PEACEFUL METHODS OF DISPUTE SETTLEMENT:
LITIGATION & ARBITRATION

1. INTRODUCTION

1.1. This Guide is heavily weighted toward litigation and arbitration, but the Introduction defines the other types of international peaceful means of dispute settlement because students may run across them in their reading. But litigation is the only peaceful means of dispute settlement that regularly publishes its results. Arbitral awards that come from an intergovernmental organization’s dispute settlement body such as the World Trade Organization (WTO) may be published. But not every intergovernmental organization’s dispute settlement body does so and the awards of ad hoc arbitration tribunals are generally confidential. Chapter VI of the UN Charter lists the following methods of peaceful settlement of disputes: negotiation, enquiry, mediation, conciliation, arbitration, judicial settlement, resort to regional agencies or arrangements, or other peaceful means of their own choice.

1.2. Litigation and arbitration are both considered to be judicial as opposed to political means of settlement because their results are both legally binding. The terms of arbitration are agreed on in advance either through an ad hoc agreement or a treaty. The former is called a compromis and the latter a compromissory clause. In both cases the parties agree to the jurisdiction of the arbitrators, the method of selecting the arbitrators, a definition of the dispute, the procedure to be followed, and sometimes the applicable law. Litigation results in opinions that are usually published; arbitration results in awards that are sometimes published.

1.3. Conciliation differs from arbitration in one very important respect: the result of the former is not legally binding and thus has no influence on any further litigation of the dispute. Boczek1 defines conciliation as 

“...a diplomatic method of third-party peaceful settlement..., whereby a dispute is referred by the parties, with their consent, to a permanent or ad hoc commission, ...whose task is impartially to examine the dispute and to prepare a report with the suggestion of a concrete proposal.”

1.4. Mediation is clearly a political method of settlement. In mediation a third-party, acceptable to both parties to the dispute, effects communication between the parties and participates actively in the process of negotiation by offering proposals for settlement.

1.5. Similar to mediation is good offices, which is not mentioned in the UN Charter. Good offices is recognized by the Hague Convention for the Pacific Settlement of International

1 BOSWELL A. BOCZEK, INTERNATIONAL LAW: A DICTIONARY 356 (Scarecrow Press, Dictionaries of International Law, No. 2, 2005)
Disputes of 1899 (187 CTS 410). It is like mediation except that the third-party does not participate actively in the negotiations. S/he merely effects communication between the parties saving them the difficulties of personal contact. And the parties have no prior commitment to the result.

1.6. Enquiry is also called inquiry or fact-finding, which is a good description of what it is. It may be used as an independent procedure or as a preliminary part of other methods of peaceful dispute settlement. It can and, in a few cases, it has led to settlements by exposing the truth of a situation to the parties involved.

1.7. Negotiation “...is a diplomatic procedure whereby representatives of states engage in discussing matters...between them...to clarify and reconcile their divergent positions and resolve the dispute.”

2. LITIGATION

2.1. Global


This is another subscription database that can only be accessed from a UC computer or through UC’s virtual personal network (sslvpn). It has four parts: 1) International Yearbooks and Periodicals; 2) US Law Digests; 3) International Tribunals/Judicial decisions; 4) Other Significant Works Related to Foreign and International Law. The International/Judicial decisions include a couple of series of arbitral awards.

2.1.3. International Court of Justice (ICJ), http://www.icj-cij.org/homepage/index.php?PHPSESSID=5b9c6143f1bc51848de0c7456454402e (last visited 1/30/2011)

The International Court of Justice is the judicial arm of the United Nations. It has jurisdiction over disputes between states members of the UN that consent to its jurisdiction. Although only states can bring contentious claims, international organizations may be admitted before the Court. It has an excellent web site (www.icj-cij.org (last visited June 29, 2006)) that contains all of its published documents including:


This page includes links to the Charter of the United Nations, the Statute of the Court, Rules of Court, Practice Directions, and Other Texts.


