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Foreword

Conflict is an inevitable part of doing business. Alternative dispute resolution (ADR) processes, understood here to include mediation, expert determination and arbitration, were developed to provide practical justice for a wide range of disputes outside the courts.

This Guide is designed to provide an overview of ADR processes for intellectual property disputes, as well of the experience of the World Intellectual Property Organization Arbitration and Mediation Center (WIPO Center) in the context of public ADR programs, and to present options for interested Intellectual Property and Copyright Offices (IPOs), courts and other bodies (before which intellectual property disputes are adjudicated) to promote and integrate ADR processes into their existing services.

As such, without purporting in any way to be authoritative or prescriptive, this Guide is intended to serve as a practical primer for IPOs, courts and other bodies considering the development, implementation and/or improvement of ADR programs directed at intellectual property disputes.

To this end, Chapter One offers background information concerning the early use and rise of ADR around the world, followed in Chapter Two by a description of potential advantages of ADR for intellectual property disputes. Chapter Three explains in more detail the different ADR procedures that may be used in intellectual property disputes, while Chapter Four outlines some practical considerations that may be relevant for IPOs and courts that wish to institutionalize such ADR procedures. For the substantive and procedural implementation of such procedures, the Guide identifies as a core element the interface with existing regulations.

The Appendices to the Guide include an overview of the WIPO Center's collaborations with IPOs, as well as related model documents that may serve as illustration. A further Appendix contains a sample information document for possible court referral of intellectual property disputes to ADR.

Generally speaking, the use of ADR in intellectual property disputes in the context of IPO or court proceedings is a relatively recent development. This second edition of the Guide aims to capture the WIPO Center's growing experience in this area. It is hoped that the Guide will prove a useful reference for IPOs and courts that wish to explore or further develop the integration of ADR mechanisms as an optional alternative to their administrative or judicial proceedings.

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Chapter One: Historical Background

1.1. Origins and Early Uses of ADR

1.1.1 Mediation

Mediation is an informal procedure in which a neutral intermediary, the mediator, assists the parties in reaching a settlement of their dispute, based on their respective interests, as further explained in Chapter 3.3. It has its roots in traditional community practices found in countries around the world. These early mediation practices generally relied on a respected community leader, who would provide guidance based on community values and persuade the disputing parties to amicably resolve their differences. Traditional mediation practices have been documented in Albania, Burundi, China, Japan, the Philippines, the Republic of Korea and Singapore.

Mediation also contributed to the development of legal systems in Rome and Anglo-Saxon England. In ancient Rome, a version of judicial mediation appears to have been the preferred means of resolving civil disputes; this approach had an important influence on civil procedure in continental Europe, particularly in Austria, Germany and Switzerland. In Anglo-Saxon England, judges and arbitrators encouraged parties to negotiate settlement agreements after issuing their judgment on the merits, but before the judgment was procedurally finalized. Mediation was used in these early legal systems to preserve ongoing relationships between litigants, and to effect peaceful and enduring resolutions to disputes.

1.1.2 Arbitration

Arbitration, explained in more detail in Chapter 3.5, is a procedure in which the parties submit their dispute to one or more chosen arbitrators, for a binding and final decision (award) based on the parties’ respective rights and obligations. Arbitration developed out of the adjudicative process used by merchants to regulate their disputes. Merchants would bring their disputes before a tribunal of fellow merchants, which would render a decision based on customary commercial practices. Although

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6 Joel Lee and Teh Hwee Hwee eds, ibid. 4, 4.
9 Edward Manson, The City of London Chamber of Arbitration (1893) 9 LQR 86, 87.
these private systems of adjudication did not feature formal legal processes, they were considered as credible sources of commercial justice.\textsuperscript{10}

Early arbitration practices have been documented in pre-Islamic Arabia and in medieval Western Europe.\textsuperscript{11} Maritime arbitration was practiced in countries along the Western and Atlantic coasts of Europe in around 1200,\textsuperscript{12} and records of maritime arbitrations dating back to 1229 have been found in Venice.\textsuperscript{13} Arbitration became a popular alternative to litigation for merchants because it was a system of self-regulation that provided quick, economical and informed decisions.\textsuperscript{14}

1.2. Early Institutionalization and Regulation of ADR

1.2.1 Mediation

In countries such as Australia,\textsuperscript{15} New Zealand\textsuperscript{16} and the United States,\textsuperscript{17} mediation services and regulations were established in the early 20\textsuperscript{th} century to address labor disputes. Labor disputes in the late 19\textsuperscript{th} and 20\textsuperscript{th} centuries were often costly, disruptive and even violent. In response, government authorities established labor conciliation services and laws, which enabled the extensive use of mediation between labor unions and employers. These labor conciliation services and laws were successful because they provided the necessary administrative framework to address labor disputes swiftly and peacefully on a hitherto unimagin scale.\textsuperscript{18}

1.2.2 Arbitration

Arbitration institutions and regulations were first formalized in the 18\textsuperscript{th} and 19\textsuperscript{th} centuries to promote and facilitate the use of arbitration. Broadly speaking, arbitration institutions were more successful when arbitration laws that facilitated the enforcement of arbitration agreements and awards were already in place.\textsuperscript{19} For example, arbitration only began to thrive in the United States after the United States Arbitration Act was enacted in 1925, even though arbitration institutions had been established as early as in 1768.\textsuperscript{20} In the United Kingdom, arbitration legislation was first enacted in 1698 and culminated in the Arbitration Act of 1889. Arbitration prospered under the auspices of this legislative regime,\textsuperscript{21} even though arbitration institutions were not established until 1892.\textsuperscript{22}
While enabling laws are critical to the development of arbitration, arbitration institutions can themselves play an important role in the enactment and promotion of these laws. In 1923, the International Court of Arbitration of the International Chamber of Commerce was established to provide an arbitration institution with a sufficiently “international” character for the fledgling international arbitration industry.\(^\text{23}\) Subsequently, the International Court of Arbitration played a major role in the promulgation of the 1958 Convention on the Recognition and Enforcement of Foreign Arbitral Awards (New York Convention), which is widely considered as the most important multilateral treaty on international arbitration.\(^\text{24}\)

### 1.3. Rise of ADR around the World

#### 1.3.1 Growth of ADR as an Alternative to Litigation

The ADR ‘boom’ in the 1970s and 1980s was spurred in large part by a rising dissatisfaction with litigation.\(^\text{25}\) Aside from being exorbitant, time-consuming and acrimonious, it was evident that litigation could also be an enormous gamble.\(^\text{26}\) Further, there was an apprehension, particularly among some academics and legal practitioners of the advent of a “litigation explosion”, where overly-litigious societies would overwhelm courts with unnecessary and costly lawsuits.\(^\text{27}\)

These concerns led Professor Frank Sander to develop the concept of the “multi-door courthouse”, which he presented at the 1976 Pound Conference. The “multi-door courthouse” would provide a range of dispute resolution services and court officials would refer parties to the most appropriate process for their case. Mediation and arbitration would play key roles in the “multi-door courthouse” as alternatives to litigation.\(^\text{28}\)

Professor Sander’s presentation is widely regarded as a “big bang” moment in the global ADR movement for three reasons. Firstly, it popularized the idea that disputes should be channeled into the most appropriate dispute resolution mechanism. Secondly, it promoted the advantages of alternatives to litigation, such as mediation and arbitration.\(^\text{29}\) Finally, the “multi-door courthouse” proved to be an effective mechanism for facilitating access to ADR services and traditional court processes. Following the Pound Conference, “multi-door courthouses” were implemented in the United States,\(^\text{30}\) and their

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\(^\text{24}\) Alan Redfern, M Hunter et. al., ibid. 11, 1-05.


success spurred the establishment of similar initiatives in for example Australia,\textsuperscript{31} Canada,\textsuperscript{32} the Netherlands,\textsuperscript{33} Nigeria\textsuperscript{34} and Singapore.\textsuperscript{35}

1.3.2 Globalization of ADR

Since the 1980s, ADR has achieved an unprecedented prominence in the international community, and ADR programs have proliferated on a global scale.\textsuperscript{36} The attractive force of ADR can be attributed to the simple fact that it has something for everyone: an additional channel for the provision of access to justice, thereby offering administrative relief for the courts and public agencies; a potentially quick, inexpensive and flexible avenue to resolve disputes; and a growth industry and an increasingly profitable business for ADR practitioners and institutions.\textsuperscript{37}

Broadly speaking, ADR programs have been developed by courts and legal agencies to complement and support legal processes.\textsuperscript{38} By channeling appropriate disputes into ADR processes, “multi-door courthouses” reduce backlog, accelerate case disposition and facilitate access to justice by reducing economic and procedural obstacles to resolving disputes.\textsuperscript{39} Court-connected ADR programs also place courts in a better position to address disputes that are ill-suited to adversarial litigation.\textsuperscript{40} For example, family courts were early adopters of mediation programs because of the emotional and interpersonal characteristics of family disputes.\textsuperscript{41}

Beyond judicial efforts, the growth of ADR has been driven by a strong demand from the international business community. ADR processes are appropriate for businesses because they can provide time and cost savings, as well as commercially useful outcomes: arbitration awards are generally internationally enforceable\textsuperscript{42} and final,\textsuperscript{43} while mediation enables the formulation of settlements which


\textsuperscript{32} Trevor CW Farrow, ‘Civil Justice, Privatization and Democracy’ (University of Toronto Press 2014) 73.


\textsuperscript{38} Larry Ray and Anne L Clare, ‘The Multi-Door Courthouse Idea - Building the Courthouse of the Future Today’ (1985) 1 Ohio St J on Disp Resol 7, 12.


\textsuperscript{40} Amber Murphy Parris, ‘Alternative Dispute Resolution: The Final Frontier of the Legal Profession’ (2013) 37 J Legal Prof 295, 302.

\textsuperscript{41} Benoit Bastard and Laura Cardia-Voneche, ‘Family Mediation in France’ (1993) 7 Int’l J L & Fam 271, 277.

\textsuperscript{42} Under the New York Convention, contracting states are generally obligated to recognize and enforce foreign arbitral awards on par with domestic court judgments. As of September 2018, there are 159
address the parties' interests. Unsurprisingly, ADR is widely used by major corporations as a preferred alternative to litigation for commercial disputes. This preference for ADR is often reflected in commercial contracts, where clauses that require parties to submit disputes to mediation or arbitration before engaging in litigation are becoming increasingly popular.

The rise of commercial ADR has fuelled its development as a professional service industry, with institutions and practitioners competing for a slice of a growing international market. ADR institutions have enjoyed significant growth in the volume and monetary value of disputes, and ADR practitioners count among their ranks leading experts in diverse fields such as law, business, construction and technology. ADR has evolved from being a mere alternative to litigation, to being a valuable industry in its own right.

1.3.3 General Trends and Landscape

Current developments in ADR have centered on the use of ADR in international commercial and investment disputes. Commercial disputes are progressively acquiring international dimensions due to globalization and transnational trade, and bilateral investment treaties have become fertile ground for investor-state disputes.


Arbitral awards are generally not subject to appeal or review on the merits by national courts. See Trevor Cook and Alejandro I García, ‘International Property Arbitration’ (Kluwer Law International 2010) 38.


International ADR is well-suited for cross-border disputes because it provides a single and neutral forum for settlement; international arbitration has been particularly attractive because of its finality and general ease of international enforcement. Due to the value and complexity of international commercial disputes, with millions and even billions of dollars at stake, international ADR has become an industry of significant importance. As a result, places such as Dubai, Hong Kong, Singapore, and the Republic of Korea are establishing themselves as international ADR hubs by providing comprehensive ADR services and ADR-friendly legal infrastructure. With these developments, international ADR is unlikely to be a passing trend, but a serious and long-term movement.

1.4. Development of ADR in Intellectual Property Disputes

1.4.1 Early Uses and Regulations

The use of ADR for intellectual property disputes dates back to the 19th century. In Sweden, an 1834 royal ordinance mandated arbitration for oppositions to patent registrations, and legal practitioners in the United Kingdom recommended arbitration for patent disputes in as early as 1855. In the United States, arbitration was used in the early 20th century for claims arising from design registration, as

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56 John Coryton, ‘A Treatise on the law of letters-patent, for the sole use of Inventions in the United Kingdom of Great Britain and Ireland: including the practice connected with the grant: to which is added a summary of the patent laws in force in the principal foreign states; with an appendix of statutes, rules, practical forms, etc.’ (1855) 87 Law Libr 206.
57 The Common Law Procedure Act 1854 permitted disputes to be referred to arbitration after trial had commenced with consent of both parties. Coryton recommended arbitration for patent infringements due to the arbitrator’s expert subject matter knowledge in the area. See John Coryton, ‘A treatise on the law of letters-patent, for the sole use of inventions in the United Kingdom of Great Britain and Ireland; including the practice connected with the grant: to which is added a summary of the patent laws in force in the principal foreign states; with an appendix of statutes, rules, practical forms, etc.’ (1855) 87 Law Libr 196-198.
58 In 1928, the Industrial Design of Registration Bureau established as registration system for designs. Users of the Bureau had to subscribe to arbitration agreement requiring them to submit claims or disputes arising from registration of designs to arbitration. See Irene Blunt, ‘The Marketing of Ideas’ (1943) 1 Arb in Action 8.
well as patent disputes in the aircraft industry. However, despite these early examples, ADR was not widely used for intellectual property disputes even up to the late 20th century.

1.4.2 The WIPO Center

Founded in 1967, WIPO is an agency of the United Nations which aims to promote the protection of intellectual property through cooperation among States. Within this larger framework, the WIPO Center was established in 1994 as a neutral, independent and non-profit dispute resolution provider. It is the only international provider of specialized ADR services for intellectual property disputes, and is the leading institution in the administration of Internet domain name disputes.

The WIPO Center administers mediation, arbitration, expedited arbitration and expert determination procedures conducted under the WIPO Rules. As of 2018, more than 560 cases with values ranging from USD 20,000 to several hundred million USD have been administered by the WIPO Center. WIPO ADR services have been used by businesses of all sizes and research organizations from more than 60 countries. Additionally, the WIPO Center collaborates with IPOs to raise awareness of the advantages offered by ADR to resolve intellectual property and technology disputes outside the courts. The WIPO Center also has assisted the establishment of joint dispute resolution procedures by IPOs, for example, in Colombia, the Philippines, Singapore, the Republic of Korea and Poland to facilitate the use of ADR processes for disputes administered by these IPOs. The WIPO Center has also developed tailor-made dispute resolution procedures for specific industries, and provides training programs for mediators and arbitrators. With its extensive network of intellectual property and ADR experts, and WIPO’s international neutrality, the WIPO Center stands at the forefront of ADR for intellectual property disputes.

65 This service includes the WIPO-initiated Uniform Domain Name Dispute Resolution Policy (UDRP), under which the WIPO Center has processed over 41,523 cases. World Intellectual Property Organization Arbitration and Mediation Center ‘Domain Name Dispute Resolution’ http://www.wipo.int/amc/en/domains/, accessed September 2018.
66 Including Algeria, Australia, Austria, Belgium, Belize, Brazil, Canada, China, Colombia, Cyprus, Denmark, Finland, France, Germany, Greece, Hungary, India, Indonesia, Ireland, Israel, Italy, Japan, Lebanon, Malaysia, Malta, Mexico, Morocco, Netherlands, Nigeria, Norway, Panama, Philippines, Poland, Portugal, Republic of Korea, Romania, Russian Federation, Singapore, Spain, Switzerland, Trinidad and Tobago, Tunisia, Turkey, United Arab Emirates, United Kingdom and United States of America.
68 A list of ADR services provided by the WIPO Center for specific sectors is provided in Appendix B.4 and available at ‘WIPO Alternative Dispute Resolution (ADR) Services for Specific Sectors’ http://www.wipo.int/amc/en/center/specific-sectors/, accessed September 2018.
Chapter Two: Advantages of ADR in Intellectual Property Disputes

2.1 Party Autonomy

Intellectual property disputes have distinctive characteristics: they often span multiple jurisdictions and involve highly technical matters, complex laws and sensitive information. Naturally, parties will want a dispute resolution process that can be tailored to address these distinctive characteristics. However, litigation can be a highly inflexible mechanism that is constrained by complex laws, and parties rarely have the discretion to adapt the process to their dispute.\(^{70}\)

In contrast, ADR gives parties the freedom to customize their dispute resolution process in a single forum.\(^{71}\) Parties can choose the ADR process best suited to their dispute: mediation, arbitration and expert determination are all possible options.\(^{72}\) Parties can agree to meet at a neutral location, submit to a neutral expert of their choosing, and abide by rules and procedures that they have modified to meet their needs.\(^{73}\) Some ADR processes, such as mediation, even allow parties to craft outcomes that address their specific interests.\(^{74}\) Party autonomy is the guiding principle of ADR, and is manifested in its many advantages.

2.2 Single Process; Jurisdictional Neutrality

As intellectual property rights are territorial in nature, they can simultaneously exist as separate pieces of property under distinct domestic laws in multiple jurisdictions, despite the operation of international treaties\(^{76}\) that harmonize the subsistence or registration of intellectual property rights, such as copyright, trademarks and patents across signatory countries. The rise in cross-border trade and the international exploitation of intellectual property mean that disputes involving intellectual property are likely to impact across multiple jurisdictions.\(^{77}\)

In the litigation of intellectual property disputes involving multiple jurisdictions, parties might be compelled to take out separate proceedings in those jurisdictions to address or enforce intellectual property rights existing under each of them.\(^{78}\) As a result, such proceedings may be potentially subject to complex conflict of laws considerations. In contrast, ADR allows multiple issues and rights arising under different jurisdictions to be addressed in a single process, such as arbitration and mediation,


\(^{72}\) Ignacio de Castro and Panagiotis Chalkias, ibid. 71, 1061.

