### **1. DOCUMENTS**

8. The Parties agree to be guided by the International Bar Association Rules on the Taking of Evidence in International Arbitration (2020) [**“IBA Rules”**] for the production of documents in this arbitration.

9. The “Definitions” section of the IBA Rules includes the following definition of document:

“‘*Document*’ means a writing, communication, picture, drawing, program or data of any kind, whether recorded or maintained on paper or by electronic, audio, visual or any other means”.

10. The same definition will be used in this Order and must be used by the Parties in their requests for document production. Drafts of Documents constitute Documents.

#### **2. REQUESTS FOR DOCUMENT PRODUCTION**

11. The Parties should attempt to resolve any issue about the production of documents by agreement between them. Failing agreement, a Party may request an order from the Tribunal directing production.

12. At the date established in Annex A to PO No. 1 the Parties shall submit a Document Production Schedule [**“DPS”**], using the draft model attached hereto as Annex I. For each Document (or category of Documents) a single Document Request shall be completed. Document Requests shall be numbered sequentially, and the Parties shall adhere to the word limit defined for each cell.

13. The Parties are invited to limit the number of Document Requests per Party to 25.

14. Each Party will deliver its DPS directly to the counterparty, without copying the Tribunal.

15. Each Document Request must meet the following cumulative requirements [**“R”**]:

**A. “R1”: Identification of each Document or description of a narrow and specific category<sup>1</sup>**

16. If the request is for a single Document, the description must be in sufficient detail to identify the requested Document.

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<sup>1</sup> Art. 3.3(a)(i) and (ii) IBA Rules.

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17. If the request is for a category of Documents, the following additional requirements must be met:
- A clear and well-defined characterization of a narrow and specific category must be provided;
  - To the extent possible, circumstantial evidence of the putative existence of the category must be marshalled;
  - To the extent possible, the name of the person, authority or entity which has issued the category of Documents must be provided; and
  - To the extent possible, the initial and the final date of the period, during which the Documents belonging to the category were issued, must be identified.
18. Any request which does not comply with these requirements shall be rejected *in limine*.
19. To the extent possible, for Documents maintained in electronic form, the requesting Party is encouraged to identify the following criteria for searching Documents:
- Specific individuals who have or had these Documents in their control, custody or possession;
  - Specific search terms;
  - Specific files, servers and email accounts where the search could be performed; and
  - Any other means of searching for such Documents in an efficient and economical manner.
20. In order to assist the Parties, the Tribunal gives some examples of what shall not be considered a narrow and defined category of Documents:
- “All documents and any correspondence exchanged internally or externally between the Claimant and any of the entities in its group structure, in relation to the construction of the mine”.
- “All documents concerning Respondent’s decision not to renew Claimant’s license, including but not limited to internal emails, correspondence, analysis, memoranda, or other reports, produced between 2006 and 2016”.
- “Documents establishing the loss of significant future business of Claimant as a result of Law 4563, created between May 2015 and June 2018”.
- “All resolutions of the Board of Directors or internal communications between Board members of Claimant or any entity within its group structure, discussing the decision to purchase the shares in Company X, created between January 2016 and January 2018”.

“All emails exchanged between Ms. Smith (CEO of Company X) and Mr. Jones (Board member of Company X) between May 2011 and January 2012 concerning the termination of Claimants’ supply contract, using the search terms ‘supply contract’, ‘problems’ and ‘default’”.

**B. “R2”: Relevant and material<sup>2</sup>**

21. The requesting Party must prove that the Documents are relevant to the case and material to its outcome and identify the specific paragraph in the submission for which evidentiary support by way of document production is requested.
22. Any request which does not comply with this requirement shall be rejected *in limine*.
23. Documents or categories of Documents
  - referred to in other Documents that have already been submitted,
  - mentioned in witness statements or in expert reports, or
  - relied upon by experts to prepare their expert reports (but excluding working papers used by experts),will, as a general rule, be considered relevant.
24. It is not for a Party to disprove, by way of Document Requests directed to the counterparty, allegations for which the counterparty bears the burden of proof, since failure to discharge such burden will by itself lead to dismissal. Production with the purpose of disproving the counterparty’s allegations will only be ordered in exceptional circumstances.
25. Any analysis by the Tribunal regarding the relevance and materiality of requested Documents is made *prima facie*, without prejudging any final decision that the Tribunal may adopt once all evidence has been marshalled.