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\(^2\) Id., at 379
This page includes links to pending cases, a list of all cases, contentious cases, and advisory proceedings.


Parties to the UN Convention on the Law of the Sea may use any of four options to resolve disputes: ITLOS, the ICJ, arbitration according to Annex VII to UNCLOS, or “a special arbitral tribunal constituted in accordance with Annex VIII to the Convention.” (http://www.itlos.org/start2_en.html, last visited 1/25/2011) ITLOS was established in 1996 under Part XV of the Convention. The URL listed above will get you to all the sections of the website. The following are the most important parts of it:

2.1.4.1. Documents

Includes the convention, statutes, procedures, and resolutions

2.1.4.2. Proceedings & Cases

Includes documents associated with each case including institution of proceedings, statement received after the expiry of the time limit, request for provisional measures, written proceedings, oral proceedings, further information submitted by the International Seabed Authority, order, judgment, press releases, & photographs.

2.1.4.3. Competence

Deals with jurisdiction and access to the Tribunal

2.1.4.4. Procedure

2.1.4.5. Search

2.2. Europe

2.2.1. The Court of Justice of the European Union

This is the judicial arm of the EU. It adjudicates disputes that arise under any of the EU treaties. This includes cases from the national courts of the member states, cases involving the limits of the powers of the organs of the EU, requests for preliminary rulings (advisory opinions) from other organs of the EU, cases involving the legality of international agreements under the EU Treaties, and cases involving the staff of the EU. At the heart of the Court’s jurisdiction is judicial review of EU treaties, legislation, and administrative acts and review of member states’ adherence to their rules. The Court has 27 Judges and 8 Advocates General. The Judges are appointed for renewable terms of six years and elect the President of the Court from among their number. “The Court of Justice may sit as a full Court, in a Grand Chamber (13 Judges) or in chambers of three or five Judges.” (http://curia.europa.eu/jcms/jcms/jcms/jo2_7024 (last visited 2/3/2011)) The Court of Justice has a lower court, the General Court, which has its own judges and its own areas of jurisdiction. The two courts interact as needed. A decision may be appealed from the General Court to the
Court of Justice and it may affirm, overturn, or remand that decision back to the General Court. The two Courts may have separate cases that have the same parties and depend on the same facts, but deal with different legal issues. The Court of Justice may refer a case that was originally, but mistakenly, brought to it to the General Court.

2.2.1.1. Online

2.2.1.1.1. The Court has an excellent website (http://www.curia.eu.int (last visited 1/27/2011)), which contains the following:


Scroll down for the most recent opinions of the European Court and the General Court.


2.2.1.1.5.3. Alphabetical Table of Subject Matter, http://curia.europa.eu/jcms/jcms/Jo2_7047 (1/27/2011)


The Official Journal of the EU is the source of most documents in EUR-Lex, which contains legislation, international agreements, preparatory acts and parliamentary questions as well as the judgments of the European Court of Justice and of the Court of First Instance, the opinions of the Advocates-General, the Commission documents, the collection of consolidated legislative texts and the texts of the Treaties of the European Communities and later the European Union. EUR-Lex’s “...includes some 467000 references in several languages, and 2815000 texts in total.” (http://eur-lex.europa.eu/en/tools/faq.htm#2.1 last visited 2/3/2001) The oldest documents go back to the founding of the European Coal and Steel Community in 1951.

2.2.1.2. Paper

2.2.1.3. Court of Justice of the European Communities, Reports of Cases before the Court (1983-98). Location: LAW Stacks KJE924.5.R47.

This is an excellent, comprehensive description of all aspects of the Court’s organization and operation.