\(^{73}\) Trevor Cook and Alejandro I Garcia, ibid. 43, 27.


\(^{75}\) Trevor Cook and Alejandro I Garcia, ibid. 43, 27; Alan Redfern, M Hunter et. al., ibid. 11, para 6 – 03.


\(^{78}\) Voda v Cordis Corporation, No. 05-1238 (Fed. Cir., Feb. 1, 2007).
which leads to a binding award or settlement. ADR is also useful when multiple court actions are litigated in the same country.  

Parties in cross-border disputes also value jurisdictional neutrality; neither is likely to want the dispute tried in the opposing party’s country. ADR processes enable such jurisdictional neutrality over domestic courts because they provide a neutral forum for dispute resolution. Parties can choose an ADR neutral who is not based in the same jurisdiction as the parties, use neutral law to govern the dispute, and agree on a neutral location. ADR rules, such as those established by the WIPO Center, are also neutral to the law, language and culture of the parties. Jurisdictional neutrality gives ADR processes a clear advantage over litigation for cross-border intellectual property disputes.

2.3 Independent Specialized Expertise

Intellectual property disputes can involve highly technical scientific matters and complex legal issues, but not every country has specialized intellectual property courts or judges. Thus, when judges and juries lack the necessary expertise to fully comprehend the complex factual, technical and legal issues at stake, considerable time and resources may be required to present the relevant technologies and laws to them.

ADR processes allow parties to choose a neutral with specialized expertise to act as a decision-maker, or a facilitator. Experts in law, technology or specific industries can be appointed as neutrals; parties also have the ability to appoint a panel of experts with expertise in different areas of the dispute. Expert neutrals can use their knowledge and experience to provide guidance during the ADR process, and to craft a satisfying resolution for the dispute. When capable experts are appointed, ADR processes offer benefits that would be otherwise unavailable through litigation.

2.4 Simplicity; Flexibility

ADR processes are procedurally simple and flexible when compared to litigation. ADR gives parties the freedom to agree on the conduct of the proceedings, and select appropriate procedural rules. For example, parties can place limits on the amount of survey evidence admitted for trademark disputes, and even choose the extent to which certain rules of evidence are to apply, if at all.

80 Susan Blake, Julie Browne and Stuart Sime, ‘A Practical Approach to Alternative Dispute Resolution’ (Oxford University Press 2012) 18.76.
81 Trevor Cook and Alejandro I Garcia, ibid. 43, 27.
82 Trevor Cook and Alejandro I Garcia, ibid. 43, 29.
83 Julia A Martin, ibid. 77, 932.
84 David Allen Bernstein, ibid. 74, 154–155.
87 Trevor Cook and Alejandro I Garcia, ibid. 43, 30.
88 Trevor Cook and Alejandro I Garcia, ibid. 43, 30.
89 Trevor Cook and Alejandro I Garcia, ibid. 43, 30 – 31.
90 David Allen Bernstein, ibid. 74, 156.
Furthermore, ADR processes can provide a straightforward mechanism for resolving legally complex intellectual property disputes. For example, mediation focuses on the parties’ motivations and interests, not necessarily their strict legal positions. This helps the parties concentrate on their shared interests instead of legal rights and wrongs, which facilitates the creation of a satisfying settlement. While this approach does not eliminate the legal complexities of the dispute, a mediator with the relevant legal and/or subject matter expertise and experience can provide appropriate assistance and support.

2.5 Time Savings

Legal proceedings are often time-consuming, which can have an adverse effect on intellectual property rights. Intellectual property rights of limited duration, such as patents, may expire before a final judgment can be rendered. In any case, market forces affect the profitable lifespans of intellectual property rights: patented products can be rapidly rendered obsolete, and trademarks can be time-sensitive if they represent products with short life cycles.

The many advantages of ADR translate into substantial time savings. ADR allows parties to avoid overloaded courts and duplicative litigation at home, and in other jurisdictions. Expert neutrals do not require time-consuming explanations of the technical and legal issues at stake, and the stated flexibility and simplicity allow disputes to be swiftly resolved, especially when lengthy evidential procedures are simplified.

2.6 Cost Savings

Intellectual property litigation can be an expensive affair, especially if appeals and foreign litigation are involved. The prohibitive cost of legal proceedings in some jurisdictions can make it difficult for individuals or small businesses to enforce their rights, or defend themselves in intellectual property claims by or against larger entities.


Julia A Martin, ibid. 77, 928.

Julia A Martin, ibid. 77, 925 – 927.

David Allen Bernstein, ibid. 74, 156.

In comparison to litigation, ADR offers an affordable and accessible avenue for parties to resolve their disputes. The many advantages of ADR provide significant cost savings, because parties can avoid expensive litigation at home and abroad, use expert neutrals who can delve straight into complex intellectual property issues, and dispense with complicated and formalistic procedures. The time savings provided by ADR naturally translate into cost savings as well.  

### 2.7 Confidentiality

Confidentiality is often of critical importance in intellectual property disputes. Thus, parties may balk at court proceedings when trade secrets or proprietary information, such as experimental results from research and development, are involved. Litigation and the discovery process can force the public disclosure of such sensitive information, which can irreversibly damage the parties’ business prospects.

Confidentiality is a key advantage of ADR because it allows the parties to effectively control disclosures and access to sensitive information. Proprietary information can be kept confidential through agreements between the parties, and arbitrators can issue protective orders to prevent parties from accessing confidential documents. Furthermore, unlike litigation, the entire ADR process and its outcome can be kept confidential, which can be advantageous for parties who wish to preserve their business reputations and relationships.

### 2.8 Finality

Generally, ADR processes can deliver binding outcomes that provide a certain and conclusive resolution to the dispute. This finality is a clear advantage for ADR, as the complexities of intellectual property litigation can make outcomes uncertain. Legal judgments can be overturned on appeal, and lay jurors that lack technical expertise may make incorrect decisions.

In contrast, arbitral awards are designed to be final and conclusive, and those appeals that are filed are rarely successful. Courts are generally reluctant to hear appeals or judicial reviews on the merits of arbitral awards because this would subvert the parties’ original intention to avoid court litigation. When applied to intellectual property disputes, the finality of arbitration gives parties a conclusive decision on the validity and extent of their intellectual property rights.

Other ADR processes can benefit from the finality of arbitral awards. For example, mediation settlements are usually contractual arrangements that can be subject to future litigation. To avoid such...

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97 Jesse S Bennett, ibid. 61, 396 – 398.
98 Jesse S Bennett, ibid. 61, 396.
100 Susan Corbett, ibid. 79, 62.
101 Trevor Cook and Alejandro I Garcia, ibid. 43, 47.
102 Jesse S Bennett, ibid. 61, 396.
103 In an expedited arbitration administered by the WIPO Center, the arbitrator issued a protective order pursuant to the WIPO Expedited Arbitration Rules to prevent the claimant from accessing certain confidential documents disclosing the respondent’s business secrets. See Ignacio de Castro and Panagiotis Chalkias, ibid. 71, 1069 – 1070.
104 Susan Corbett, ibid. 79, 65.
105 Kevin M Lemley, ibid. 26, 340.
106 Sarah Tran, ibid. 86, 316.
107 Trevor Cook and Alejandro I Garcia, ibid. 43, 31.
108 Trevor Cook and Alejandro I Garcia, ibid. 43, 46.
issues, parties can use a hybrid ADR process such as Med-Arb,\textsuperscript{109} or appoint their mediator as an arbitrator, in order to record their mediation settlement in a consent award.\textsuperscript{110}

\subsection*{2.9 Enforceability}

ADR processes that provide internationally enforceable outcomes are useful for cross-border intellectual property disputes.\textsuperscript{111} Arbitration has been particularly popular for such disputes because the New York Convention allows arbitral awards to be enforced in most countries around the world.\textsuperscript{112} While the issue of arbitrability of intellectual property disputes has been the subject mainly of academic commentary, the caseload of leading arbitral institutions and the laws and court jurisprudence in many countries confirm that parties can validly submit intellectual property disputes to arbitration with effect between the parties.\textsuperscript{113}

Mediation settlements, as contractual arrangements, can also bind parties from different jurisdictions.\textsuperscript{114}

\subsection*{2.10 Diverse Solutions}

Litigation normally offers parties a limited range of specific legal remedies. While parties can apply for monetary damages, injunctions, specific performance and other such remedies, such solutions tend to be “win-or-lose” and granted based on considerations of strict legal merits or otherwise at the court’s discretion. Parties do not have the discretion to craft their own solutions, or instruct the court to deliver its decision within specified parameters.\textsuperscript{115}

Mediation gives parties the opportunity to negotiate win-win or other creative solutions that satisfy their interests.\textsuperscript{116} For example, parties can agree to share the intellectual property rights in dispute through licenses or consent to use agreements, or indeed address or determine non-intellectual property issues in the resolution of an intellectual property dispute. Such mutually beneficial outcomes allow parties to preserve existing business relationships, or forge new ones.\textsuperscript{117}

In arbitration, the substance of the arbitral award is determined by the arbitral tribunal. However, parties can agree on the scope and limits of the arbitration. For example, parties can agree to

\begin{itemize}
\item \textsuperscript{109} See 3.5.1(i) below.
\item \textsuperscript{110} Nadja Alexander, ‘International Comparative Mediation: Legal Perspectives’ (Kluwer Law International 2009), 312.
\item \textsuperscript{111} Working Group II (Arbitration and Conciliation), ‘Planned and possible future work – Part III’ (United Nations Commission on International Trade Law, June 2, 2014).
\item \textsuperscript{112} Where courts in contracting states recognize a foreign award under the New York Convention, they frequently treat the award as a domestic court judgment. See Trevor Cook and Alejandro I Garcia, ibid. 43, 312.
\item \textsuperscript{113} Trevor Cook and Alejandro I Garcia, ibid. 43, 49.
\item \textsuperscript{114} The cross-border enforceability of mediation settlements has been enhanced by the European Directive 2008/52 on Certain Aspects of Mediation in Civil and Commercial Matters which requires European Union countries to ensure that it is possible for parties to request that the content of a written agreement resulting from mediation be made enforceable. See Nadja Alexander, ‘Harmonisation and Diversity in the Private International Law of Mediation: The Rhythms of Regulatory Reform’ in Klaus J Hopt and Felix Steffek, ‘Mediation: Principles and Regulation in Comparative Perspective’ (Oxford University Press 2013) 180. An equivalent of the New York Convention for mediation settlements is being developed by the United Nations Commission on International Trade Law, Working Group II (Arbitration and Conciliation) \textsuperscript{115} http://www.uncitral.org/uncitral/commission/working_groups/2Arbitration.html accessed September 2018.
\item \textsuperscript{115} David Allen Bernstein, ibid. 74, 149.
\item \textsuperscript{116} Sarah Tran, ibid. 86, 323.
\item \textsuperscript{117} David Allan Bernstein, ibid. 74, 159.
\end{itemize}
establish limits to the quantum of the award,¹¹⁸ and even specify in the arbitration agreement, a desired time frame by the arbitral tribunal to issue the arbitral award.¹¹⁹ Beyond a final award, parties can petition the arbitral tribunal for interim relief in the form of an injunction, or security for costs.¹²⁰

### 2.11 Specific Advantages for IPOs

ADR provides many benefits for IPOs who choose to offer or promote it as part of their services. By channeling appropriate disputes to ADR, IPOs can reduce case backlog and improve administrative efficiency.¹²¹ Additionally, the promotion of ADR processes will place IPOs in a better position to cater to small businesses or individuals who may not have the resources to litigate or defend intellectual property claims. This can encourage inventors and innovators to seek legal recognition for their creations, which will help to promote the creation of intellectual property.¹²² As ADR processes are also particularly useful for cross-border disputes, they can help IPOs provide stronger support for international businesses, which will facilitate the international exploitation of intellectual property rights.

Thus, by providing and promoting ADR options for intellectual property disputes, the ability of IPOs to create a conducive environment for the creation, protection and exploitation of intellectual property rights will be enhanced. Such ADR services can help IPOs create a business- and innovation-friendly intellectual property infrastructure, and thereby enable them to provide holistic intellectual property-related services.

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¹¹⁸ This is a form of arbitration known as “high-low” or “bracketed” arbitration. It is commonly used when only the quantum of compensation, and not liability, is an issue. If the award falls within the agreed range, the parties are bound by the award. If the award is lower than the agreed minimum amount, then the defendant will pay the agreed minimum, and if the award is higher than the agreed maximum, the defendant will only pay the agreed maximum. The arbitral tribunal will conduct the arbitration without knowing the limits of the agreed range. See John W Cooley and Steven Lubet, “Arbitration Advocacy” (National Institute for Trial Advocacy 2003) 250.

¹¹⁹ Julia A Martin, ibid. 77, 928; but see Alan Redfern, M Hunter et. al., ibid. 11, para 8-68.

¹²⁰ It should be noted that whether the parties should submit an application for interim relief to the arbitral tribunal or a competent judicial authority will depend on the nature of the dispute. The WIPO Arbitration and Expedited Arbitration Rules allow the arbitral tribunal to issue a wide range of interim measures, including injunctions in cases of unfair competition, or in connection with alleged infringements of intellectual property rights. See Ignacio de Castro and Panagiotis Chalkias, ibid. 71, 1071.


Chapter Three: ADR Procedures Used in Intellectual Property Disputes

3.1 General Trends and Landscape

ADR is becoming an increasingly popular option for the resolution of intellectual property disputes. For example, the WIPO Center, which provides support services for ADR proceedings such as mediation, expert determination, arbitration and expedited arbitration, has seen an increase in recent years in the number of intellectual property disputes it has administered. Such disputes spanned a diverse range of legal areas and industries, as illustrated by the following sample charts on WIPO Center mediation and arbitration cases.¹²³

Dispute Areas in WIPO ADR Cases as of April 2018

Certain IPOs also offer services in relation to ADR proceedings before them, sometimes in conjunction with the WIPO Center. Mediation appears to be the most commonly offered ADR service at IPOs, especially in relation to trademark and copyright proceedings; such services are provided for example by IPOs in Colombia,¹²⁴ the Philippines,¹²⁵ Singapore¹²⁶ and the Republic of Korea.¹²⁷ Although arbitration and expert determination services are less frequently offered by IPOs, they nevertheless feature significantly in the landscape of dispute resolution options for intellectual property disputes.

¹²⁴ See Appendix A.3.4.
¹²⁵ See Appendix A.3.2.
¹²⁶ See Appendix A.3.1.
¹²⁷ See Appendix A.3.5 and A.3.6.
3.2 Approaches to ADR

For all the general advantages shared by the different ADR processes, there are in fact markedly different characteristics to each of them. In particular, the level of control that the parties have over the decision-making process and the final outcome will vary significantly across processes. While the different processes can be combined in escalation clauses, generally, ADR processes fall into three main categories:

3.2.1 Assistance-Based

Parties have the greatest control over the decision-making process and the final outcome in an assistance-based ADR process, such as mediation.

In mediation, the mediator's aim is to assist the parties in finding a solution to their dispute. The parties have complete control over the final outcome, and a substantial say in the mediation process. Assistance-based processes are useful when the parties wish to create an outcome that is tailored to their interests.

3.2.2 Recommendation-Based

Relative to mediation, a recommendation-based ADR process gives parties less control over the decision-making process and the final outcome. Non-binding expert determination is an example of a recommendation-based process.

In expert determination, parties submit a specific issue to an expert, who makes a determination on the matters submitted. The parties can agree to accept the neutral's determination as a non-binding recommendation, or as a final and binding decision. Recommendation-based processes are useful for issues such as the determination of royalty amounts, valuation of intellectual property assets and the interpretation of patent claims.

3.2.3 Adjudication-Based

In an adjudication-based ADR process, such as arbitration, parties have a limited degree of control over the decision-making process and the final outcome.

As a point for comparison, parties in litigation (being also adjudication-based) have little to no say in the decision-making process and the final outcome, both of which are determined by the court. In arbitration, even though parties may have some say in the decision-making process, such as in

131 David Allen Bernstein, ibid. 74, 159.
132 Jack Effron, ibid. 129, 482.
135 Karl Mackie and others, ibid. 127.
relation to the scope of the dispute submitted to arbitration or procedural matters, they must accept the final decision made by the arbitral tribunal. Adjudication-based processes are useful when there is a need for a final decision, and the parties are unwilling or unable to negotiate a settlement.

3.3 Mediation

3.3.1 Introduction

Mediation is a process where disputants ask a third party neutral – the mediator – to assist them in negotiating a mutually beneficial solution for their dispute. Mediators aim to help the parties by guiding them towards a shared understanding of their interests and the nature of their dispute. Mediation is a voluntary process, and mediators do not have the power to impose a binding outcome on the parties.

Mediation is especially appropriate for disputes where the parties can benefit from sharing the intellectual property rights in contention, and wish to preserve existing business relationships.

Conciliation can be considered as a variation of mediation, although the understanding of conciliation may vary from country to country. For example, in Japan, “conciliation” is generally used in relation to court-connected mediation, whilst for example in Ireland, the terms “conciliation” and “mediation” are used interchangeably. Nevertheless, conciliation is often used to refer to a process whereby a third party plays a stronger leadership role and exerts a greater influence over the final outcome.