**C. “R3”: Not in the possession, custody or control of the requesting Party<sup>3</sup>**

26. The requesting Party must:
  - Declare that the Documents, or the information contained in the Documents in case of redacted Documents, sought are not in its possession, custody or control, or otherwise explain why it would be unreasonably burdensome for the requesting Party to produce such Documents; and

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<sup>2</sup> Arts. 3.3(b) and 9.2(a) IBA Rules.

<sup>3</sup> Art. 3.3(c)(i) and (ii) IBA Rules.

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- Explain why it assumes that the Documents, or the information contained in the Documents in case of redacted Documents, are in the possession, custody or control of the requested Party.
27. The request will be rejected if the Documents are located in the premises or under the control of a third party, to which the requesting Party has access or control. Similarly, a Document shall be considered to be in possession of the requesting Party if a complete, unredacted version of the Document is already on the record of the arbitration or if it is publicly available (and the counterparty is not in a significantly more favourable position to obtain such Document).
28. The request will be rejected if the Documents are under possession, custody or control of a third party to which the requested Party has no access or control. On the contrary, Documents which are located in the premises or under the control of a third party to which the requested Party has access, shall generally be considered to be in its “possession, custody or control”, unless otherwise proven by the requested Party.

**3. OBJECTIONS**

29. The IBA Rules provide for a number of objections to the production of Documents. Further to alleging failure to satisfy any of the previously established requirements (R1 to R3), the requested Party may object to a request for production [**“Objection”**] in the following cases [**“O”**]:<sup>4</sup>

**A. “O1”: Legal advice, litigation and settlement privilege**<sup>5</sup>

30. A requested Party may invoke legal advice privilege with regard to:
- Documents evidencing communications between that Party, and an in-house or external lawyer [**“Lawyer”**], or
  - Confidential Documents created by a Lawyer,
- provided that:
- The dominant purpose of the Document is giving or receiving legal advice, in a litigation or non-litigation context, and
  - The Party and the Lawyer must have acted with the expectation that in a contentious situation the Document would be kept confidential.
31. A requested Party may also invoke litigation privilege with regard to:
- Documents evidencing communications between the Party and/or its Lawyer and a third party, or

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<sup>4</sup> Art. 3.5 IBA Rules.

<sup>5</sup> Art. 9.2(b) IBA Rules.

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- Confidential Documents created by or on behalf of the Party or its Lawyer, provided that the Documents have been prepared for the dominant purpose of litigation and relate to a litigation/arbitration that was either pending or reasonably contemplated at the time the Documents were made.
32. A requested Party may also invoke settlement privilege regarding Documents prepared in connection with settlement negotiations<sup>6</sup>, including:
- Oral or written statements submitted to the other side during negotiations,
  - Internal Documents prepared specifically for negotiations, and
  - Drafts or final versions of any settlement agreements.
33. If the requested Party raises an Objection under O1 and, if challenged, the Tribunal confirms it, the requested Party shall deliver the requested Documents with the privileged information redacted.
34. In those cases in which the asserted privilege cannot be adequately safeguarded through redaction, the requested Party, instead of delivery, shall disclose the existence and characteristics of the Document in a “**Privilege Log**”, drafted in accordance with Annex II,
- Identifying in chronological order the date, the issuer and recipient(s) of the Document (specifying whether they are a Lawyer of the Party, so far as applicable),
  - Providing a summary description of the Document, plus
  - An explanation of the reasons which justify that the Document be withheld in full.
35. Any discussion will be settled by the Tribunal.