2.2.2. European Free Trade Association Court, http://www.eftacourt.int (last visited 1/25/2011)

The EFTA performs a function similar to that of the EU for the states that were left out of the EU: Iceland, Norway, Lichtenstein, and Switzerland. Its Court performs functions similar to that of the ECJ. It began its work, which is the interpretation and application of the European Economic Area Agreement, in 1994. The horizontal bar just below the banner lists the major divisions of their website: Court, Cases, News, Contact and Links. The section on the Court includes an introduction, ESA/Court Agreement, members – staff, procedures, and publications. The ESA is the European Surveillance Authority. It appears to be something like a department of justice. It appears to act in some ways as an administrative agency that can issue decisions and guidelines, make recommendations, and encourage cooperation and the sharing of information. Cases is a list of all the cases including both pending and decided of the Court. Each entry for decided cases includes the judgment of the court and the report of the hearing.

2.3. Africa

There are a number of courts of regional organizations in Africa, but only the African Court of Justice has built up a significant jurisprudence. The first of the two items listed below is a guide to all of the international courts in African; the second is for the African Court of Justice.


This organization is part of the Project on International Courts & Tribunals discussed at the very beginning of this guide.

2.3.2. The African Court of Justice

This court is the judicial arm of the African Union. It has both contentious and advisory jurisdiction over the interpretation and application of the Constitutive Act of the Union; issues of international law; disputes that arise under treaties and subsidiary legal instruments adopted under the Union’s auspices; disputes that concern any of the Union’s organs; disputes that arise under any other agreements that States Parties may conclude among themselves or with the Union and which confer jurisdiction on the Court; any breach of an obligation owed to a State Party or to the Union; disputes concerning the nature or extent of the reparation to be made for the breach of an obligation. Cases can be submitted by “(a) States Parties to this Protocol; (b) The Assembly, the Parliament and other organs of the Union authorised by the Assembly; (c) The Commission or a member of staff of the Commission in a dispute between them within the limits and under the conditions laid down in the Staff Rules and Regulations of the Union; (d) Third Parties under conditions to be determined by the Assembly and with the consent of the State Party concerned.” (Art. 18, Protocol Of The Court Of Justice Of The African Union,
2.4. Latin America

2.4.1. Organization of American States

The OAS has no court of general jurisdiction. Members of the OAS are obligated to use pacific means of settlement first, submission of a dispute to the ICJ, and finally submission to the UN Security Council. Any peaceful method of dispute settlement on which the parties agree may be used regardless of the priorities of the Organization. OAS dispute settlement is governed by the American Treaty on Pacific Settlement "Pact Of Bogotá" April 30, 1948 (http://www.oas.org/juridico/english/treaties/a-42.html (last visited 1/24/2011)). It recognizes the following means of settlement: good offices; mediation; investigation; conciliation; and judicial procedure including arbitration. All states parties to this treaty accept the compulsory jurisdiction of the ICJ. It is in force for 15 out of 35 states. The OAS has also formalized cooperation among its members through treaties that cover areas such as criminal law, evidence, sentences, extradition, economic development, and international commercial arbitration.

2.4.2. The Court of Justice of the Andean Community (Tribunal de Justicia de la Comunidad Andina (TJAC)), http://www.tribunalandino.org.ec (last visited 1/25/2011)

2.4.3. Central American Court of Justice (CACJ), Corte Centroamericana de Justicia (CCJ), http://portal.ccj.org.ni/ccj2 (last visited 1/25/2011)

This Court is an organ of the Central American Integration System (SICA), http://www.sica.int/index_en.aspx (last visited 1/25/2011)

3. ARBITRATION

Arbitral tribunals are created by agreements called *compromis*, which clarify the identity of the parties, the jurisdiction of the tribunal over both persons and subject matter, the method of selecting the tribunal, the parties’ commitment to carry out in good faith the decision of the arbitrator. This section has two lists. The first contains the sources of the major codes of the rules of arbitration. The second contains the major organizations that effect arbitration that has included environmental topics in the past.

3.1. Rules of Arbitration


3.1.4. Statute of the Permanent Court of International Justice (adopted 16 December 1920, entered into force 20 August 1921) 6 LNTS 389.