3.3.2 Mediation Agreement

As mediation is a process founded upon party self-determination, there must be an underlying agreement between the parties to submit to mediation. The mediation agreement can be established in advance by an agreement to mediate future disputes under a contract, or by an agreement to refer an existing dispute to mediation. Typically, a mediation agreement provides for the following:

- agreement to submit the stated dispute to mediation
- description of the dispute to be submitted to mediation
- location of the mediation

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136 Jack Effron, ibid. 129, 482.
137 Karl Mackie and others, ibid. 127.
138 Ignacio de Castro and Panagiotis Chalkias, ibid. 71, 1061.
140 Susan Corbett, ibid. 79, 57 – 58.
141 Scott H Blackman and Rebecca McNeill, ibid. 91, 1716.
142 David Allen Bernstein, ibid. 74, 159
145 Klaus J Hopt and Felix Steffek, ibid. 114, 15.
• language to be used in the mediation
• mediation rules applicable to the terms and process of the mediation

To facilitate submission of a dispute to mediation in the absence of a mediation agreement between the parties, the WIPO Center offers the option for a party to submit a unilateral Request for Mediation to the WIPO Center. The WIPO Center may then assist the parties to consider the Request or, upon request, may appoint an external neutral to provide the required assistance. The process has been used successfully by parties in a number of WIPO cases, notably in infringement disputes or in cases pending before the courts.

Mediation rules typically address the following issues:

• manner of appointment of the mediator
• role of the mediator
• conduct of the mediation session(s), including matters such as the opportunity for submission of information and materials by the parties for use in the mediation
• confidentiality, especially with regards to the existence of the mediation, any information disclosed during the mediation and the outcome of the mediation
• grounds on which the mediation may be terminated
• fees payable to the mediator and the ADR institution/service provider (if applicable)
• exclusion of liability of the mediator, and ADR institution/service provider (if applicable)

ADR institutions will normally provide rules for mediation cases that they administer, and parties can amend these rules to address particular aspects of their disputes. Some ADR institutions, such as the WIPO Center, also have in place mediation rules that are designed for particular types of disputes, or disputes arising from specific industries.

3.3.3 Appointment and Role of Mediator

Parties will also need to select and appoint a mediator who is impartial and independent. In an appropriate case and if parties desire, it is possible to appoint two or more co-mediators. For intellectual property disputes, parties may prefer to appoint a mediator who has the appropriate experience and expertise to handle the legal and technical issues involved. ADR institutions can help in the selection and appointment of a mediator by making available information on their panel of mediators.

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148 Article 4 of the WIPO Mediation Rules. See also model form in Appendix B.3.2.
150 Articles 7 - 8, WIPO Mediation Rules.
151 Article 14, WIPO Mediation Rules.
152 Articles 10 - 13, WIPO Mediation Rules.
153 Provisions on confidentiality can also be included in the agreement to mediate. The agreement can also specify that communications made between the parties will be on a ‘without prejudice’ basis such that parties cannot rely on these communications to prove any facts in subsequent litigation or arbitration proceedings. Articles 15 - 16 of the WIPO Mediation Rules also contain provisions on confidentiality.
154 Articles 19 - 21, WIPO Mediation Rules.
155 Articles 22 - 23, WIPO Mediation Rules.
156 Articles 26 – 27, WIPO Mediation Rules.
157 Article 8 of the WIPO Mediation Rules states that a mediator must be neutral, impartial and independent.
mediators whom parties can consider. Alternatively, the parties can appoint a mediator of their own choice.

The mediator’s role is to assist the parties to negotiate a resolution of their dispute, and to manage the mediation process. Every mediator should strive to:

- be impartial, fair and credible
- build trust between the parties and with the mediator
- provide a safe environment for the parties to conduct discussions
- facilitate communication and prevent or address misunderstandings between the parties
- engage the parties in problem solving
- adhere to the rules of the mediation and respect confidentiality

3.3.4 Conduct of Mediation

Following his appointment, the mediator may contact the parties to discuss any preliminary matters, such as the schedule of the mediation and the documents that are to be produced, including a statement from each party setting out his perspective of the dispute. These can help the mediator to gain a better understanding of the case, and prepare for the mediation.

At the beginning of the mediation, the mediator will usually introduce himself and explain the mediation process. The mediator and the parties may then proceed to establish the ground rules for the mediation and indicate that the mediator can meet privately with each party in caucuses.

A key point to establish is that the individuals attending the mediation have full authority to offer or accept any settlement on behalf of the disputing parties respectively. If this is not possible, then the individuals should ensure that they will be able to communicate with the person who has such authority during the mediation.

Depending on the size and complexity of the dispute, the mediation may be completed in a single day, or involve multiple sessions. Generally, a mediation proceeding will involve the following stages:

- **Gathering information** – each party tells his side of the story and presents any prepared statement on this
- **Identifying issues** – the mediator helps the parties to identify the issue(s) in dispute
- **Exploring interests** – the mediator and parties explore the underlying reasons for the respective positions taken by the parties, and their interests in the dispute
- **Developing options** – the mediators and parties develop options that satisfy the parties’ interests and address the issue(s) in dispute
- **Evaluating options** – parties identify possible areas of agreement by evaluating their options based on objective criteria
- **Reaching settlement** – if the parties are able to agree on a settlement, it can be recorded in an agreement during the mediation

159 Article 7(a), WIPO Mediation Rules.
Generally, the majority of mediations result in a settlement. However, even when the parties are unable to settle, mediation can help them gain a better understanding of the dispute, and narrow down the issues in contention.

![Settlement Rate in WIPO Mediations and Arbitrations as of April 2018](image)

### 3.3.5 Enforcement of Mediation Settlement

Typically, a mediation settlement takes the form of a legally binding agreement, so that its enforcement would effectively be the enforcement of the contractual obligations of the parties, and a breach of such obligations may well be further litigated. That said, it should be noted that parties are generally willing to uphold their settlement obligations because they believe that the agreement accords with their interests.\(^{161}\)

Under the laws of some jurisdictions, mediation settlements can be enforced as court judgments, which provide a further measure of finality.\(^{162}\)

### 3.3.6 Administration of Mediation

Mediation proceedings that are not administered by any institution are considered *ad hoc* mediation. In such cases, the parties will have to determine the terms of the agreement to mediate, the rules that will apply and the selection of the mediator on their own. This can prove to be a trying task, especially if the parties do not have sufficient experience with mediation.\(^{163}\)

In comparison, institutionalized mediation can be useful for parties who want a convenient, secure and administratively efficient avenue to engage in mediation.\(^{164}\) ADR institutions will generally provide a sample agreement to mediate for the parties, a set of mediation rules and assistance in selecting an appropriate mediator.

The WIPO Center is an attractive option for parties involved in intellectual property disputes as it provides administrative assistance and procedural rules that are tailored for such disputes. In

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\(^{161}\) Klaus J Hopt and Felix Steffek, ibid. 114, 45.

\(^{162}\) Klaus J Hopt and Felix Steffek, ibid. 114, 45 – 46.


\(^{164}\) Christian Bühring-Uhle, Lars Kirchhoff and Gabriele Scherer, ibid. 7, 36.
particular, the WIPO Center offers and is able to provide the following general services in relation to ADR proceedings that it administers, including mediation cases: 165

- assistance in the selection of neutrals from its pool of over 1,500 experts with experience in intellectual property disputes
- liaising between parties and neutrals to ensure optimal communication and procedural efficiency
- administration of the financial aspects of the proceedings, including fixing the fees of the neutrals in consultation with parties and neutrals
- case management services and access to the WIPO Electronic Case Facility (WIPO ECAF), which allows parties and all other actors in a case administered by the WIPO Center to view the status of such case, electronically submit case communications, and access the parties’ contact information through an online docket system; WIPO ECAF is mostly used in arbitrations involving multiple documentary exchanges 166
- provision of free meeting rooms where the proceedings take place in Geneva, and logistical services where proceedings take place elsewhere
- other support services that may be needed, including in relation to translation, interpretation or secretarial services
- guidance on the application of the WIPO Mediation, Expert Determination, Arbitration and Expedited Arbitration Rules

Parties who elect to submit their disputes to the WIPO Center for mediation can choose to adopt the WIPO Mediation Rules 167 which are designed to maximize the parties’ control over the mediation process, and can be adapted by the parties to address the specific needs of their dispute. The WIPO Mediation Rules are specifically designed for intellectual property, technology and related commercial disputes, 168 and contain confidentiality provisions to protect sensitive information that may be disclosed during the mediation. 169

The fees charged for a mediation case administered by the WIPO Center are determined on a not-for-profit basis, and in consultation with the parties and the mediator. 170 The WIPO Mediation Rules provide that the fees for the mediation will be equally borne by the parties unless they agree otherwise. 171

169 Articles 15 - 18, WIPO Mediation Rules.
171 Article 25, WIPO Mediation Rules.
3.3.7 Mode of Submission to Mediation

(i) Voluntary vs. Mandatory

In voluntary mediation, mediation is initiated by the parties of their own free will. This voluntary nature is fundamental to the mediation process, and operates from the moment that the parties agree to submit their dispute to mediation until the parties decide whether they wish to resolve their dispute. As such, mandatory mediation, which compels the parties to engage in mediation by law, by the courts, or by other inherent processes and procedures that they may be already subject to, may be perceived as somewhat controversial in light of the voluntary nature of mediation.

However, there are compelling reasons for governments and courts to institute mandatory mediation programs. A 2014 study of mediations in the European Union found that only mandatory mediation programs could generate a significant number of mediation cases, and that mandatory mediation also encouraged the growth of voluntary mediation.

(ii) Court-Connected

Court-connected mediation programs generally come in two forms: judicial or court-annexed. In judicial mediation, disputes are mediated by settlement judges, and judicially mediated settlements are generally enforceable as court orders. In contrast, court-annexed programs allow courts to refer disputes to external mediation institutions, and mediations will be conducted by the mediators selected through that particular institution. For example, the WIPO Center collaborates with the Ministry of Law of Singapore in the promotion of the use of ADR options for intellectual property disputes in Singapore. The WIPO Center makes available a model information document that courts in some countries use to inform parties of WIPO ADR options.

Court-connected mediation programs can be voluntary or mandatory. As indicated in Chapter 4.5, mandatory court-connected mediation programs can have negative cost consequences for a party refusing to participate in the mediation.

(iii) IPO-Connected

IPO-connected mediation programs generally allow disputes which play out in proceedings before an IPO to be referred to mediation. Mediation services can be provided by the IPO itself, or by an external institution such as the WIPO Center.

IPO-connected mediation programs can also be voluntary or mandatory. Voluntary mediation programs, such as those conducted by IPOs in Colombia, Singapore, and the United Kingdom, allow parties to opt for mediation during proceedings before the IPO.

172 Klaus J Hopt and Felix Steffek, ibid. 114, 54.
175 Nadja Alexander, ibid. 110, 135.
178 See Appendix C.
179 See Appendix A.3.4.
In mandatory mediation programs, disputes will be referred by the IPO to mediation if they satisfy specific criteria.\textsuperscript{182}

### 3.4 Expert Determination

#### 3.4.1 Introduction

Expert determination is a procedure in which a technical, scientific or related business issue between the parties is submitted to one or more experts who make(s) a decision on the matter. The expert’s decision will be binding on the parties unless they agree otherwise. Expert determination is suitable for disputes which involve technical issues, such as the valuation of intellectual property assets, the interpretation of patent claims and the extent of rights that are covered by a license.\textsuperscript{183} Expert determination can be used as part of mediation and arbitration, and has been especially useful in complex arbitrations.\textsuperscript{184}

Early neutral evaluation can be said to be a form of expert determination, which is designed to facilitate negotiations between the parties at an early stage. In this process, parties will submit their dispute to the expert, for an assessment of the likely outcome and cost should the dispute proceed to court. The expert's non-binding assessment of their case may stimulate the parties to proceed with negotiations to settle the dispute.\textsuperscript{185}

#### 3.4.2 Expert Determination Agreement

Like mediation, parties can agree to refer their dispute to expert determination either by providing for this in a contract in advance of any dispute having arisen,\textsuperscript{186} or by entering into an agreement to refer a dispute which has arisen to expert determination. The expert determination clause or the expert determination agreement typically addresses the following:

- agreement to submit the stated dispute to expert determination
- description of the dispute to be referred to expert determination
- language to be used in the expert determination
- whether the expert’s determination is binding on the parties

Parties will also need to agree on the rules of the expert determination, especially with regards to these matters:\textsuperscript{187}

- manner of appointment of the expert\textsuperscript{188}

\textsuperscript{181} See Appendix A.3.1.
\textsuperscript{184} Ignacio de Castro and Panagiotis Chalkias, ibid. 71, 1062.
\textsuperscript{185} Susan Blake, Julie Browne and Stuart Sime, ibid. 80, 24.02.
\textsuperscript{186} The WIPO Center provides model expert determination clauses and submission agreements, see Appendix B.3.
\textsuperscript{188} Article 9, WIPO Expert Determination Rules.
• conduct of the expert determination, such as in relation to the inspection of sites, properties, products or processes by the expert\textsuperscript{189}
• consequences for parties who fail to comply with such rules\textsuperscript{190}
• confidentiality, especially with regards to the existence of the expert determination, any information disclosed during the expert determination and the outcome of the expert determination\textsuperscript{191}
• grounds on which the expert determination may be terminated\textsuperscript{192}
• fees payable to the expert, and the ADR institution/service provider (if applicable)\textsuperscript{193}
• exclusion of liability of the expert, and ADR institution/service provider (if applicable)\textsuperscript{194}

3.4.3 Appointment and Role of Expert

The ideal expert is one who is impartial and has the necessary legal, technical or subject-matter expertise. ADR institutions such as the WIPO Center and professional bodies can help parties select a suitable expert if the parties are unable to agree on one.

The role of the expert is fairly straightforward – he is to use his specific expertise to render a determination on the issue(s) submitted to him by considering the information and materials submitted to him by the parties.\textsuperscript{195}

3.4.4 Conduct of Expert Determination

Depending on the terms agreed by the parties in referring their dispute to expert determination:

• parties will appoint an appropriate expert and submit the relevant information to the expert for determination
• parties may arrange for a meeting before the expert to present their cases

The expert will then proceed to make a determination on the dispute, which the parties can agree in advance to be binding as a final decision, or otherwise.\textsuperscript{196} Pursuant to Article 17(f) of the WIPO Expert Determination Rules, the determination shall be binding unless the parties have agreed otherwise.

3.4.5 Administration of Expert Determination

Parties can choose to conduct expert determinations on an \textit{ad hoc} basis without any assistance from an ADR institution. However, parties with little experience with expert determination may find it difficult to administer the proceedings on their own, especially if they do not have access to an appropriate expert. Thus, parties may wish to enlist the help of ADR institutions such as the WIPO Center.

The WIPO Center provides general administration services\textsuperscript{197} for the expert determination proceedings that it administers, and the WIPO Expert Determination Rules contain provisions on

\textsuperscript{189} Article 14, WIPO Expert Determination Rules.
\textsuperscript{190} Article 15, WIPO Expert Determination Rules.
\textsuperscript{191} Article 16, WIPO Expert Determination Rules.
\textsuperscript{192} Article 19, WIPO Expert Determination Rules.
\textsuperscript{193} Articles 21 – 24, WIPO Expert Determination Rules.
\textsuperscript{194} Articles 25 – 26, WIPO Expert Determination Rules.
\textsuperscript{195} Susan Blake, Julie Browne and Stuart Sime, ibid. 80, 24.04.
\textsuperscript{196} Susan Blake, Julie Browne and Stuart Sime, ibid. 80, 24.21 – 24.27.
\textsuperscript{197} See 3.3.6 above.
confidentiality that are specially tailored for intellectual property disputes.\textsuperscript{198} The WIPO Center can also propose and appoint experts with the appropriate expertise from its worldwide network of intellectual property experts.\textsuperscript{199}

The fees charged for expert determination proceedings administered by the WIPO Center are determined on a not-for-profit basis, and in consultation with the parties and the expert.\textsuperscript{200} The WIPO Expert Determination Rules provide that the fees of the expert determination will be equally borne by the parties unless they agree otherwise.\textsuperscript{201}

### 3.4.6 Submission to Expert Determination Proceedings at IPOs

Presently, expert determination services are not commonly offered by IPOs.\textsuperscript{202} However, the Intellectual Property Office of Singapore (IPOS) has offered expert determination services for all contentious patent proceedings, including patent revocation and inventorship disputes, since April 1, 2014. Under these services, parties can agree to refer such disputes to the WIPO Center for expert determination under the WIPO Expert Determination Rules.\textsuperscript{203}

### 3.5 Arbitration

#### 3.5.1 Introduction

Arbitration is a private system of adjudication\textsuperscript{204} where parties agree to refer their dispute to an arbitral tribunal of their choice, and to accept the tribunal’s decision as final and binding.\textsuperscript{205} Arbitration is suitable where parties want a final and definitive conclusion to their dispute.\textsuperscript{206} In addition to standard arbitration, some institutions also offer expedited arbitration.

Expedited arbitration is an arbitration proceeding administered under rules which are designed to carry it out in a shorter time and at reduced cost. Under the WIPO Expedited Arbitration Rules, such a proceeding can be concluded in as little as five weeks. This is particularly useful when the parties urgently require a final and enforceable decision on a few issues. Expedited arbitration can also be conducted in conjunction with mediation or expert determination.

Expedited arbitration proceedings administered by the WIPO Center usually feature:\textsuperscript{207}

- a sole arbitrator instead of a three-member arbitral tribunal, thus avoiding potentially lengthy appointment and decision-making processes
- a single exchange of pleadings with no additional written submissions

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\textsuperscript{198} Article 16, WIPO Expert Determination Rules.


\textsuperscript{201} Article 24, WIPO Expert Determination Rules.

\textsuperscript{202} For example, the UK IPO offers a non-binding opinion concerning the infringement or validity of a patent or supplementary protection certificate. See Intellectual Property Office of the United Kingdom, ‘Intellectual Property Mediation’ [https://www.gov.uk/opinions-resolving-patent-disputes](https://www.gov.uk/opinions-resolving-patent-disputes) accessed September 2018.

\textsuperscript{203} Details of IPOS’s expert determination program are provided in Appendix A.3.1.