**B. “O2”: Production is unreasonably burdensome**<sup>7</sup>

36. The requested Party may object to the production of Documents on the basis that it would impose an unreasonable burden. In making its decision, the Tribunal will weigh the time and cost of producing the Documents against their expected evidentiary value. The Tribunal may also reduce the scope of production to avoid unreasonable burden.

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<sup>6</sup> Art. 9.4(b) IBA Rules.

<sup>7</sup> Art. 9.2(c) IBA Rules.

**C. “O3”: Loss, destruction or inexistence<sup>8</sup>**

37. The requested Party may object to the production of Documents if it shows, with reasonable likelihood, that they have been lost or destroyed, or do not exist for other reasons.
38. In such case, the Tribunal shall take note of the requested Party’s declaration. The requesting Party may make the inferences it deems appropriate in its following written submission.

**D. “O4”: Technical or commercial confidentiality<sup>9</sup>**

39. A Party may request that a Document should not be produced, alleging compelling grounds of technical or commercial confidentiality.
40. If the requested Party raises an Objection under O4 and, if challenged, the Tribunal confirms it, the requested Party may request a reasonable confidentiality undertaking from the counterparty, to protect the confidentiality of the Documents<sup>10</sup>. Absent such agreement, the requested Party shall deliver the Documents with the confidential information redacted.
41. In those cases in which the confidential information cannot be adequately safeguarded by a confidentiality undertaking or through redaction, the requested Party, instead of delivery, shall disclose the existence and characteristics of the Document in a Privilege Log, drafted in accordance with Annex II and paragraph 34 above.
42. Any discussion will be settled by the Tribunal.

**E. “O5”: Special political or institutional sensitivity<sup>11</sup>**

43. A Party may request that a Document should not be produced, alleging compelling grounds of special political or institutional sensitivity (including evidence that has been classified as secret by a government or a public international institution).
44. If the requested Party raises an Objection under O5 and, if challenged, the Tribunal confirms it, the requested Party may request a reasonable confidentiality undertaking from the counterparty, to protect the sensitive information<sup>12</sup>. Absent such agreement, the requested Party shall deliver the Documents with the political or institutionally sensitive information redacted.

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<sup>8</sup> Art. 9.2(d) IBA Rules.

<sup>9</sup> Art. 9.2(e) IBA Rules.

<sup>10</sup> This may include, for example, a counsel’s eyes-only agreement or other appropriate measures to protect the confidentiality of the documents, such as the use of secure platforms for document sharing.

<sup>11</sup> Art. 9.2(f) IBA Rules.

<sup>12</sup> This may include, for example, a counsel’s eyes-only agreement or other appropriate measures to protect the confidentiality of the documents, such as the use of secure platforms for document sharing.

45. In those cases in which the confidential information cannot be adequately safeguarded by a confidentiality undertaking or through redaction, the requested Party, instead of delivery, shall disclose the existence and characteristics of the Document in a Privilege Log, drafted in accordance with Annex II and paragraph 34 above.
46. Any discussion will be settled by the Tribunal.

F. **“O6”: Production would affect the fairness or equality of the procedure**<sup>13</sup>

47. Documents will not be ordered to be produced when the Tribunal finds considerations of procedural economy, proportionality, fairness or equality of the Parties that it determines to be compelling.

4. **PROCEDURE**

A. **DPS Response**

48. On the date identified in Annex A to PO No. 1, each Party shall return directly to the counterparty the initial DPS (without copying the Tribunal), indicating which requests it will voluntarily comply with, and which requests it rejects [**“DPS Response”**],
- Arguing that such requests do not meet any or some of the Requirements R1 through R3; or
  - Raising one or more of the Objections O1 through O6.

B. **Delivery of Non-Contested Documents**

49. On the same date, each requested Party shall produce all documents which it has voluntarily accepted to deliver [the **“Non-Contested Documents”**]. Non-Contested Documents shall only be delivered to the requesting Party, without copying the Tribunal. The requesting Party may marshal any of these Non-Contested Documents as evidence with the following written submissions.
50. The requested Party should not deliver at this stage Documents for which it has raised an Objection; such Documents shall only be delivered (or a Privilege Log submitted) once the Tribunal has issued its decision.