3.2. Organizations that provide a framework for arbitration


The PCA was established by the Convention for the Pacific Settlement of International Disputes in 1899. It describes itself not as a court per se, but as a "permanent framework for arbitral tribunals constituted to resolve specific disputes." (http://www.pca-cpa.org/showpage.asp?pag_id=1039 (last visited 1/28/2011)) "[It] has a three-part organizational structure consisting of an Administrative Council that oversees its policies and budgets, a panel of independent potential arbitrators known as the Members of the Court, and its Secretariat, known as the International Bureau, headed by the Secretary-General." (http://www.pca-cpa.org/showpage.asp?pag_id=1039 (last visited 1/28/2011)) In addition to arbitration, the PCA also supports conciliation and fact-finding. It accepts claims from states, private parties, state entities, and intergovernmental organizations. Under the UNCITRAL Arbitration Rules the PCA’s Secretary-General designates the appointing authority when a party for arbitration requests it. The PCA has recently expanded its ability to arbitrate environmental cases. It has adopted two new sets of rules on environmental arbitration and conciliation and has created an environmental section that has a list of arbitrators with a specialization in international environmental law and a list of environmental scientists who can act as expert witnesses.
3.2.1.1. Pending Cases, \url{http://www.pca-cpa.org/showpage.asp?pag_id=1145} (last visited 1/30/2011)

3.2.1.2. Past Cases, \url{http://www.pca-cpa.org/showpage.asp?pag_id=1146} (last visited 1/30/2011)

3.2.1.3. Treaties & Agreements referring to the PCA, \url{http://www.pca-cpa.org/showpage.asp?pag_id=1068} (last visited 1/30/2011)

3.2.1.4. Basic Documents, \url{http://www.pca-cpa.org/showpage.asp?pag_id=1067} (last visited 1/30/2011)

3.2.1.5. Environmental Dispute Resolution, \url{http://www.pca-cpa.org/showpage.asp?pag_id=1058} (last visited 1/30/2011)

3.2.1.6. Optional Rules for Arbitration of Disputes Relating to Natural Resources and/or the Environment, \url{http://www.pca-cpa.org/upload/files/ENVIRONMENTAL.pdf} (last visited 1/30/2011)

3.2.1.7. Optional Rules for Conciliation of Disputes Relating to Natural Resources and/or the Environment, \url{http://www.pca-cpa.org/upload/files/ENVIRONMENTAL%281%29.pdf} (last visited 2/4/2011)

3.2.2. International Centre for Settlement of Investment Disputes, (ICSID), \url{http://icsid.worldbank.org/ICSID/Index.jsp} (last visited Dec. 22, 2010)

This organization was created in 1966 under the International Convention for the Settlement of Investment Disputes (ICSID Convention). It is affiliated with the International Bank for Reconstruction and Development (IBRD), which is a major division of the World Bank Group. Like the PCA above, it is also a "permanent framework for arbitral tribunals." It has an Administrative Council that governs the organization and is made up of one representative of each party to the ICSID Convention. The President of the World Bank is the \textit{ex officio} Chair of the Council. The Centre also has a Secretariat to manage its continuing affairs. The Centre also has Panels of Arbitrators and Conciliators. The arbitration and conciliation is not carried out by the Centre itself; the arbitral tribunals and conciliation commissions are \textit{ad hoc}. Parties must be a state that is a party to the ICSID Convention and an investor whose country is also a party to the Convention. Although awards are only published with the consent of both parties, the Secretary-General must “publish information about the existence and progress of pending cases....Since 2006 the Centre is under an obligation to publish excerpts of the legal reasoning of each award.” (Christoph Schreuer, \textit{International Centre for Settlement of Investment Disputes}, in Max Plank Encyclopedia of Public International Law (2010), at ¶51)


3.2.2.5. Search Online Decisions & Awards, [http://icsid.worldbank.org/ICSID/FrontServlet?requestType=CasesRH&reqFrom=Main&actionVal=OnlineAward](http://icsid.worldbank.org/ICSID/FrontServlet?requestType=CasesRH&reqFrom=Main&actionVal=OnlineAward) (last visited 1/27/2011)