\textsuperscript{204} Margaret L Moses, The Principles and Practice of International Commercial Arbitration (2\textsuperscript{nd} edn, Cambridge University Press 2012) 1.

\textsuperscript{205} Frank D Emerson, ibid. 19. 157.

\textsuperscript{206} Trevor Cook and Alejandro I Garcia, ibid. 43. 46.

• closure of proceedings within three months from the appointment of the arbitrator or the
  delivery of the Statement of Defense, instead of the usual nine months
• fixed fees for disputes valued below USD 10 million, which translate to lower costs

However, since the complexity of an arbitration can be difficult to predict, the WIPO Expedit
Arbitration Rules allow expedited arbitration proceedings to be sufficiently flexible to permit a fuller
process for complex cases.208

3.5.2 Arbitration Agreement

Parties may enter into an agreement to refer to arbitration, disputes between them which have arisen
or may arise in the future. This may take the form of a separate agreement or an arbitration clause in
a contract,209 and in any event, ought to provide for the following:

• parties agree to submit their dispute to arbitration
• description of the dispute
• language to be used in the arbitration
• place/seat of the arbitration
• choice of substantive law
• arbitration rules that govern the arbitration process

The New York Convention requires contracting states to comply with its provisions on the validity and
enforcement of an international arbitration agreement.210 Such Convention provisions require that
unless the international arbitration agreement is found to be null and void, inoperative or incapable of
being performed under the governing law of the arbitration agreement, a court in a contracting state
must decline jurisdiction over the dispute within the scope of the arbitration agreement and refer it to
arbitration as contracted by the parties.211

Many national laws also make similar provisions for a domestic arbitration agreement, such that in the
face of a valid arbitration agreement, courts will generally refer disputes under the agreement to
arbitration, and disallow its litigation in court.212 This has the practical effect of preventing parties from
having recourse to the courts in respect of disputes within the scope of the arbitration agreement.

3.5.3 Legal Framework of Arbitration

Beyond the arbitration agreement, arbitration proceedings are also governed by the applicable laws
and arbitration rules. It is not unusual for intellectual property disputes submitted to arbitration to
involve the application of the laws of more than one jurisdiction, and as such, parties will need to
consider the governing laws applicable to the following matters:

208 World Intellectual Property Organization Arbitration and Mediation Center, ‘What is WIPO Expedited
209 World Intellectual Property Organization Arbitration and Mediation Center, ‘Recommended WIPO Model
accessed September 2018.
210 The New York Convention applies to arbitration agreements that have a “foreign” or “international”
connection (e.g. the parties have their places of business in different countries). See Gary Born,
212 Giuditta Cordero-Moss eds., ‘International Commercial Arbitration: Different Forms and their Features’
(Cambridge University Press 2013) 41.
(i) **Place/seat of the Arbitration**

The place/seat of the arbitration is the legal jurisdiction to which an arbitration is attached. The law of the seat will govern the procedural framework of the arbitration, including procedural matters such as whether a dispute is arbitrable, the availability of interim measures, and certain enforcement matters. In practice, arbitration hearings and meetings are often held where the place/seat is located.\(^{213}\) Pursuant to Article 38(b) of the WIPO Arbitration Rules, the arbitral tribunal may, after consultation with the parties, conduct hearings at any place that it considers appropriate, and may deliberate wherever it deems appropriate.

(ii) **Substance of the Dispute**

Parties are free to decide on the law that will be applied to the substance of their dispute. The choice of substantive law is critically important for intellectual property disputes, especially when the validity or scope of an intellectual property right is at stake. Intellectual property regimes may vary from country to country despite efforts to harmonize such laws through international conventions, and such differences can have an impact on the outcome of the dispute,\(^ {214}\) even if the choice of governing law does not affect the domestic law regulating the intellectual property right in a country.

Under the WIPO Arbitration Rules, if the parties fail to decide on the substantive law, the arbitral tribunal will apply the law that it deems to be appropriate.\(^ {215}\)

### 3.5.4 Arbitration Rules

Arbitration rules are often selected to complement the law of the seat, which governs the procedural framework of the arbitration proceedings.\(^ {216}\) Parties may agree on the arbitration rules that will govern notably the following matters:\(^ {217}\)

- composition and appointment of the arbitral tribunal\(^ {218}\)
- conduct of the arbitration, including matters such as the submission of written statements and evidence by the parties\(^ {219}\)
- arbitration awards and other decisions made by the tribunal\(^ {220}\)
- confidentiality, especially with regards to the existence of the arbitration, any information disclosed during the arbitration and the outcome of the arbitration\(^ {221}\)
- grounds on which the arbitration may be terminated\(^ {222}\)
- fees payable to the arbitrator(s) and the ADR institution/service provider (if applicable)\(^ {223}\)


\(^{214}\) Trevor Cook and Alejandro I Garcia, ibid. 43, 85.

\(^{215}\) Article 61(a), WIPO Arbitration Rules.


\(^{218}\) Articles 14 – 36, WIPO Arbitration Rules.

\(^{219}\) Articles 37 – 60, WIPO Arbitration Rules.

\(^{220}\) Articles 61 – 68, WIPO Arbitration Rules.

\(^{221}\) It should be noted that some national laws impose a duty of confidentiality on parties for arbitrations located in such jurisdictions. See Simon Greenberg, Christopher Kee and J Romesh Weeramantry, ibid. 212, 372. In any case, Articles 75 – 78 of the WIPO Arbitration Rules allow the parties to keep the existence of the arbitration proceedings, any information disclosed and the results of the arbitration confidential.

\(^{222}\) Article 67, WIPO Arbitration Rules.
ADR institutions will normally provide arbitration rules for arbitrations administered by them, and these rules can be altered by the parties to address particular aspects of their disputes. ADR institutions such as the WIPO Center also have in place arbitration rules that are designed for specific types of disputes.

3.5.5 Appointment and Role of Arbitral Tribunal

Parties have the freedom to select and appoint arbitrators to adjudicate on their dispute, and the appointment of the arbitral tribunal often has a critical impact on the conduct and outcome of the arbitration.

The arbitration agreement may specify the procedure to be used for the appointment of the arbitrator(s). For example, the arbitration agreement may provide that a tribunal of three arbitrators will be appointed, with each party nominating an arbitrator and the presiding arbitrator being appointed by the party-appointed arbitrators, or by the agreement of the parties. Alternatively, the parties may choose to appoint the arbitrator(s) according to such appointment procedure as may be provided in the arbitration rules. Some arbitration rules provide that where parties are unable or fail to appoint a suitable arbitral tribunal, the institution in question may then do so instead.

An arbitral tribunal can comprise a sole arbitrator or three arbitrators. A tribunal with an even number of arbitrators may be prohibited in certain jurisdictions due to the risk of deadlock. A sole arbitrator may be easier to appoint, cheaper and allow for faster proceedings. However, a tribunal of three arbitrators can have the benefit of involving multiple arbitrators with different specialties and expertise.

Arbitrators ought to be impartial and independent, and many national laws and institutional arbitration rules have specific requirements on this. For example, arbitrators are generally required to disclose to the parties any circumstances that might give rise to justifiable doubts about their impartiality and independence. Appointing arbitrators with the appropriate legal and technical expertise, especially for intellectual property disputes can be very helpful.

The role of the arbitral tribunal is to render a binding decision in accordance with the arbitration agreement in question, arbitration rules and relevant laws. In this sense, arbitrators are adjudicators who perform vastly different functions from mediators, who facilitate negotiations between the parties.

3.5.6 Conduct of the Arbitration

The conduct of the arbitration will depend on the applicable arbitration rules. Typically, following the establishment of the arbitral tribunal, parties will have the opportunity to submit their Statement of Claim and Statement of Defense, or their equivalents, to the tribunal. The tribunal may then schedule

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223 Articles 69 – 74, WIPO Arbitration Rules.
225 Articles 14 – 36, WIPO Arbitration Rules.
226 Article 19, WIPO Arbitration Rules.
227 Countries such as Belgium, Italy and the Netherlands have prohibitions against such tribunals. See Gary B Born, ‘International Arbitration: Law and Practice’ (Kluwer Law International 2012) 123.
228 Gary B Born, ibid. 226, 123.
229 Article 22, WIPO Arbitration Rules; Gary B Born, ibid.226, 132 – 133.
further submissions, or proceed to discuss the case schedule, hearing dates and stipulations on evidence and confidentiality with the parties.\textsuperscript{231}

Hearings may be held for the presentation of evidence by witnesses and experts, and for the presentation of oral arguments to the tribunal, on the request of a party or at the tribunal’s discretion. If no hearings are held, the arbitration proceedings will usually be conducted on the basis of all submitted documents and materials.\textsuperscript{232}

Generally, the tribunal will close the proceedings when it is satisfied that the parties have had adequate opportunity to present their submissions and evidence, after which it will issue the arbitral award. The parties will usually be bound by the award from the date that it is issued.\textsuperscript{233}

3.5.7 Arbitral Awards

(i) Final and Binding

An arbitral award derives its final and binding force on the parties from the applicable arbitration rules and national laws, which generally provide that arbitral awards are not subject to appeal or review on the merits by national courts.\textsuperscript{234} However, in exceptional circumstances, it may be possible for a party to challenge the award before a national court at the seat of the arbitration and have it annulled, or resist the enforcement of the award in the relevant jurisdictions.\textsuperscript{235}

(ii) Enforceability

The cross-border enforceability of arbitral awards is one of the main advantages of arbitration, and becomes particularly valuable in the unfortunate event where a party fails to comply with the arbitral award and the other party is compelled to enforce it. This cross-border enforceability is primarily derived from the New York Convention, which obliges contracting states to recognize and enforce arbitral awards made outside of their territory, subject to limited exceptions.\textsuperscript{236} As such, courts in many countries allow for an arbitral award to be enforced as a domestic court judgment upon an application by the relevant party,\textsuperscript{237} which may thus be relied on to enforce the arbitral award in any of the currently 159 contracting states to the New York Convention, provided that the award has been made in any such contracting state.\textsuperscript{238}

(iii) Interim Relief

Some arbitration rules, such as the WIPO Arbitration Rules, allow parties to request interim relief from the arbitral tribunal, and vest in the tribunal, the discretion to issue any provisional orders or interim measures that it deems necessary at the request of a party. The requested relief can be delivered in the form of an interim award. Interim relief, especially injunctions, can be helpful for parties with technology or intellectual property disputes, and should not be overlooked.\textsuperscript{239}

\textsuperscript{231} Articles 41 – 47, WIPO Arbitration Rules.
\textsuperscript{232} Articles 55 – 57, WIPO Arbitration Rules.
\textsuperscript{233} Articles 57 – 66, WIPO Arbitration Rules.
\textsuperscript{234} Article 66(a) WIPO Arbitration Rules and Trevor Cook and Alejandro I Garcia, ibid. 43, 38.
\textsuperscript{235} Alan Redfern, M Hunter et. al., ibid. 11, para 9-04 and 10-09.
\textsuperscript{237} Trevor Cook and Alejandro I Garcia, ibid. 43, 312.
\textsuperscript{239} Article 48, WIPO Arbitration Rules.
3.5.8 Administration of Arbitration

Like *ad hoc* mediations, *ad hoc* arbitrations are proceedings that are not administered by any ADR institution. Ad hoc arbitration can lead to substantial delays if the parties are unable to reach an agreement on the necessary matters.

Beyond general administrative services, the WIPO Center provides several additional services for arbitration proceedings. The WIPO Arbitration Rules provided by the WIPO Center are specifically designed for intellectual property and technology disputes, and contain detailed provisions on confidentiality, and the submission of technical and experimental evidence. The WIPO Center also has a network of experienced arbitrators and intellectual property experts, and can propose suitable arbitrators for arbitrations that it administers.

The WIPO Center administers arbitrations on a non-profit basis, and its registration and administration fees are therefore comparatively moderate. The WIPO Center will determine the arbitrators’ fees in consultation with the parties and the arbitrator(s), taking into consideration factors such as the applicable rates at the location of the parties and the arbitrator(s), the complexity of the case and the amounts in dispute.

3.5.9 Mode of Submission to Arbitration

(i) Voluntary vs. Mandatory

As with voluntary mediation, voluntary arbitration refers to arbitration proceedings that are initiated with the consent of both parties through an arbitration agreement such as contained in an arbitration clause within an underlying contract. However, arbitration clauses can be problematic when the parties have unequal bargaining powers and one party is pressured into agreeing to the arbitration clause by the other.

Arbitration clauses in agreements have sometimes been referred to as mandatory arbitration, where national laws compel parties to submit all disputes arising from the underlying contract to arbitration and require the courts to decline jurisdiction over the dispute.

(ii) IPO-Connected

As compared to mediation services, arbitration services are generally less commonly available in dispute proceedings before IPOs. This said, the Intellectual Property Office of the Philippines (IPOPHL) has offered arbitration services for intellectual property disputes since 2012. IPOPHL’s arbitration services are provided through its partnership with the Philippines Dispute Resolution Center, and are offered to parties who decide not to use IPOPHL’s mediation services, or who are unable to settle their disputes through IPOPHL mediation.

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242 See 3.3.6 above.


246 David S Schwartz, ibid. 244, 1253

Chapter Four: Institutionalizing ADR for Intellectual Property Disputes

4.1 Introduction

The importance of optimizing the surrounding circumstances, or the “eco-system”, within which a public ADR program is to be implemented, so as to allow the ADR program to take root and to flourish, cannot be overstated.

While there are certainly other factors which may be considered, depending on the local conditions and particular circumstances of the country involved, the factors discussed below are key considerations in the institutionalization of ADR and its best practices for intellectual property disputes.

To provide practical illustration of institutional ADR, and offer possible models of such integration, Appendix A provides details of the WIPO Center’s ongoing collaborations with IPUs.

4.2 Opportunity for ADR

Identify where the opportunity lies for ADR to be introduced and deployed

Taking into account the nature of intellectual property disputes, including in terms of international parties and rights involved, as well as time and cost required in administrative or court proceedings, ADR may offer advantages for parties, IPUs and courts alike, including with a view to the efficient use of public resources. A review of such matters may be useful prior to defining the dispute resolution services that an IPO wishes to offer. The WIPO Center collaborates with a growing number of IPUs in the development and implementation of their ADR-related services.

Such services may broadly be categorized as follows:

(i) Raising Awareness of ADR Options

Many IPUs across regions put emphasis on promotional and advisory activities to raise awareness of the advantages of ADR options to prevent and resolve intellectual property and technology disputes outside the courts or other adjudicative bodies, in collaboration with the WIPO Center. Such collaboration may include developing country-tailored information materials for interested parties concerning ADR options, including information concerning online case administration options; joint events for stakeholders to inform them of the benefits of mediation and arbitration for resolving IP and related disputes; and referring party inquiries received by an IPO to the WIPO Center for further assistance (notably in infringement cases). The WIPO Center is available to assist parties that

249 See Appendix A.1. Some examples are included in Appendix A.2.
250 Such as the online docket and videoconferencing facilities provided at no cost by the WIPO Center, see example in Appendix A.2.1. See also http://www.wipo.int/amc/en/ecaf/index.html accessed September 2018.
251 See examples of such events organized by the WIPO Center in collaboration with IPUs at http://www.wipo.int/amc/en/center/specific-sectors/ipos/ accessed September 2018. ADR also is included in the WIPO Roving Seminars organized in collaboration with IPUs, see http://www.wipo.int/dcea/en/roving_seminars/ accessed September 2018.
wish to commence a WIPO ADR proceeding, including through a unilateral Request for Mediation, through its Good Offices services.\(^{252}\)

The WIPO Center also collaborates with the WIPO Technology and Innovation Support Center (TISC) program\(^{253}\) to assist TISCs in promoting the use of ADR, including in the context of R&D, for example in Colombia, Indonesia and Russia.\(^{254}\)

(ii) Case Administration

Some IPOs have developed ADR options or encourage parties to use such options, in the context of proceedings pending before them, notably trademark or patent opposition proceedings. Collaboration with the WIPO Center may include the administration of cases submitted by parties to ADR under such schemes. For example, under its collaboration with IPOS, the WIPO Center has participated in the development of a mediation option for trademark and patent proceedings, and an expert determination option for patent proceedings pending before IPOS, and administers such proceedings.\(^{255}\) The WIPO Center also collaborates with the IPO of the Philippines (IPOPHL) concerning the administration of mediation proceedings involving intellectual property rights in the Philippines.\(^{256}\) The Trademark Trial and Appeal Board (TTAB) and the Patent Trial and Appeal Board (PTAB) of the United States Patent and Trademark Office (USPTO) encourage parties to consider ADR as a means of settling the issues raised in any trademark or patent proceedings. The WIPO Center is one of the listed dispute resolution services providers for TTAB and PTAB proceedings.\(^{257}\) Under its collaboration with the Patent Office of the Republic of Poland (PPO) the WIPO Center participated in the development of a mediation option for trademark opposition proceedings pending before the PPO and administers such proceedings.\(^{258}\)

In the area of copyright, some IPOs administer ADR proceedings in domestic disputes and designate the WIPO Center as administrator of cases where one or both parties are domiciled outside the country. Such collaboration is currently in place between the WIPO Center and the National Copyright Directorate of Colombia (DNDA),\(^{259}\) the Korea Copyright Commission (KCC),\(^{260}\) and the Korea Creative Content Agency (KOCCA).\(^{261}\)

(iii) ADR options in Research and Development (R&D) Model Agreements

ADR options also may be considered in the context of other services offered by IPOs, including R&D model agreements. For example, the Spanish Patent and Trademark Office in collaboration with other stakeholders has developed Contract Templates for R&D collaborations that the Office makes available to interested users. Following consultations with the WIPO Center, these Contract Templates include model dispute resolution clauses, including referral of disputes to WIPO Mediation followed by WIPO Expedited Arbitration.\(^{262}\)


\(^{254}\) See WIPO Center information flyer for TISCs in Appendix A.2.5.