C. **DPS Response to Objections**

51. On the date identified in Annex A to PO No. 1, the requesting Party shall file a response to the Objections O1 through O6 raised by the counterparty. The requesting Party may withdraw (deleting the whole request or marking

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<sup>13</sup> Art. 9.2(g) IBA Rules.

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“withdrawn” in R1) or limit (in track changes in R1) its requests on account of the Objections raised.

52. The requesting Party shall formalize its response in the DPS [**“DPS Response to Objections”**].
53. For the avoidance of doubt, the requesting Party shall refrain from replying to the arguments raised by the requested Party regarding requirements R1 to R3.
54. On that same date, each Party shall submit its DPS (including its own Requests, the Objections of the counterparty and its own Responses to Objections) to the Tribunal.
55. When submitting the DPS to the Tribunal, the Parties are kindly requested to refrain from making additional submissions. Parties are expected to strictly adhere to the rules set out in the present Procedural Order.

**D. Decision on DPS**

56. The Tribunal will endeavour to issue its decision by the date established in Annex A to PO No. 1. Such decision will be formalized in the requesting Party’s DPS and issued by the Tribunal by means of a Procedural Order.

**E. Production of Contested Documents or Privilege Log**

57. Each Party shall produce all **“Contested Documents”**, in compliance with the decision adopted by the Tribunal, on the date established in Annex A to PO No. 1. Contested Documents shall only be delivered to the counterparty, without copying the Tribunal. The receiving Party may marshal any of such Contested Documents as evidence with the subsequent written submissions.
58. The same rule shall apply, if the requested Party has raised, and the Tribunal has accepted, Objections O4 or O5 with regard to certain Documents, and the Parties have reached a confidentiality agreement.
59. Absent such agreement, and/or if Objections O1/O4/O5 have been pleaded and accepted, the requested Party shall deliver the Documents with the confidential and/or privileged information redacted.
60. In those cases in which the confidential and/or privileged information cannot be adequately safeguarded through redaction, the requested Party shall produce to the counterparty (without copying the Tribunal) a Privilege Log, drafted in accordance with Annex II.

**F. Delivery of Affidavits**

61. On the same date, each Party will deliver to its counterparty and to the Tribunal the following **“Affidavits”**:

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- A first Affidavit signed by the chief legal officer or other chief representative of such Party drafted in accordance with Annex III, and
  - A second Affidavit signed by the head external legal counsel to such Party drafted in accordance with Annex IV.
62. If a Party, without satisfactory explanation, and in contravention of the Tribunal's instructions, fails to produce a Document, the Tribunal may infer that such Document is adverse to the interest of that Party. Likewise, if a Party, absent satisfactory explanation fails to deliver any of the Affidavits, the Tribunal will make appropriate inferences.

**5. ALLOCATION OF COSTS**

63. In its decision on costs, the Tribunal will make a special allocation of costs with regard to the Document production exercise, taking into consideration the reasonableness of the Requests and Objections, each Party's willingness to produce the Documents under its control and the relative success of each Party.
64. Parties shall identify separately in their statements of costs, the costs incurred in preparing their Document Requests, DPS Response, and DPS Response to Objections and the costs incurred in the search and delivery of the requested Documents.

On behalf of the Tribunal,

[signed]

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Juan Fernández-Armesto  
President of the Tribunal  
Date: 6 March 2026