3.2.3. World Trade Organization (WTO) [http://www.wto.org](http://www.wto.org) (last visited 1/27/2011)

The WTO was created in 1995 to provide a forum for the negotiation of agreements to regulate trade, to resolve disputes among members, and to impose sanctions. Its highest authority is the Ministerial Conference, which must meet at least once every two years. The Ministerial Conference can make decisions on any topic that the WTO may address. Below it is the General Council, which “acts on behalf of the Ministerial Conference on all WTO affairs.” It meets as itself, as the Dispute Settlement Body, and as the Trade Policy Review Body “to oversee procedures for settling disputes between members and to analyse members’ trade policies."

3.2.3.1. Online


3.2.3.1.1. WTO Legal Texts, [http://www.wto.org/english/docs_e/legal_e/legal_e.htm](http://www.wto.org/english/docs_e/legal_e/legal_e.htm) (1/27/2011)

3.2.3.1.2. Dispute Settlement Documents, [http://www.wto.org/english/tratop_e/dispu_e/dispu_e.htm](http://www.wto.org/english/tratop_e/dispu_e/dispu_e.htm) (1/27/2011)

This page is long and contains the following links: 1) Introduction to dispute settlement in the WTO 2) The Legal Basis, including the rules and procedures for settling disputes 3) The Dispute Settlement Body 4) The Appellate Body 5) The Disputes, which includes links to a search utility and lists by date, agreement, country, status, short title, and subject.

3.2.3.2. Paper

3.2.3.2.1. To locate WTO documents at UC do an author search in UCLID on World Trade Organization. Although we have only a handful of them, they are well selected. Among them are the following:


4. COLLECTIVE SOURCES

These are sources that give news and reprint primary documents from a variety of sources.


This is a subscription database that can only be accessed from a UC computer or through UC's virtual personal network (sslvpn). It includes news, treaties, opinions, other primary sources, and analysis for IGOs, NGOs, governments, and private organizations on a list of topics too long to reproduce here. It has special sections on hot topics, latest developments, recent topics, countries, world regions, and international organizations. It is updated continually and the International Environment Daily has ceased publication. It's an excellent place to look for a topic for a paper or to begin your reading for a paper. It should be used to locate sources, but should only be cited if the original source cannot be located.


The Editorial Note says that the ILR "...endeavour[s] to provide within a single series of volumes comprehensive access in English to judicial materials bearing on public international law." It tries to publish "...the available decisions of every international tribunal and...all national jurisdictions which have some bearing on international law...," including a significant number of decisions on environmental topics. In the early years it published only a summary of the facts and the holding of each case. Now it publishes whole judgments except parts that have nothing to do with public international law. At the end of each case is a citation to the original source of the text of the judgment. This is an authoritative source and may be cited.

This series reprints selected judicial, legislative, and administrative materials of all types of both international and municipal bodies. It is available on Lexis in full text. This is an authoritative source and may be cited.


This one volume is a guide to 79 cases and advisory opinions of the PCIJ and 98 cases and 23 advisory opinions of the ICJ. Although most of the cases have final judgments, a few are still not complete. It gives a long list of types of information in each entry, e.g., title, citation, claim, grounds for jurisdiction, list of rules involved, dates of oral argument, and judgment.

5. PROFESSIONAL ORGANIZATIONS


The "Resources" section of this website has subdivisions on journals (full-text), service providers, and conventions & treaties (full-text).


There are few resources on this site, but it is an important organization and it has an International Centre for Dispute Resolution.


This site has a highly developed section of links that has subdivisions on treaties and conventions on arbitration, related treaties, conventions and principles, national arbitration laws, international and regional arbitral and adr institutions, national arbitral and adr institutions, young arbitration practitioners, other organizations, and arbitration resources online.