\(^{255}\) See Appendix A.3.1.

\(^{256}\) See Appendix A.3.2.

\(^{257}\) See Appendix A.3.3.


\(^{259}\) See Appendix A.3.4.

\(^{260}\) See Appendix A.3.5.

\(^{261}\) See Appendix A.3.6.

While ADR processes can generally be used at any stage of the dispute, the optimum time for ADR will depend on the nature of the dispute, the conduct of the parties, and their attitude towards ADR. This said, ADR processes tend to be more effective when used at an early stage of the dispute before costs have accumulated and the parties have become entrenched in their positions, but after the parties have had sufficient time and information to properly evaluate their case.

As a practical solution, parties may be given the discretion to submit to ADR at any stage of the proceedings; such discretion is for example provided in contentious trademark proceedings before IPOS which collaborate with the WIPO Center on the provision of ADR services in relation to such proceedings.

4.3 Interface with IPO, Court or Other Proceedings

Determine and stipulate how the ADR process will interface with existing dispute proceedings before the IPO, court or other forum and into which the opportunity for ADR is injected.

The status of the IPO, court or other proceedings while the ADR option is pursued needs to be clear, for example, whether they are suspended or extended. For example, IPOS allows patent proceedings to be suspended for 60, 90 or 120 days for parties to submit to WIPO Expert Determination. Procedures may be instituted to give effect to the outcomes of successful ADR proceedings, and allow disputes to be returned to the IPO, court or other forum for adjudication where ADR is unsuccessful. The opportunity may also be given to the parties to use a different ADR process where initial attempts to resolve their dispute are unsuccessful; for example, IPOPHL allows parties to submit their dispute to arbitration if they are unable to resolve their dispute through its mediation services. Section 4.11 discusses the legal integration of such ADR programs in more detail.

4.4 Choice of ADR Process

Offer the ADR process suited to the disputes in question.

With the various ADR processes being characterized by their own specific features, the IPO’s choice of the appropriate one(s) for any dispute will necessarily depend on the nature of the dispute, the parties’ positions and the surrounding circumstances.

4.5 Submission to ADR Process

Address the mode and manner in which submission to ADR is to be effected, including the factors that will help to secure its uptake.


See Appendix A.3.

See 3.3.1, 3.4.1 and 3.5.1.

See 3.2 above.
One matter for consideration is whether to make it mandatory for parties to submit their dispute to ADR. While mandatory ADR can be problematic, some degree of compulsion to use ADR may be necessary at least for the initial implementation of the ADR program, as parties may be reluctant to use unfamiliar dispute resolution processes. For example, some parties may be reluctant to consider submitting their dispute to mediation as it may be perceived as a sign of weakness.

To mitigate perceived aversion to or apprehension of ADR, mandatory briefing sessions could be scheduled for parties to meet with an ADR practitioner familiar with the ADR program in question to discuss the strengths and weakness of litigation as compared to the various ADR processes. Similar sessions have been introduced in Italy, where litigants involved in specific types of disputes are required to meet with a mediator for a preliminary information session at no cost, and without prejudice to the opportunity of proceeding to litigation after the information session. These sessions have been generally successful in encouraging litigants to seriously consider mediation as a realistic option for their dispute.

For an extra nudge to submit to ADR, financial incentives can be considered. In England, a party’s silence in response to an invitation or a refusal to participate in ADR may be considered unreasonable by the court and could lead to the court ordering that party to pay additional court costs. A similar approach can be found in Australia. In Singapore, laws have been instituted to allow courts to take into account any previous attempts by the parties to resolve their dispute by mediation or any other means of dispute resolution when allocating costs for civil litigation cases. This provides parties with a substantial incentive to consider submitting their dispute to ADR before engaging in litigation. As mentioned above, the WIPO Mediation Rules permit a party wishing to formalize its willingness to refer a dispute to mediation by submitting a unilateral Request for Mediation to the WIPO Center and the other party.

### 4.6 Finance

Source sufficient financing to support the development and implementation of the ADR program.

For all the cost savings that may be achieved through ADR, planning and implementing an ADR program requires funding. Although the amount required depends on multiple factors and may vary from country to country, examples of the items that may need to be budgeted for include:

- consulting or legal services to address the legal framework
- formulation and adoption of an educational and awareness campaign
- establishment of the physical administration infrastructure and engagement with stakeholders

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267 See 3.3.7(i) and 3.5.9(i) above.
269 Giuseppe De Palo and others, ibid. 174, 8 – 9.
270 Ministry of Justice ‘Practice Direction – Pre-Action Conduct’.
272 James Chan, ibid. 265, 13.
273 See 3.3.2 above.
Such funds may come from government funds allocated to the IPO, or fees charged by the IPO, or both. In the initial stages of implementation, the IPO may need to offer ADR services at subsidized rates to attract users. For example, the IPO of Singapore (IPOS) introduced, effective April 1, 2016, the IP Mediation Promotion Scheme which funds parties’ mediation costs under certain conditions.\textsuperscript{275}

4.6.1 Government Funding

The main source of financing at the initial implementation stage of the program is likely to come from government funds. It is important to secure sufficient funding to avoid the possibility of not being able to see through all the stages of the project.\textsuperscript{276}

4.6.2 Administrative Fees

Administrative fees are a means for the administrator of the ADR program to cover administrative costs. This should be balanced against the need to ensure accessibility to users, and to encourage take-up rates for ADR, particularly at the infancy of an ADR program. The WIPO Center’s collaborations with IPOs often include reduced fees under adapted Schedules of Fees.\textsuperscript{277}

4.6.3 Practitioner Fees

With regard to the fees paid to mediators, arbitrators and experts, it is important to strike a balance between keeping fees low to ensure accessibility to users, and maintaining a credible incentive for experienced and qualified professionals to enter the field. This is particularly a concern for mediation, where the cost expectations of users are often at a level which may deter experienced legal professionals from becoming mediators.

As for arbitration, spiraling fees have been a problem and can pose a problem for the success of an ADR program. There is a growing recognition among users that arbitration costs are rising at an unsustainable rate, especially in international commercial arbitration. Unless this is managed, costs may become the primary bane of arbitration instead of a key advantage.\textsuperscript{278}

An IPO is well placed to monitor and control the cost of an ADR program which it implements. Minimally, this could be achieved by tracking and disseminating information about the range of average costs for the various proceedings under its ADR program, and statistics on average number of hours required for such proceedings, so that there is greater transparency of the basis on which costs are derived.\textsuperscript{279}

\textsuperscript{275} More information on the Mediation Promotion Scheme at https://www.ipos.gov.sg/growing-your-business-with-ip/funding-assistance accessed September 2018. See also below at Appendix A.3.1.

\textsuperscript{276} Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 29.

\textsuperscript{277} See adapted Schedules of Fees under the WIPO Center’s collaborations with IPOS and IPOPHL in Appendix A.3.1 and A.3.2.


4.7 “Buy-in”

Identify stakeholders and secure their “buy in” for the implementation and use of the ADR program.

Sufficient buy-in and commitment from the key parties involved in the implementation and use of the ADR program are vital to ensure the success of an ADR program.\(^{280}\)

4.7.1 Process

The process of securing such buy-in can be broadly mapped out as follows:

(i) Stakeholders

Identifying the correct stakeholders is important, as the omission of any particular key group may prove fatal to the implementation of the ADR program. ADR programs have ended up failing as a result of opposition from key groups within the community, commonly because such groups see the implementation of ADR as a threat to their interests.\(^{281}\) It is therefore important to identify the relevant constituencies early, and to ensure that the right messages are conveyed to them, and appropriate incentives, assurances or even compulsions\(^{282}\) (if feasible) are created for such groups.

A note of caution sounded by commentators has been the selection of stakeholders who are too strong and have their own agenda,\(^{283}\) as they may be detrimental to the cause by advancing their own interests ahead of the overall success of the ADR program.

(ii) Local Champion

Having one or more local champion(s) for the cause is another critical piece, and provides a ready channel through which the ADR message can be effectively communicated to ensure that it is received positively. For example, the deployment of a leading local champion with the right political clout\(^{284}\) can make a significant difference to how the project is driven and the ability to garner the support needed to ensure its success.

(iii) Engagement

If the ADR program is to be successful, engagement on the part of stakeholders is necessary. Hitting the right notes with the stakeholders, including apprising them of the advantages of ADR, and the potential opportunities and benefits to participants in the ADR program, is important in eliciting such engagement. Another tangible measure could be to have stakeholders form an advisory board to drive and monitor the project, with the direct impact of having stakeholders take ownership of the project and creating a monitoring tool for the ADR program.\(^{285}\)

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\(^{280}\) Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 17.

\(^{281}\) Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 21.

\(^{282}\) See 4.5 above.

\(^{283}\) Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 18.

\(^{284}\) Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 18.

\(^{285}\) Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 20.
4.7.2 Roles of Key Players

In turning to key players on the stage of the ADR program, recognizing and eliciting their respective contributory roles can be very helpful to the advancement of the project.

(i) Government and IPOs

At the foundational level, the presence of political will from government to imbibe ADR in the country makes for a robust premise on which to undertake the project. In its role as driver, government must itself be convinced of the advantages of ADR and committed to its promotion.286

Similarly, where the IPO is the main driver of the ADR project, such buy-in from key personnel in the IPO is critical.

(ii) National Courts

The support of local judges and the national courts is also important, for two main reasons. First, in ensuring the enforceability of the outcome of ADR, such as arbitral awards and mediation settlement agreements, the national courts play a key role in the strength of the ADR system. Second, the national courts can be a useful “catchment” resource for disputes which are amenable to ADR, in that active participation of the courts can play a part in assisting take-up rates for ADR. Setting case disposal targets of judges to give them credit for referring cases to ADR can also be effective.

Promotion of ADR to the courts will focus on the advantages of ADR specific to the courts, such as the reduction of case load, clearance of backlog and administrative cost savings for the courts, whereby ADR is viewed as complementary and not competitive to the court system.287

(iii) Professionals

In the same vein, the professional community, including lawyers, must be persuaded of their valuable place in the implementation and use of the ADR program on a long-term basis. Contrary to any apprehension of redundancy, ADR presents enlarged opportunities for this community as it is an added dimension to the dispute resolution options available to their clients, thereby enabling them to add value to their services and the significance of their role.

That said, for those professional service providers who have not been engaged in ADR, it will be necessary for them to take up appropriate training (e.g. in mediation), so that such training needs to be made readily available.288 This itself offers an opportunity for professional development for these professionals with the practical value of being useful to their clients.

(iv) Users

As for users, such as members of the business community and the public, the main objective for the success of the ADR program is to convince them of the many advantages of ADR.289

This entails a pro-active outreach to as wide an audience of potential users as available to make them aware of the benefits of ADR.

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286 See Chapter 2 and 4.7.1 above.
287 See 1.3.2 above.
288 See 4.10.1 below.
289 See 2.1 – 2.10 above.
4.8 Consultation and Feedback

Consulting and communicating with stakeholders pre-emptively is useful for obtaining valuable feedback on the proposed plans. Such constructive comments can be gathered through surveys and public consultations, and can help to identify potential problems and find areas for improvement. For example, in 2013, the WIPO Center conducted an International Survey on Dispute Resolution in Technology Transactions to assess the current use in technology-related disputes of ADR methods as compared to court litigation, including a qualitative evaluation of these dispute resolution options.

Stakeholder feedback was an important element in the establishment of Singapore’s first commercial mediation center. Before this center was established in 1997, a detailed feasibility study was carried out by the Singapore Academy of Law. Through extensive consultations with stakeholders, including lawyers, trade organizations and interest groups, the Singapore Academy of Law was able to create a realistic action plan for the establishment of the commercial mediation center.

4.9 Outreach

Engaging key target groups through outreach activities is crucial for the ADR program. Such groups may include:

- Government
- national courts
- professionals, including lawyers
- users, such as members of the business community and the public

Examples of outreach activities include:

- holding educational sessions and roadshows on the benefits of ADR
- identifying local ADR champions to promote the IPO’s ADR services
- publicizing general “ADR pledges” for users and stakeholders to show their commitment to resolve their disputes using ADR
- establishing industry-specific schemes for the use of ADR

Upon request, the WIPO Center assists IPOs in such activities.

290 The World Bank Group, ibid. 127, 34.
292 Joel Lee and Teh Hwee Hwee eds, ibid. 4, 7-8.
294 Giuseppe De Palo and others, ibid. 174, 155.
Prior to the entry into force of a joint mediation procedure to facilitate the resolution of trademark disputes pending before IPOS, the WIPO Center and IPOS conducted a two-day workshop to train trademark practitioners as mediators. The training program included sessions on both substantive and procedural issues related to trademark disputes and mediation. A number of participants were afterwards invited to be part of a dedicated list of mediators to be appointed in WIPO-IPOS mediations. Furthermore, the WIPO Center and IPOS conducted various promotional events to raise awareness of ADR for intellectual property disputes and, in particular, to encourage the use of mediation for trademark disputes pending before IPOS.

4.10 ADR Practitioners

Address the needs of ADR practitioners to secure their active participation in the ADR program and adherence to the requisite quality standards.

From the initial consultation phase, the objective is to engage and nurture ADR practitioners, as they are crucial to the long-term success of any ADR program. Training and accreditation programs provide opportunities to accelerate the professional development of such ADR practitioners. ADR practitioners represent an important part of the ADR “eco-system” and these include representatives for the parties, and neutral third parties involved in the ADR, such as mediators, members of the arbitral tribunal, and experts appointed in expert determination. The high standards to which they perform ADR-related services and conduct themselves in ADR processes are important in instilling public confidence in the ADR program.

4.10.1 Training

ADR training opportunities at various levels of experience, and addressing different aspects of ADR, must be made available for the different interest groups of ADR practitioners. As the practical application of ADR is a significant feature of ADR in operation, such training ought to address not only the theoretical basis and academic aspects of the different types of ADR, but also provide instruction and opportunity on the use of ADR in practice. A corollary to the conduct of training sessions for ADR practitioners is the availability of ADR literature to ADR practitioners, be they veterans or newbies.

ADR training also provides a channel for the benchmarking of quality standards sought to be established and maintained in the ADR field. ADR service providers, such as the WIPO Center, can provide the appropriate expertise and support to conduct such training programs.

 WIPO-INPI-BR Training of Mediators

The WIPO Center and the Brazilian National Institute of Industrial Property (INPI-BR) conducted a number of training sessions to establish a panel of mediators for trademark disputes pending before INPI-BR.

297 See 4.8 above.

4.10.2 Quality Standards

Some problems identified with the state of ADR today include the relative dearth of professional bodies with the leadership to self-regulate the field, and the lack of objective transparency on standards, feedback and ethics in the field.\(^{299}\)

In seeking to address these problems, the pitfalls of over-regulating ADR practitioners, which can stifle their supply, are to be avoided. A balance must therefore be struck between prescribing mandatory minimum training of ADR practitioners and encouraging participation by experienced professionals who may resist the requirement for such minimum training prescriptions.

Some tools for establishing quality standards include accreditation programs for ADR practitioners. A particularly illustrative resource on this is the list of guidelines published by the American Bar Association’s Section of Dispute Resolution on what an effective credentialing program for mediators should include, namely:\(^{300}\)

- requiring credentialed mediators to have clearly defined skills, knowledge and values
- requiring credentialed mediators to have completed adequate training
- administration of the accreditation program by an organization which is distinct from the trainer
- establishing consistent assessment process for determining skills, knowledge and values of the credentialed mediators
- explaining clearly what is being certified under the accreditation program
- providing a transparent system to handle complaints, including de-credentialing, within the accreditation program

In WIPO Center cases, parties can draw upon a database of over 1,500 independent WIPO arbitrators, mediators and experts globally. The candidates on the WIPO List of Neutrals range from seasoned dispute resolution generalists to highly specialized practitioners and experts covering the entire legal and technical spectrum of intellectual property. Their geographical diversity suits the international character of many disputes. The WIPO Center requests parties’ feedback on the neutrals appointed and takes such feedback as well as the conduct of the case into account for future neutral appointments.

4.10.3 Availability

For the ADR program to thrive, there needs to be an adequate and readily accessible supply of ADR practitioners to sufficiently service the cases that come up for ADR.

A list of accredited ADR practitioners may be maintained, with information on each ADR practitioner’s experience and credentials. This would serve the dual purpose of maintaining a list of available ADR practitioners who may be called upon, as well as to establish public confidence in the standards and accreditation of such available ADR practitioners. Regardless of whether the list is public or not, where parties cannot agree on a neutral, the WIPO Center provides profiles of suitable candidates to both


\(^{300}\) Alternative Dispute Resolution Section of the American Bar Association Task Force on Mediator Credentialing, ‘Final Report’ (American Bar Association, August 2012)  
parties, taking into account particular qualifications agreed by the parties as well the requirements of the case.\(^{301}\)

### 4.11 Legal Framework

**Work out the legal framework required to support the ADR program.**

The legal framework within which the ADR process operates is important to ensure that it has the necessary legal bite. In addressing the legal framework, the key aspects are as follows.

#### 4.11.1 Legal Framework and System

The existing legal framework and system into which the ADR program is to be introduced will determine whether it is necessary to promulgate new laws or regulations to support the workability of the ADR program, such as in relation to confidentiality, enforceability of contracts and professional immunity. A pre-emptive review of the existing legal position on such matters is useful in identifying the types of laws and rules that may need to be passed to enable and support the implementation and use of the ADR program.