**Procedural Order No. 3 – Annex I**  
**DOCUMENT PRODUCTION SCHEDULE**  
 ICSID Case No. ARB/25/37

**Requesting Party:**  
Requesting party

**Requested Party:**  
Requested party

Document Request No. 1.		
<b>R1: Description of requested Documents (max. 200 words)</b>		
<u>Requesting party</u>	<u>Requested party</u>	<u>Tribunal</u>
Time frame of issuance		
<b>R2: Relevance and materiality (max. 250 words)</b>		
<u>Requesting party</u>	<u>Requested party</u>	<u>Tribunal</u>
Reference in Memorial (paras.)		
<b>R3: Not in possession of requesting party (max. 100 words)</b>		
<u>Requesting party</u>	<u>Requested party</u>	<u>Tribunal</u>
<b>O1: Legal or settlement privilege (max. 250 words)</b>		
<u>Requested party</u>	<u>Requesting party</u>	<u>Tribunal</u>
<b>O2: Production is unreasonably burdensome (max. 200 words)</b>		
<u>Requested party</u>	<u>Requesting party</u>	<u>Tribunal</u>
<b>O3: Loss, destruction or inexistence (max. 100 words)</b>		
<u>Requested party</u>	<u>Requesting party</u>	<u>Tribunal</u>
<b>O4: Technical or commercial confidentiality (max. 200 words)</b>		
<u>Requested party</u>	<u>Requesting party</u>	<u>Tribunal</u>
<b>O5: Special political or institutional sensitivity (max. 250 words)</b>		
<u>Requested Party</u>	<u>Requesting party</u>	<u>Tribunal</u>
<b>O6: Production affects fairness or equality of procedure (max. 100 words)</b>		
<u>Requested party</u>	<u>Requesting party</u>	<u>Tribunal</u>
<b>Tribunal's Decision</b>		

Add request

**PRIVILEGE LOG**

Requesting party: Requesting party

Requested party: Requested party

<b>Doc. No.</b>	<b>Date of issuance (in chronological order)</b>	<b>Author/sender (identifying any Lawyers to the requested Party, so far as applicable)</b>	<b>Recipient(s) (including any individuals in copy, and identifying any Lawyers to the requested Party, so far as applicable)</b>	<b>Brief description of the Document or category of the Documents</b>	<b>Asserted Objection (O1, O4, O5)</b>	<b>Reasons for objection</b>

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**Annex II to Procedural Order No. 3**

**AFFIDAVIT**

My name is Full name, Position of Requested party. This Affidavit is issued in accordance with Procedural Order No. 3 in the arbitration between Woodhouse Investment Pte Ltd and West Cumbria Mining (Holdings) Limited as Claimants, and the United Kingdom of Great Britain and Northern Ireland as Respondent. Terms defined in Procedural Order No. 3 have the same meaning when used in this Affidavit.

I declare that, to the best of my knowledge and belief:

- (i) Requested party has carried out a reasonable search of the Documents which it was ordered or voluntarily undertook to produce;
- (ii) No Document which Requested party was ordered or voluntarily undertook to produce has been destroyed or concealed;
- (iii) All Documents for which legal or settlement privilege has been claimed, meet the requirements established in Procedural Order No. 3;
- (iv) Requested party has produced all Documents which it was ordered or voluntarily undertook to produce (except for the privileged or confidential Documents duly identified in the Privilege Log).

Date: Date

\_\_\_\_\_  
Full name

**AFFIDAVIT**

My name is Full name, external legal counsel of Requested party. This Affidavit is issued in accordance with Procedural Order No. 3 in the arbitration between Woodhouse Investment Pte Ltd and West Cumbria Mining (Holdings) Limited as Claimants, and the United Kingdom of Great Britain and Northern Ireland as Respondent. Terms defined in Procedural Order No. 3 have the same meaning when used in this Affidavit.

I declare that:

- (i) I have explained to the Requested party (a) its obligation not to destroy or conceal any Document potentially relevant to the above-referred arbitration, and (b) the necessity of producing, and the potential consequences of the failure to produce, any Document which Requested party has been ordered or has voluntarily undertaken to produce;
- (ii) I have advised Requested party to carry out a reasonable search, and to produce all Documents it was ordered or it voluntarily undertook to produce (except for the privileged or confidential Documents duly identified in the Privilege Log);
- (iii) My professional opinion is that all Documents for which legal or settlement privilege has been claimed, meet the requirements established in Procedural Order No. 3.

Date: Date

\_\_\_\_\_  
Full name