An assessment of existing laws and IPO regulations will determine the extent to which they facilitate the use of ADR. Legal advice may be taken for the purpose of such analysis, and if applicable, to formulate and implement the relevant laws and regulations so as to provide a conducive legal framework for the ADR program. This exercise may take time to implement, possibly over stages.

#### 4.11.2 Enabling Laws and Regulations

Where new laws or regulations would be necessary, a public consultation process on the proposed laws or regulations will give the ADR project credibility.\(^{302}\)

At the basic level, ADR-enabling laws or regulations ideally provide for:\(^{303}\)

- confidentiality of the ADR proceedings, and any information or materials used in such proceedings
- restriction on the admissibility of ‘without prejudice’ communications, which may be made during the ADR proceedings
- facilitate the enforcement of ADR outcomes, such as mediation settlements and arbitral awards\(^{304}\)

At the more granular level, rules of procedure that support and encourage the use of ADR may also be deployed, for example by:\(^{305}\)

- suspension of non-ADR dispute resolution proceedings at the courts or IPO for parties to consider ADR

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\(^{301}\) This is provided for in the WIPO Center’s “list procedure”, see Article 7(a), WIPO Mediation Rules, Article 19(b), WIPO Arbitration Rules and Article 14(b), WIPO Expedited Arbitration Rules.

\(^{302}\) Lukasz Rozdeiczer and Alejandro Alvarez de la Campa, ibid. 271, 38.

\(^{303}\) The World Bank Group, ibid. 127, 35.

\(^{304}\) For example, mediation settlements arising from ADR proceedings administered by the Korean Copyright Commission can be enforced as court orders under Korean law. See Appendix A.3.5.

\(^{305}\) Karl Mackie and others, ibid. 127, 36.
- requiring parties to attempt ADR before instituting non-ADR dispute resolution proceedings at the courts or IPO
- requiring parties to provide reasons for not engaging in ADR and even penalizing parties for unreasonable refusal to engage in ADR
- adopting ADR rules which themselves are conducive to a convenient and efficient ADR process
- applying reduced fees or giving discounts of fees charged in the non-ADR dispute resolution proceedings to parties who have diverted to ADR from such proceedings

4.12 Administrative Infrastructure

Establish administrative infrastructure to support the implementation and provide the required ADR services.

To launch an ADR program and keep it running, adequate personnel needs to be deployed to attend to the matters to make the ADR program a functioning reality. Natural adjunctive requirements include physical facilities necessary for the day-to-day management of the ADR program.

The extent and nature of the administrative infrastructure established may depend, in part, on the type of the ADR referral mechanism chosen and the anticipated nature of potential disputes, and be further determined by the opportunities for collaboration with ADR service providers, such as the WIPO Center, who can provide valuable assistance for such administrative services.

For example, where the IPO does not engage a third-party ADR provider, the IPO would have to undertake the administration of the ADR proceedings, including liaising with the ADR neutral(s) and parties, attending to the collection of fees, providing appropriate facilities and administrative services. On the other hand, where an IPO’s ADR program allows the IPO to refer the parties to a third party administering body, such as the WIPO Center, the administration of the ADR proceedings would be outsourced to such administering body.

4.13 Public Confidence

Secure and maintain public confidence in the ADR program.

Public confidence is one of the pillars for the success of the ADR program, vigilance over which needs to be exercised throughout the life of the program, to prevent its erosion. The following are some (but not necessarily all the) key factors that play a part in earning confidence of potential users.

4.13.1 Impartiality and Independence of Neutrals

As the neutrals in ADR proceedings (i.e. the mediators, arbitrators and experts) are oftentimes private individuals appointed by the parties, they do not automatically enjoy the status of judges as public servants. In such an arrangement, the visible impartiality of such neutrals takes on heightened

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306 See, for example, Article 22 of Colombian Law 640 of 2001 and Article 34 of the Conciliation and Arbitration Rules of the ADR Center of the National Directorate Copyright of Colombia (DNDA): if a party does not attend the conciliation hearing, the conciliator issues a certificate that can be used in subsequent court procedures.

307 See 3.3.6 above.

308 See 3.3.7(iii), 3.4.6 and 3.5.9(ii) above.
importance, and is yet not impervious to its own issues and problems. ADR institutions such as the WIPO Center play an important role in this regard.

General guiding principles can be formulated to address this matter, such as the following requirements:

- ADR neutral must not favor (nor be perceived as favoring) the interests of any one party
- ADR neutral must be required to conduct conflict check and disclose any financial or personal relationship with any of the disputants
- disputants must jointly agree on the appointment of the ADR neutral
- fees of the ADR neutral are to be borne by parties in equal shares, or by an independent party like the administrative body

4.13.2 Confidentiality of Information

The ability to ensure confidentiality of information ventilated in the ADR process (and indeed the existence of the process) is one attractive force of ADR.\(^{309}\) Many parties choose ADR precisely because of the need for confidentiality, particularly businesses who do not want to disclose commercially sensitive information to the public domain.\(^{310}\) Maintaining strict confidentiality gives consumers confidence and encourages participation in ADR. In mediation, the assurance of confidentiality encourages parties to be as open as possible in finding a mutually acceptable solution without fear of prejudice if the dispute goes to court, and thereby enhancing its probability of success.\(^{311}\)

Confidentiality can be achieved through specific ADR laws that provide expressly for confidentiality, or through contract where parties adopt applicable rules through the relevant clause or agreement for submission to ADR.\(^{312}\)

4.13.3 Transparency of Proceeding

Not to be confused with confidentiality of information and the ADR process discussed above, transparency of the manner in which the ADR proceeding is conducted in compliance with due process and the rule of law, is also pertinent to public confidence in such proceeding.

In particular, administrative actions within the proceeding are to be made in full transparency to the parties, e.g. process for appointment of mediator, arbitral tribunal or expert, or any decisions made on any interlocutory matter, as reflective of the impartiality and independence of the ADR administrative body.

4.13.4 Realization of Advantages

Making good on the described advantages of ADR\(^{313}\) is important to prevent a loss of public confidence in it.

For example, attention is required to ensure that the ADR process is designed to maximize efficiency and thereby bring about time and cost savings. Furthermore, the ADR process should operate within a

\(^{309}\) See 2.7 above.
\(^{310}\) Trevor Cook and Alejandro I Garcia, ibid. 43, 47.
\(^{311}\) Susan Corbett, ibid. 79, 65.
\(^{312}\) See 3.3.2, 3.4.2 and 3.5.4 above.
\(^{313}\) See Chapter 2 above.
legal framework that assures the enforceability of decisions or settlements that issue out of the ADR process.\textsuperscript{314}

4.14 Periodic Review

Undertake regular reviews of the ADR program to monitor its take-up rate and performance, ensure compliance with best practices, and identify areas for improvement and updating to ensure its long-term sustainability.

Periodic reviews are important to ensure that the ADR program remains relevant and current. Reviews undertaken with stakeholders on an ongoing basis provide a channel for obtaining helpful feedback and present opportunities for continued engagement over the longer term.

\textsuperscript{314} For arbitration, this includes the possibility of taking advantage of the New York Convention in a cross-border dispute.
## Appendix A: WIPO Center Collaboration with IPOs and Courts

### A.1 Overview

<table>
<thead>
<tr>
<th>Country</th>
<th>Institution</th>
<th>Collaboration Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Argentina</td>
<td>National Institute of Industrial Property (INPI)</td>
<td>The WIPO Center collaborates with INPI in the promotion of the use of ADR options for intellectual property disputes in Argentina.</td>
</tr>
<tr>
<td>Australia</td>
<td>IP Australia</td>
<td>The WIPO Center collaborates with IP Australia in the promotion of the use of ADR options for intellectual property disputes in Australia.</td>
</tr>
<tr>
<td>Brazil</td>
<td>National Institute of Industrial Property (INPI-BR)</td>
<td>The WIPO Center collaborates with INPI-BR in the promotion of the use of ADR options for industrial property disputes in Brazil. The WIPO Center has participated in the training of mediators in Brazil, in collaboration with INPI-BR.</td>
</tr>
<tr>
<td>China</td>
<td>National Intellectual Property Administration of the People's Republic of China (CNIPA)</td>
<td>The WIPO Center collaborates with CNIPA in the promotion of the use of ADR options for industrial property disputes in China.</td>
</tr>
<tr>
<td>Colombia</td>
<td>National Directorate of Copyright (DNDA)</td>
<td>DNDA administers conciliation proceedings and the WIPO Center administers mediation proceedings concerning copyright and related rights in Colombia.</td>
</tr>
<tr>
<td>Costa Rica</td>
<td>National Register</td>
<td>The WIPO Center collaborates with the National Register in the promotion of the use of ADR options for intellectual property disputes in Costa Rica.</td>
</tr>
<tr>
<td>Cuba</td>
<td>Cuban Industrial Property Office (OCPI)</td>
<td>The WIPO Center collaborates with OCPI in the promotion of the use of ADR options for industrial property disputes in Cuba.</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Country</th>
<th>Agency</th>
<th>Collaboration Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dominican Republic</td>
<td>National Copyright Office (ONDA)</td>
<td>The WIPO Center collaborates with ONDA in the promotion of the use of ADR options for intellectual property disputes in the Dominican Republic.</td>
</tr>
<tr>
<td>El Salvador</td>
<td>National Center of Registries (CNR)</td>
<td>The WIPO Center collaborates with CNR in the promotion of the use of ADR options for intellectual property disputes in El Salvador.</td>
</tr>
<tr>
<td>Indonesia</td>
<td>Directorate General of Intellectual Property (DGIP)</td>
<td>The WIPO Center collaborates with DGIP in the promotion of the use of ADR options for intellectual property disputes in Indonesia.</td>
</tr>
<tr>
<td>Israel</td>
<td>Israel Patent Office</td>
<td>The WIPO Center collaborates with the Israel Patent Office in the promotion of the use of ADR options for intellectual property and technology disputes in Israel.</td>
</tr>
<tr>
<td>Kenya</td>
<td>Kenya Copyright Board (KECOBO)</td>
<td>The WIPO Center collaborates with KECOBO in the promotion of the use of ADR options for copyright disputes in Kenya.</td>
</tr>
<tr>
<td>Lithuania</td>
<td>Ministry of Culture of the Republic of Lithuania</td>
<td>The WIPO Center collaborates with the Ministry of Culture of the Republic of Lithuania in the promotion of the use of ADR options for intellectual property disputes in Lithuania.</td>
</tr>
<tr>
<td>Mexico</td>
<td>Mexican Institute of Industrial Property (IMPI)</td>
<td>The WIPO Center collaborates with IMPI in the promotion of the use of ADR options for industrial property disputes in Mexico.</td>
</tr>
<tr>
<td>Paraguay</td>
<td>National Directorate of Intellectual Property (DINAPI)</td>
<td>The WIPO Center collaborates with DINAPI in the promotion of the use of ADR options for intellectual property disputes in Paraguay.</td>
</tr>
<tr>
<td>Philippines</td>
<td>Intellectual Property Office of the Philippines (IPOPHL)</td>
<td>IPOHL and the WIPO Center administer mediation proceedings concerning intellectual property rights in the Philippines.                                                                                      The WIPO Center has participated in the training of mediators in the Philippines, in collaboration with IPOPHL.</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>Country</th>
<th>Relevant Authority</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poland</td>
<td>Patent Office of the Republic of Poland (PPO)</td>
<td>The WIPO Center has participated in the development of a mediation option for trademark opposition proceedings pending before PPO and administers such proceedings. (^{325}) \n\nThe WIPO Center collaborates with PPO in the promotion of the use of ADR options for intellectual property and technology disputes in Poland. (^{326})</td>
</tr>
<tr>
<td>Republic of Korea</td>
<td>The Copyright Bureau of the Ministry of Culture, Sports and Tourism of the Republic of Korea</td>
<td>The Korean Copyright Commission (KCC) administers mediation proceedings concerning copyright and related rights in the Republic of Korea. (^{327}) \n\nIn case of international disputes KCC also offers a WIPO mediation option to potential parties. (^{328}) \n\nThe Korea Creative Content Agency (KOCCA) administers mediation proceedings concerning content related rights in the Republic of Korea. (^{329}) \n\nIn case of international disputes KOCCA also offers a WIPO mediation option to potential parties. Under certain conditions, parties to WIPO mediation under WIPO-KOCCA collaboration can benefit from a subsidy scheme for fees and costs provided by KOCCA. (^{330})</td>
</tr>
<tr>
<td></td>
<td>Korean Intellectual Property Office (KIPO)</td>
<td>The WIPO Center collaborates with KIPO in the promotion of the use of ADR options for industrial property disputes in the Republic of Korea.</td>
</tr>
<tr>
<td></td>
<td>Ministry of Justice</td>
<td>The WIPO Center collaborates with the Ministry of Justice in the promotion of the use of ADR options for intellectual property disputes in the Republic of Korea.</td>
</tr>
<tr>
<td>Romania</td>
<td>Romanian Copyright Office (ORDA)</td>
<td>The WIPO Center collaborates with ORDA in the promotion of the use of ADR options for copyright disputes in Romania.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Country</th>
<th>Organization</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Singapore</td>
<td>Intellectual Property Office of Singapore (IPOS)</td>
<td>The WIPO Center has participated in the development of a mediation option for trademark and patent proceedings332 and an expert determination option for patent proceedings pending before IPOS333 and administers such proceedings.</td>
</tr>
<tr>
<td></td>
<td>Ministry of Law</td>
<td>The WIPO Center collaborates with the Ministry of Law in the promotion of the use of ADR options for intellectual property disputes in Singapore. The Ministry of Law has designated the WIPO Center as mediation service provider in Singapore.334</td>
</tr>
<tr>
<td>Spain</td>
<td>Spanish Patent and Trademark Office (OEPM)</td>
<td>The WIPO Center collaborates with OEPM in the promotion of the use of ADR options for industrial property disputes in Spain.335 The WIPO Center has also participated in the development of the OEPM model Research and Development (R&amp;D) agreements, which recommend WIPO Mediation and WIPO Expedited Arbitration options.336</td>
</tr>
<tr>
<td>Switzerland</td>
<td>Swiss Federal Institute of Intellectual Property</td>
<td>The WIPO Center collaborates with Swiss Federal Institute of Intellectual Property in the promotion of the use of ADR options for intellectual property disputes.</td>
</tr>
<tr>
<td>Thailand</td>
<td>Central Intellectual Property and International Trade Court (CIPITC)</td>
<td>The WIPO Center collaborates with CIPITC in the promotion of the use of ADR options for intellectual property disputes in Thailand.</td>
</tr>
</tbody>
</table>

| United Kingdom | Intellectual Property Office (IPO) of the United Kingdom | The WIPO Center collaborates with the IPO of the United Kingdom in the promotion of the use of ADR options for industrial property disputes in the United Kingdom.  
| United States of America | United States Patent and Trademark Office (USPTO) | The Trademark Trial and Appeal Board (TTAB) and the Patent Trial and Appeal Board (PTAB) of the USPTO encourage parties to consider ADR as a means of settling the issues raised in any trademark or patent proceedings. The WIPO Center is one of the listed dispute resolution services providers for TTAB and PTAB proceedings. The WIPO Center also collaborates with the USPTO in the promotion of the use of ADR options for intellectual property disputes in the United States. |

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### Commencement of WIPO Center Collaborations with IPOs and Courts - By Year

<table>
<thead>
<tr>
<th>Year</th>
<th>Collaborations</th>
</tr>
</thead>
</table>
| 2018 | - CNIPA (China)
      |   - KECCOBO (Kenya)
      |   - KIPO (Republic of Korea)
      |   - Ministry of Justice (Republic of Korea)
      |   - ORDA (Romania)
      |   - IPI (Switzerland)
      |   - CIPITC (Thailand) |
| 2017 | - INPI (Argentina)
      |   - IP Australia (Australia)
      |   - National Register (Costa Rica)
      |   - OCPI (Cuba)
      |   - ONDA (Dominican Republic)
      |   - ILPO (Israel)
      |   - Ministry of Culture (Lithuania)
      |   - PPO (Poland)
      |   - ROSPATENT (Russian Federation)
      |   - IP Office (Serbia) |
| 2016 | - CNR (El Salvador)
      |   - DINAPI (Paraguay) |
| 2015 | - OEPM (Spain)
      |   - USPTO (US) |
| 2014 | - DNDA (Colombia)
      |   - DGIP (Indonesia)
      |   - IMPI (Mexico)
      |   - IPOPHL (Philippines) |
| 2012 | - INPI-BR (Brazil)
      |   - MCST-KCC (Republic of Korea)
      |   - MCST-KOCCA (Republic of Korea) |
| 2011 | - IPOS (Singapore)
      |   - IPO (UK) |
| 2009 | - MinLaw (Singapore) |
A.2 WIPO Center Collaboration Examples: Raising Awareness of ADR Options

A.2.1 IP Australia

In January 2017 IP Australia and the WIPO Center launched an initiative to provide ADR options for resolving intellectual property and technology disputes in Australia\textsuperscript{341}.

This service provides Australian business with improved access to mediation, arbitration and expert determination and enables parties to settle international intellectual property disputes in a time and cost efficient manner. To this end, the WIPO Center makes available at no cost to interested parties online communication options, including WIPO ECAF and videoconferencing facilities.

IP Australia’s webpage on ADR

A.2.2 Israel Patent Office (ILPO)

ILPO and the WIPO Center jointly promote the use of ADR for intellectual property and technology disputes in Israel, including by distributing publications and other information materials, making available dedicated webpages and providing training for ILPO’s users.342

ILPO’s webpage on ADR

A.2.3 Mexican Institute of Industrial Property (IMPI Mexico)

IMPI Mexico and the WIPO Center entered into a cooperation agreement in September 2014 to raise awareness and promote the use of ADR for industrial property and technology disputes in Mexico.

Since then, IMPI Mexico and the WIPO Center have worked in close collaboration to spread the word among intellectual property stakeholders in Mexico, including multinational and small and medium companies, startups, universities, inventors and entrepreneurs.343

Examples of activities have included seminars and workshops, including in collaboration with Mexican intellectual property associations, 344 and awareness raising campaigns by making available information online and via social media channels.

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344 The National Association of In-house Lawyers (Asociación Nacional de Abogados de Empresa – ANADE), and the Mexican Association for Intellectual Property Protection (Asociación Mexicana para la Protección de la Propiedad Intelectual), among others.
A.2.4 WIPO Technology and Innovation Support Center Program (TISC)

The WIPO TISC program\(^{345}\) in collaboration with IP authorities provides innovators in developing countries with access to locally based technology information and related services, helping them to exploit their innovative potential and create, protect, and manage their intellectual property rights.

Efficient dispute avoidance and resolution practices support the success of international and domestic R&D and transfer of technologies transactions. The WIPO TISC program and the WIPO Center cooperate to raise awareness of WIPO ADR, bringing practical information to the attention of the TISC program participants.

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\(^{346}\) The flyer is also available in other languages.
A.3 WIPO Center Collaboration Examples: Case Administration

A.3.1 Intellectual Property Office of Singapore (IPOS)

WIPO Mediation

In Singapore, IPOS has offered since January 2012 mediation services for trademark (opposition, invalidation and revocation) and subsequently also patent proceedings before IPOS in conjunction with the WIPO Center. Parties can agree to refer such disputes to the WIPO Center for mediation in accordance with the WIPO Mediation Rules. IPOS and the WIPO Center make available forms to facilitate the submission of disputes to WIPO mediation, and offer discounted fees for such referrals.\(^ {347} \)

Parties may submit to WIPO Mediation at any time before a final decision is issued by IPOS, and IPOS will proactively inform parties about the possibility to submit their dispute to WIPO Mediation at an early stage of the proceedings, after parties have filed their pleadings.\(^ {348} \)

If both parties agree to mediate, they can jointly submit a Request for WIPO Mediation to the WIPO Center and IPOS. If one party wishes to propose mediation to the other party, the proposing party completes the Request for WIPO Mediation and sends it to the WIPO Center Office in Singapore as well as to the other party and IPOS. The WIPO Center approaches the other party to help parties consider the Request for WIPO Mediation.

IPOS makes available a Mediation Promotion Scheme\(^ {349} \) to encourage parties in IPOS proceedings to use mediation by funding the process, so that more parties can experience mediation as an attractive alternative to a hearing at IPOS for resolving their disputes satisfactorily.

If the parties are unable to fully resolve their dispute, the initiating party is to inform IPOS in writing of such, and the remaining issues will be returned to IPOS for adjudication.

\begin{center}
\textbf{Case Example}\(^ {350} \): A WIPO Mediation of Trademark Opposition Proceedings at IPOS
\end{center}

A Singaporean construction company filed oppositions against applications for the registration of three trademarks with IPOS, alleging similarity of key components to its trademark. The trademarks in question were applied for by three commercially connected entities based in Singapore, Malaysia and Indonesia. In addition, parties had long pending cross-border commercial and intellectual property disputes. The parties agreed to submit all trademark oppositions to WIPO mediation in Singapore consolidated into a single mediation, and stated that the parties wished to resolve all the outstanding proceedings on a global basis.

The WIPO Center proposed a Singaporean intellectual property lawyer as mediator. A one-day mediation session took place at Maxwell Chambers in Singapore. The parties settled the trademark disputes as well as their additional commercial disputes four months after the commencement of the mediation.

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Request for WIPO Mediation

1. Parties

Please provide the following contact information:

<table>
<thead>
<tr>
<th>Initiating party in the dispute</th>
<th>Responding party in the dispute</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td>Name</td>
</tr>
<tr>
<td>Country of domicile</td>
<td>Country of domicile</td>
</tr>
<tr>
<td>Tel</td>
<td>Tel</td>
</tr>
<tr>
<td>Email</td>
<td>Email</td>
</tr>
<tr>
<td>Address</td>
<td>Address</td>
</tr>
<tr>
<td>Represented by</td>
<td>Represented by</td>
</tr>
<tr>
<td>Tel</td>
<td>Tel</td>
</tr>
<tr>
<td>Email</td>
<td>Email</td>
</tr>
<tr>
<td>Address</td>
<td>Address</td>
</tr>
</tbody>
</table>

2. Dispute

Please provide a brief description of the dispute:


3. Time period for mediation

The following period will be set aside for mediation, as may be extended upon agreement:

- [ ] 30 days
- [ ] 60 days
- [ ] 90 days

4. Submission to WIPO Mediation

<table>
<thead>
<tr>
<th>Initiating party in the dispute</th>
<th>Responding party in the dispute</th>
</tr>
</thead>
<tbody>
<tr>
<td>The initiating party in the dispute agrees to submit the above-described dispute to mediation in accordance with the WIPO Mediation Rules.</td>
<td>The responding party in the dispute agrees to submit the above-described dispute to mediation in accordance with the WIPO Mediation Rules.</td>
</tr>
<tr>
<td>Please sign this form and submit it to <a href="mailto:arbiter.mail@wipo.int">arbiter.mail@wipo.int</a></td>
<td>Please sign this form and submit it to <a href="mailto:arbiter.mail@wipo.int">arbiter.mail@wipo.int</a></td>
</tr>
<tr>
<td>Signature : ____________________</td>
<td>Signature : ____________________</td>
</tr>
<tr>
<td>Place and Date : ________________</td>
<td>Place and Date : ________________</td>
</tr>
</tbody>
</table>

IPOS-WIPO Model Request for Mediation
WIPO Expert Determination

In Singapore, IPOS has offered expert determination services for contentious patent proceedings before IPOS in conjunction with the WIPO Center since April 2014. Parties are allowed to submit their dispute to WIPO Expert Determination at any stage of the patent proceedings before IPOS.

If the parties wish to proceed with WIPO Expert Determination, they must submit an Agreement and Request for WIPO Expert Determination in IPOS Patent Proceedings to the WIPO Center.

IPOS and the WIPO Center make available forms to facilitate the submission of disputes to WIPO Expert Determination, and offer discounted fees for such referrals. The WIPO Center will administer the proceedings and assist in the appointment of an appropriate expert.\textsuperscript{351} Parties can request for the proceedings before IPOS to be suspended to account for the expert determination hearing.\textsuperscript{352}

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A.3.2 Intellectual Property Office of the Philippines (IPOPHL)

In the Philippines, IPOPHL has offered mediation services for intellectual property disputes since 2010. Mediation is mandatory for the following types of intellectual property disputes administered by IPOPHL:

- administrative complaints for violation of intellectual property rights and/or unfair competition
- *inter partes* cases, such as trademark opposition and cancellation proceedings
- disputes involving technology transfer payments
- disputes relating to the terms of a license involving the author’s rights to public performance or other communication of his work
- cases on appeal to the Office of the Director General from decisions of the Bureau of Legal Affairs and the Documentation, Information and Technology Transfer Bureau
- all other cases which may be referred to mediation during the settlement period declared by the Director General

Mediation services for disputes pending before IPOPHL can be provided by different ADR institutions, depending on the nature of the dispute. Generally, disputes can be referred to the IPOPHL Alternative Dispute Resolution Services (ADRS) for mediation, to be administered according to the IPOPHL Mediation Rules. Since 2011, IPOPHL has mediated over 1,700 cases.

Since April 2015, where one or both parties are domiciled outside of the Philippines, the dispute can also be submitted to the WIPO Center to be administered in accordance with the WIPO Mediation Rules. Parties can submit an application for mediation to the WIPO Center after their case has been referred to IPOPHL for mandatory briefing on the mediation options. For parties that opt for WIPO Mediation, the WIPO Center will administer the proceedings and also assist in the appointment of an appropriate mediator. IPOPHL and the WIPO Center make available forms to facilitate the submission of disputes to WIPO mediation, and offer discounted fees for such referrals.

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If the party initiating the claim fails to attend the mediation, the case may be dismissed. If the opposing party fails to attend the mediation, he may be declared to be in default. The absent party may be required to reimburse the other party up to treble the costs incurred, including any lawyers’ fees.

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**IPOPHL Model Agreement and Request for Mediation/Mediator’s Report**

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Intellectual Property Office of the Philippines ‘Office Order No. 154’

The Trademark Trial and Appeal Board (TTAB) and the Patent Trial and Appeal Board (PTAB) of the USPTO encourage parties to consider ADR as a means of settling the issues raised in any trademark or patent proceedings. The WIPO Center is one of the listed dispute resolution services providers for TTAB and PTAB proceedings.

### NOTICE CONCERNING ALTERNATIVE DISPUTE RESOLUTION (ADR)

The Trademark Trial and Appeal Board encourages parties to consider alternative dispute resolution as a means of settling the issues raised in any opposition or cancellation proceeding. Although more than 95% of Board proceedings are decided prior to trial (by settlement or by entry of pre-trial judgment), consideration of alternative dispute resolution techniques early in a proceeding might produce a quicker, mutually agreeable resolution of a dispute or might, at least, narrow the scope of discovery or the issues for trial. In either circumstance, alternative dispute resolution might save parties time and money.

Many non-profit organizations, both inside and outside the intellectual property field, offer alternative dispute resolution services. Listed below are the names and addresses of organizations that have indicated that they can make arrangements for alternative dispute resolution. The listings are provided for the convenience of parties involved in cases before the Board; the Board does not sponsor or endorse any particular organization’s alternative dispute resolution services.

<table>
<thead>
<tr>
<th>Organization</th>
<th>Telephone</th>
<th>Fax</th>
<th>Website</th>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Trademark Association</td>
<td>(212) 642-1732</td>
<td>(212) 768-7796</td>
<td><a href="http://www.inta.org/Mediation/Pages/Mediation.aspx">http://www.inta.org/Mediation/Pages/Mediation.aspx</a></td>
<td><a href="mailto:cclark@inta.org">cclark@inta.org</a></td>
</tr>
<tr>
<td>CPR Institute for Dispute Resolution</td>
<td>(212) 949-6490</td>
<td></td>
<td><a href="http://www.cpradr.org">www.cpradr.org</a></td>
<td><a href="mailto:info@cpradr.org">info@cpradr.org</a></td>
</tr>
<tr>
<td>American Intellectual Property Law Association (AIPLA)</td>
<td>(703) 415-0780</td>
<td>(703) 415-0786</td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Arbitration Association (AAA) Headquarters</td>
<td>(212) 484-3266</td>
<td>(212) 307-4387</td>
<td></td>
<td></td>
</tr>
<tr>
<td>WIPO Arbitration and Mediation Center</td>
<td>+4122 338 8247</td>
<td></td>
<td><a href="http://www.wipo.int/amc/en/">http://www.wipo.int/amc/en/</a></td>
<td><a href="mailto:arbitr_mail@wipo.int">arbitr_mail@wipo.int</a></td>
</tr>
</tbody>
</table>

If parties to a Board proceeding consider using alternative dispute resolution, the Board would like to know, and if the parties actually engage in alternative dispute resolution, the Board would be interested to learn what mechanism (e.g., arbitration, mediation, etc.) was used and with what general result. Such a statement from the parties is not required but would be helpful to the Board in assessing the value of alternative dispute resolution to parties involved in Trademark Trial and Appeal Board proceedings. To report any experience with ADR, please forward a summary of the particulars to the following email address: TTAB_settlement_comments@uspto.gov.
A.3.4 National Directorate Copyright of Colombia (DNDA)

In Colombia, DNDA has offered conciliation services for disputes involving copyright and related rights since 2012.\(^{362}\) Conciliations at DNDA are administered according to its Internal Conciliation and Arbitration Rules, which are based on Colombia’s laws on conciliation.

Requests for conciliation can be filed by one or both parties to the dispute. The parties can choose to appoint their own conciliator for the hearing from the list of conciliators provided by DNDA. Otherwise, DNDA can either appoint one of its internal officers as the conciliator,\(^ {363}\) or choose an external conciliator that satisfies its requirements and has been previously registered in that list.

If a party fails to attend the conciliation hearing, the conciliator can issue a certificate that can be submitted in subsequent court proceedings. If the parties are able to reach a settlement, the terms of the settlement will be recorded by the conciliator in a certificate that is enforceable as a court judgment. The conciliator will issue a certificate stating the outcome of the mediation in the event that no settlement is reached.

Pursuant to a collaboration agreement with DNDA, the WIPO Center administers mediation proceedings concerning copyright and related rights in Colombia. DNDA and the WIPO Center make available forms to facilitate the submission of disputes to WIPO mediation, and offer discounted fees for such referrals.\(^ {364}\)


363 National Directorate Copyright of Colombia internal officers are appointed as conciliators through a rotation system. A list of conciliators at the DNDA can be viewed at the website for the Programa Nacional de Conciliacion. See Ministry of Justice and Law, ‘Centro de Conciliación y Arbitraje de la Dirección Nacional de Derecho de Autor “FERNANDO HINESTROSA”’ [Programa Nacional de Conciliación] [http://conciliacion.gov.co/portal/conciliadores_centro/CentroId/3390](http://conciliacion.gov.co/portal/conciliadores_centro/CentroId/3390) accessed September 2018.

A.3.5 Korea Copyright Commission (KCC)

In the Republic of Korea, KCC has offered mediation services for copyright disputes since 1988, and has provided court-annexed mediation services at the Seoul District Court since 2013. As of December 2015, KCC has administered a total of 1,777 mediation requests. Mediations at KCC are administered according to the KCC Conciliation Rules and the Copyright Act.

Requests for mediation can be filed by one or both parties to the dispute, and KCC procedures will be generally completed within three months. The Copyright Act provides that information disclosed during the mediation is confidential, and cannot be admitted by the parties in subsequent litigation or arbitration proceedings.

If a party fails to attend the mediation, the mediators can issue a certificate that can be submitted in subsequent court proceedings. If the parties are able to reach a settlement, the terms of the settlement will be recorded by the conciliator in a certificate that is binding and enforceable by the parties in the same way as a court order.

KCC can also refer disputes to the WIPO Center for mediation. KCC and the WIPO Center make available forms to facilitate the submission of disputes to WIPO mediation, and offer discounted fees for such referrals.

KCC has provided similar mediation services for copyright claims litigated at the Seoul District Court since 2013. See Lee Hae Wan, ‘Introduction of KCC ADR System and Achievements’ in WIPO Arbitration and Mediation Center and the Korea Copyright Commission, 2014 WIPO-KCC Copyright Mediation Workshop (2014) 62.


Articles 115 and 116, Copyright Act of 1957, Republic of Korea; Lee Hae Wan, ibid. 361, 54.

Article 117, Copyright Act of 1957, Republic of Korea; Lee Hae Wan, ibid. 361, 52.


Lee Hae Wan, ibid. 361, 136.
A.3.6 Korea Creative Content Agency (KOCCA)

KOCCA is a governmental organization in the Republic of Korea affiliated with the Ministry of Culture, Sports and Tourism, and dedicated to fostering Korean cultural content industry. According to the Content Industry Promotion Act of Korea, the Content Dispute Resolution Committee (KCDRC) of KOCCA provides mediation for the resolution of the disputes arising out of the use of content.

KCDRC Mediation Rules allow one party to file a mediation request unilaterally without the consent of the other party, but the mediation will only be commenced with the consent of both parties. The settlement agreement resulting from KCDRC mediation is enforceable with the same effect as a final court judgment. Since the establishment of KCDRC in 2011, it has been receiving an increasing number of mediation requests.372

To promote alternative dispute resolution of content disputes in the Republic of Korea, KOCCA and the WIPO Center concluded a Memorandum of Understanding in September 2012. Pursuant to this collaboration agreement, parties have the option of submitting international disputes to WIPO Mediation. KOCCA and the WIPO Center make available forms to facilitate such submission, and offer discounted fees for such referrals.373

KOCCA’s webpage on ADR

For example, in 2014 it administered 157 mediation requests.

A.3.7 Patent Office of the Republic of Poland (PPO)

Effective June 1, 2018, the WIPO Arbitration and Mediation Center and PPO collaborate to offer to parties to PPO trademark opposition proceedings the option to resolve such disputes through mediation under the WIPO Mediation Rules.\(^{374}\) The WIPO Mediation option may be especially advantageous for parties seeking to settle trademark opposition related disputes in multiple jurisdictions.

Once an opposition to a trademark application is filed, PPO notifies the applicant of the trademark and informs both parties of the possibility of an amicable settlement of the dispute within two months of the date of notification by PPO.\(^{375}\) The two-month period may be extended up to a total of six months upon the joint request of the parties.\(^{376}\)

Mediation also is available in proceedings relating to the opposition against the designation of the Republic of Poland for the extension of the protection for an international trademark.\(^{377}\)

Parties trying to reach an amicable settlement may submit a Request for Mediation to the WIPO Center. The party that wishes to commence a mediation shall submit a Request for Mediation to the Center, with a copy to the other party. The WIPO Center will provide parties with information on next steps of the procedure, fees and, if requested by the parties, a list of potential mediators. Throughout the procedure, the WIPO Center will liaise with parties and mediator to ensure optimal procedural efficiency.\(^{378}\)

Before the expiration of the time limit for amicable settlement, parties inform PPO of its outcome. In case of settlement, the parties can request PPO to terminate trademark opposition proceedings. The parties benefit from the reimbursement of 50% of PPO trademark opposition fee where the settlement has been reached with the two-month (or six-month, accordingly) period for amicable settlement. If the parties fail to reach settlement during the six-months period but they want to continue with the mediation, the opposition procedure before PPO may be suspended upon joint request of the parties.

\(^{374}\) The WIPO Mediation Rules as well as the PPO-WIPO Model Request for Mediation are available in English and Polish.

\(^{375}\) Article 152\(^{19}\) par. 1 of Industrial Property Law.

\(^{376}\) Article 152\(^{18}\) par. 2 of Industrial Property Law.

\(^{377}\) Article 152\(^{6a}\) par. 3 of Industrial Property Law.

### Request for WIPO Mediation

#### 1. Parties
Please provide the following contact information:

<table>
<thead>
<tr>
<th>Initiating party in the dispute</th>
<th>Responding party in the dispute</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name :</td>
<td>Name :</td>
</tr>
<tr>
<td>Country of domicile</td>
<td>Country of domicile</td>
</tr>
<tr>
<td>Tel :</td>
<td>Tel :</td>
</tr>
<tr>
<td>Email :</td>
<td>Email :</td>
</tr>
<tr>
<td>Address :</td>
<td>Address :</td>
</tr>
<tr>
<td>Represented by</td>
<td>Represented by</td>
</tr>
<tr>
<td>Tel :</td>
<td>Tel :</td>
</tr>
<tr>
<td>Email :</td>
<td>Email :</td>
</tr>
<tr>
<td>Address :</td>
<td>Address :</td>
</tr>
</tbody>
</table>

#### 2. Dispute
Please provide a brief description of the dispute:

---

#### 3. Submission to WIPO Mediation

<table>
<thead>
<tr>
<th>Initiating party in the dispute</th>
<th>Responding party in the dispute</th>
</tr>
</thead>
<tbody>
<tr>
<td>The initiating party in the dispute agrees to submit the above-described dispute to mediation in accordance with the WIPO Mediation Rules.</td>
<td>The responding party in the dispute agrees to submit the above-described dispute to mediation in accordance with the WIPO Mediation Rules.</td>
</tr>
<tr>
<td>Please sign this form and submit it to <a href="mailto:arbitral.mail@wipo.int">arbitral.mail@wipo.int</a>.</td>
<td>Please sign this form and submit it to <a href="mailto:arbitral.mail@wipo.int">arbitral.mail@wipo.int</a>.</td>
</tr>
<tr>
<td>Signature :</td>
<td>Signature :</td>
</tr>
<tr>
<td>Place and Date :</td>
<td>Place and Date :</td>
</tr>
</tbody>
</table>

---

PPO-WIPO Model Request for Mediation
A.4 Collaboration Examples: ADR Options in R&D Model Agreements

A.4.1 Spanish Patent and Trademark Office (OEPM)

Parties involved in R&D collaborations and technology transfer transactions often use model agreements as a basis for drafting and negotiating their contracts. To help optimize dispute resolution in R&D and technology transfer, OEPM and the WIPO Center, together with representatives from the Ministry of Economy, Industry and Competitiveness (MINECO), the Higher Council for Scientific Research (CSIC) and the Licensing Executives Society (LES) Spain and Portugal, collaborated in the development and dissemination of model agreements for R&D collaborations, which recommend WIPO mediation and expedited arbitration options.

In September 2016, OEPM launched a number of such model R&D and technology transfer agreements, including a material transfer agreement, non-disclosure agreement and patent/utility model licensing agreement.

OEPM Model R&D Agreements (available also in Spanish)

OEPM and the WIPO Center also collaborate to raise awareness of the advantages of using ADR to resolve industrial property and technology disputes in Spain.


Appendix B: WIPO Center References

B.1 WIPO ADR Rules

|----------------------|------------------------------------------|

B.2 Fees for ADR Services under WIPO Rules\(^{381}\)

The fees below apply to cases submitted to WIPO Mediation, Arbitration, Expedited Arbitration and Expert Determination in accordance with the WIPO Schedule of Fees. Under some collaborations between the WIPO Center and IPOs, discounted fees have been agreed.\(^{382}\)

B.2.1 Mediation

<table>
<thead>
<tr>
<th>Amount in Dispute</th>
<th>Administration Fees(^{383})</th>
<th>Mediator’s Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to USD 250,000</td>
<td>USD 250</td>
<td>USD 2,500 (*)</td>
</tr>
<tr>
<td>Over USD 250,000</td>
<td>0.10% of the value of the mediation, up to a maximum fee of USD 10,000</td>
<td>USD 300 – 600 per hour (**)</td>
</tr>
</tbody>
</table>

(*) Indicative rates for 10 hours of preparation and mediation.
(**) Indicative rates.

\(^{381}\) World Intellectual Property Organization Arbitration and Mediation Center, ‘Mediation, (Expedited) Arbitration, Expert Determination Fee Calculator’ \[http://www.wipo.int/amc/en/calculator/adr.jsp\] accessed September 2018. A 25% reduction on the Center’s administration fees applies if a party (or both parties) to the dispute is (are) named as applicant or inventor in a published PCT application, holders of international registrations under the Hague system or the Madrid system, or WIPO Green technology providers or seekers.

\(^{382}\) See examples in Appendix A.3.

\(^{383}\) The value of the mediation is determined by the total value of the amounts claimed by the parties. Where the monetary value of the mediation is not indicated, or where the dispute concerns issues that are not quantifiable in monetary amounts, an administration fee of USD 1,000 shall be payable, subject to adjustment. World Intellectual Property Organization Arbitration and Mediation Center, ‘Schedule of Fees and Costs’ \[http://www.wipo.int/amc/en/mediation/fees/\] accessed September 2018.
### B.2.2 Expedited Arbitration and Arbitration

<table>
<thead>
<tr>
<th>Type of Fee</th>
<th>Amount in Dispute</th>
<th>Expedited Arbitration</th>
<th>Arbitration</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Registration Fee</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Any amount</td>
<td>USD 1,000</td>
<td>USD 2,000</td>
<td></td>
</tr>
<tr>
<td><strong>Administration Fee(*)</strong></td>
<td>Up to USD 2.5M</td>
<td>USD 1,000</td>
<td>USD 2,000</td>
</tr>
<tr>
<td>Over USD 2.5M and up to USD 10M</td>
<td>USD 5,000</td>
<td>USD 10,000</td>
<td></td>
</tr>
<tr>
<td>Over USD 10M</td>
<td>USD 5,000 +0.05% of amount over USD 10M up to a maximum fee of USD 15,000</td>
<td>USD 10,000 +0.05% of amount over USD 10M up to a maximum fee of USD 25,000</td>
<td></td>
</tr>
<tr>
<td><strong>Arbitrator(s) Fees</strong></td>
<td>Up to USD 2.5M</td>
<td>USD 20,000 (fixed fee) (**)</td>
<td>As agreed by the Center in consultation with the parties and the arbitrator(s)</td>
</tr>
<tr>
<td>Over USD 2.5M and up to USD 10M</td>
<td>USD 40,000 (fixed fee) (**)</td>
<td>As agreed by the Center in consultation with the parties and the arbitrator(s)</td>
<td></td>
</tr>
<tr>
<td>Over USD 10M</td>
<td>As agreed by the Center in consultation with the parties and the arbitrator(s)</td>
<td>Indicative rate(s): USD 300 to 600 per hour.</td>
<td></td>
</tr>
</tbody>
</table>

(*) Each bracket indicates the total amount of the fees payable in a dispute, e.g. the administration fee payable in an expedited Arbitration when the amount in dispute is $5million is $5,000 (and not a fee of $6,000 which would have resulted from adding the fees of $5,000 and $1,000).

(**) May be reduced or increased based on the complexity of the subject matter of the dispute and the time spent by the arbitrator.

### B.2.3 Expert Determination

<table>
<thead>
<tr>
<th>Administration Fees</th>
<th>Expert’s Fees (*)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.10% of the value of the expert determination, subject to a maximum of USD 10,000</td>
<td>USD 300 – 600 per hour</td>
</tr>
</tbody>
</table>

(*) Indicative rates

---

384 The value of the expert determination is determined by the total value of the amounts claimed by the parties. Where the monetary value of the expert determination is not indicated, or where the dispute concerns issues that are not quantifiable in monetary amounts, an administration fee of USD 1,000 shall be payable, subject to adjustment. World Intellectual Property Organization Arbitration and Mediation Center, ‘Schedule of Fees and Costs’ [http://www.wipo.int/amc/en/expert-determination/fees/index.html](http://www.wipo.int/amc/en/expert-determination/fees/index.html) accessed September 2018.
B.3 Model WIPO ADR Clauses and Agreements

The WIPO Center provides sample contract clauses for the submission of future disputes and submission agreements for existing disputes at [http://www.wipo.int/amc/en/clauses/index.html](http://www.wipo.int/amc/en/clauses/index.html). These model clauses and agreements allow parties to submit their dispute to WIPO Mediation, Expert Determination, Expedited Arbitration and/or Arbitration (or combinations of these procedures), and are also available in Arabic, Chinese, English, French, German, Japanese, Korean, Portuguese, Russian and Spanish.

B.3.1 WIPO Clause Generator

To assist parties in the drafting of clauses and submission agreements, the WIPO Center makes available the WIPO Clause Generator. This WIPO tool allows parties to develop tailored clauses and submission agreements by selecting WIPO ADR procedures, core elements, such as place and language of proceedings and applicable law, and, if desired, additional elements, including qualifications of neutral.
B.3.2 WIPO Mediation Followed, in the Absence of a Settlement, by Court Litigation

To facilitate parties’ submission of their disputes to mediation while retaining court options, the WIPO Center makes available model clauses and submission agreements providing for WIPO Mediation followed, in the absence of a settlement, by court litigation.386

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B.3.3 Unilateral Request for WIPO Mediation

In addition to its model clauses and submission agreements for consensual referral to WIPO ADR, the WIPO Center makes available a model Request for Mediation to facilitate submission of a dispute to mediation in cases where there is no mediation agreement between the parties, in accordance with Article 4(a) of the WIPO Mediation Rules. Similar options are also available under Article 6 of the WIPO Expert Determination Rules.

![Model Request for WIPO Mediation](image)

**Request for WIPO Mediation**
*(Article 4 of the WIPO Mediation Rules)*

*Note: The requesting party shall complete sections 1 and 2(a). The other party shall complete section 2(b).*

**1. Parties**

Please provide the following contact information:

<table>
<thead>
<tr>
<th>Requesting Party</th>
<th>Other Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
<td>Name:</td>
</tr>
<tr>
<td>Country of domicile:</td>
<td>Country of domicile:</td>
</tr>
<tr>
<td>Tel:</td>
<td>Tel:</td>
</tr>
<tr>
<td>E-mail:</td>
<td>E-mail:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
<tr>
<td>Represented by:</td>
<td>Represented by:</td>
</tr>
<tr>
<td>Tel:</td>
<td>Tel:</td>
</tr>
<tr>
<td>E-mail:</td>
<td>E-mail:</td>
</tr>
<tr>
<td>Address:</td>
<td>Address:</td>
</tr>
</tbody>
</table>

**2. Dispute**

Please provide a brief description of the dispute:


a) The requesting party agrees to submit the above-described dispute to mediation in accordance with the WIPO Mediation Rules.

Please sign this form and submit it to arbiter.mail@wipo.int and to the other party.

Place and Date: 
Signature: 

b) The other party agrees to submit the above-described dispute to mediation in accordance with the WIPO Mediation Rules.

Please sign this form and submit it to arbiter.mail@wipo.int and to the requesting party.

Place and Date: 
Signature: 

Model Request for WIPO Mediation
Specialized WIPO ADR Services for Specific Schemes

Specific areas of intellectual property transactions may benefit from targeted adaptations of the standard WIPO ADR framework, for example in relation to rules, fees and clauses. Such adaptations promote efficiency gains through ADR processes that reflect legal and business standards and needs of the area. In addition to its collaborations with IPOs, covered by this Guide, the WIPO Center’s ADR services for Specific Sectors currently cover the following areas:

- Art and Cultural Heritage
- Energy
- Film and Media and Entertainment
- Franchising
- Information and Communication Technology
- Life Sciences
- Patents in Standards
- Research and Development/Technology Transfer
- Sports
- Trade Fairs

WIPO Alternative Dispute Resolution (ADR) Services for Specific Sectors
http://www.wipo.int/amc/en/center/specific-sectors/
accessed September 2018.
Appendix C: Sample WIPO Center Information Document

Referring Intellectual Property and Technology Court Cases to WIPO ADR

Where intellectual property and technology disputes are pending before the courts of [specify jurisdiction], alternative dispute resolution (ADR) procedures can offer additional benefits in bringing such cases to a successful conclusion.

ADR may present a suitable opportunity for cases pending before the courts where the parties are willing to explore settlement or need the assistance of an expert in a technical or scientific matter. The WIPO Center administers cases referred to ADR by national courts as well as by other adjudicative bodies, including Intellectual Property Offices.

**WIPO Mediation**

In a mediation procedure, a neutral intermediary, the mediator, helps the parties to reach a mutually satisfactory settlement of their dispute. Any settlement is recorded in an enforceable contract. Mediation is an efficient and cost-effective way of settling a case while preserving, and at times even enhancing, the relationship of the parties.

The principal characteristics of mediation are:

- Mediation is a non-binding procedure controlled by the parties
- Mediation is a confidential procedure
- Mediation is an interest-based procedure

Parties involved in proceedings pending before national courts may submit their dispute to WIPO Mediation by filing their agreement for WIPO Mediation with the WIPO Center.

**Recommended Model Submission Agreement to WIPO Mediation**

“We, the undersigned parties, hereby agree to submit to mediation in accordance with the WIPO Mediation Rules the following dispute:

[brief description of the dispute]

The place of mediation shall be [specify place]. The language to be used in the mediation shall be [specify language].”

Upon receiving the agreement to WIPO Mediation, the WIPO Center will contact the parties regarding the appointment of the mediator and the applicable fees. While the parties are free to identify a suitable candidate for such appointment themselves, the WIPO Center is available to assist with the provision of a shortlist of qualified candidates taking account of the requirements of the case.

A party that wishes to propose referring a dispute to WIPO Mediation can also unilaterally submit a Request for Mediation to the WIPO Center. Article 4(a) of the WIPO Mediation Rules facilitates submission of a dispute to mediation in cases where there is no mediation agreement between the parties. This can be helpful in a court environment that encourages mediation. Also, upon request by a party, the WIPO Center may appoint an external neutral to help parties considering submission of the dispute to WIPO Mediation (Article 4(b)); provided the parties agree, such neutral may subsequently be appointed as mediator.
WIPO Arbitration

Arbitration is a procedure in which a dispute is submitted, by agreement of the parties, to one or more arbitrators who make a binding decision on the dispute. In choosing arbitration, the parties opt for a private dispute resolution procedure instead of going to court.

The principal characteristics of arbitration are:

- Arbitration is consensual
- The parties choose the arbitrator(s)
- Arbitration is neutral
- Arbitration is a confidential procedure
- The decision of the arbitral tribunal is final and easy to enforce

Parties involved in proceedings pending before national courts may submit their dispute to WIPO Arbitration by filing their agreement for WIPO Arbitration with the WIPO Center.

Recommended Model Submission Agreement to WIPO Arbitration

“We, the undersigned parties, hereby agree that the following dispute shall be referred to and finally determined by arbitration in accordance with the WIPO Arbitration Rules:

[brief description of the dispute]

The arbitral tribunal shall consist of [a sole arbitrator][three arbitrators]. The place of arbitration shall be [specify place]. The language to be used in the arbitral proceedings shall be [specify language]. The dispute shall be decided in accordance with the law of [specify jurisdiction]."

Upon receiving the agreement to WIPO Arbitration, the WIPO Center will contact the parties regarding the appointment of the arbitrator(s) and the applicable fees. While the parties are free to identify suitable candidates for such appointment themselves, the WIPO Center is available to assist with the provision of a shortlist of qualified candidates taking account of the requirements of the case.

The WIPO Center also offers WIPO Expedited Arbitration services, a form of arbitration that is carried out in a shortened time frame and at a reduced cost.

WIPO Expert Determination

Expert determination is a consensual ADR service offered by the WIPO Center in which a technical, scientific or related business issue between the parties is submitted to one or more experts who make a determination on the matter.

The principal characteristics of expert determination are:

- Expert determination is consensual
- The parties choose the expert(s) with relevant expertise
- Expert determination is neutral and flexible
- Expert determination is a confidential procedure
- The determination of an expert is binding, unless the parties agree otherwise
- Expert determination is a flexible procedure
Examples of matters that may benefit from expert determination include:

- the valuation of intellectual property assets or the determination of royalty rates
- the interpretation of the claims of a patent
- the extent of the rights that are covered by a license
- the assessment of damages

Parties involved in proceedings pending before national courts may submit their dispute to WIPO Expert Determination by filing their agreement for WIPO Expert Determination with the WIPO Center.

**Recommended Model Submission Agreement to WIPO Expert Determination**

“We, the undersigned parties, hereby agree to submit to expert determination in accordance with the WIPO Expert Determination Rules the following matter:

[brief description of the matter referred to expert determination]

The determination made by the expert shall [not] be binding upon the parties. The language to be used in the expert determination shall be [specify language].”

Upon receiving the agreement to WIPO Expert Determination, the WIPO Center will contact the parties regarding the appointment of the expert and the applicable fees. While the parties are free to identify a suitable candidate for such appointment themselves, the WIPO Center is available to assist with the provision of a shortlist of qualified candidates taking account of the requirements of the case.

A party that wishes to propose referring a dispute to WIPO Expert Determination can also unilaterally submit a Request for Expert Determination to the WIPO Center. Article 6(a) of the WIPO Expert Determination Rules facilitates submission of a dispute to expert determination in cases where there is no expert determination agreement between the parties. This can be helpful in pending court proceedings. Also, upon request by a party, the WIPO Center may appoint an external neutral to help parties considering submission of the dispute to WIPO Expert Determination (Article 6(b)); provided the parties agree, such neutral may subsequently be appointed as expert.