

 AD HOC 
PLATFORM

POWERED BY THE SCC

GUIDELINES

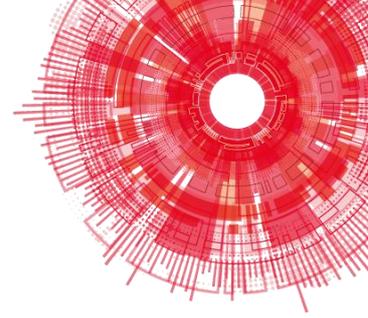
AD HOC PLATFORM

Guidelines for parties and arbitral tribunals

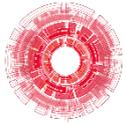
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1 INTRODUCTION



The Ad Hoc Platform – simplifying secure communication in *ad hoc* arbitration

The Ad Hoc Platform is a secure digital platform for communication and file sharing between the parties and the tribunal. It is offered by the Arbitration Institute of the Stockholm Chamber of Commerce (SCC) to *ad hoc* arbitrations. The Platform is offered free of charge during the COVID-19 outbreak in an effort to help facilitate efficiency in *ad hoc* arbitration at a time when more of the proceedings needs to be carried out online.

These guidelines instruct participants in arbitrations on the use of the Platform and address some of the questions that may arise along the way. The guidelines are not intended, and should not be understood, as arbitration rules. Using the Ad Hoc Platform for access and storage of the case material in an *ad hoc* arbitration is a stand-alone service and does not entail any administration by the SCC or that the arbitration is governed by the SCC Arbitration Rules.

Further information and “how-to” guides are available on the Platform under the tab “General Information”. Feel free to contact the SCC Secretariat with any questions on the use of the Platform, which are not addressed in these guidelines or on the Platform.



2 THE AD HOC PLATFORM

Access to and use of the Platform

Should the parties and the arbitrator(s) to an *ad hoc* arbitration wish to use the Ad Hoc Platform for the arbitration, the sole arbitrator or chairperson shall submit a request to the SCC at arbitration@chamber.se. An administrator will be allocated to the arbitration and address the request.

Once the request has been addressed, the case is registered on the Ad Hoc Platform. Each arbitration is allocated its own individual “site” on the Ad Hoc Platform. Only the SCC and the participants in the arbitration have access to the site. The parties gain access to the site upon invitation via email from the SCC.

First-time users of the Platform will be guided through a registration process to create a user profile and accept the terms and conditions for the use of the Platform. Users involved in multiple arbitrations use the same profile to access all sites. Users are encouraged to update their profiles with any changes to their contact information.



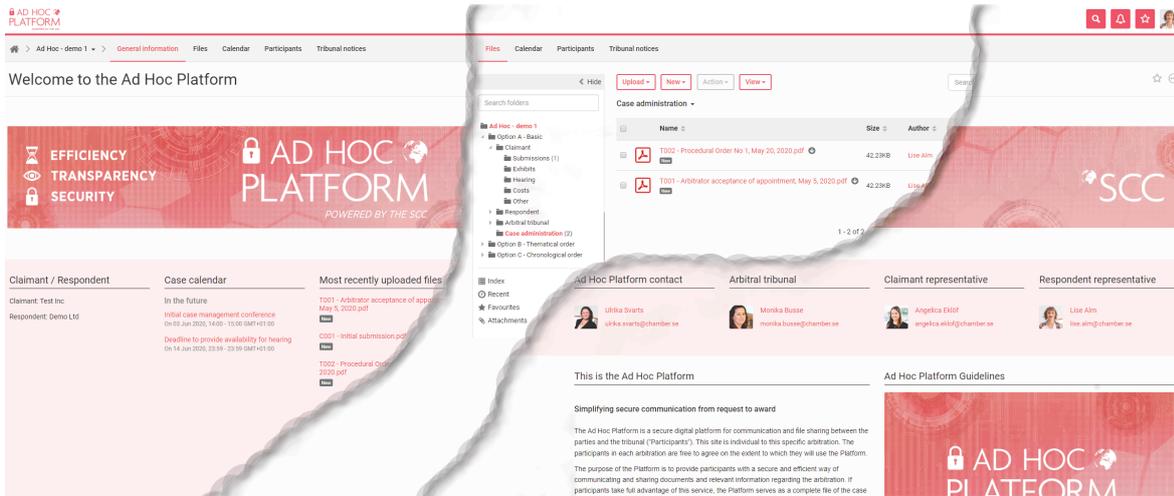
The purpose of the Platform is to provide participants with a secure and efficient way of communicating and sharing documents and relevant information regarding the arbitration. If participants take full advantage of this service, the Platform serves as a complete file of the case materials and as an archive up to a year after the arbitration is terminated.

3 RESPONSIBILITIES OF THE ARBITRATOR

Upon a request to use the Ad Hoc Platform, the SCC will enter into an agreement with the sole arbitrator/the chairman of the tribunal for the purpose of using the Ad Hoc Platform in the arbitration. The agreement stipulates some responsibilities of the arbitrator in relation to the use of the Platform, including the responsibility to:

- inform the SCC of the individuals who should have access to the site on the Platform and their respective roles in the arbitration (e.g. claimant's counsel, arbitrator appointed by respondent)
- inform the SCC of which folder structure to be used in the arbitration (see Appendix I)
- inform the SCC without delay of the date the final award was rendered, or the arbitration otherwise was terminated

4 PLATFORM STRUCTURE AND FUNCTIONS



Files

The participants to the *ad hoc* arbitration are responsible for uploading all relevant materials onto the Platform. Once the files are uploaded, they cannot be removed from the Platform.

It is recommended that the participants agree on the allocation of responsibilities as regards the upload of files onto the Platform, both in terms of populating the site initially with existing materials as well as continuously throughout the proceedings. The SCC will not upload documents in *ad hoc* arbitrations.

Calendar

The tribunal has the sole right to edit the case calendar. The tribunal is encouraged to keep the calendar updated in accordance with the timetable for the proceedings.

Participants

Only participants to the arbitration will be provided with access to the Platform. Participants in the arbitration include:

- Arbitrators;
- Administrative secretaries (if any);
- Parties; and
- Counsel



Access to the Platform is administered by the SCC. All user profiles are visible to all participants in the arbitration. Due to the technical set-up of the Platform, the SCC secretariat will have access to the information stored on the Platform but will not access it unless necessary for the administration of the Platform or otherwise upon the instruction to do so by any participant to the arbitration. All information on the Ad Hoc Platform will be kept in strict confidentiality by the SCC.

Tribunal Notices

A notice board function enables the tribunal to post practical information throughout the proceedings. Information posted on this board can be edited after posting by the tribunal. The participants to the arbitration can make comments in writing to such posts made by the tribunal.



5 ARCHIVING

Each site will remain accessible to the tribunal and the parties for one year after the end of the arbitration. During this period, participants in the arbitration will not be able to upload files to the site, however, the site will remain open for viewing and downloading files.



6 SECURITY

The Ad Hoc Platform is powered by HighQ, part of Thomson Reuters. HighQ is a world leading supplier of secure digital solutions for the legal profession used and trusted by 250+ law firms, including some of the largest in the world. The system is ISO 27001 certified and has a SOC2 Report.

All files are kept in cloud-based storage in high-security facilities with separate back-up facilities at a different location. Both the primary and back-up facilities are located in Germany. All data is encrypted using military-grade encryption and all files are scanned for malware and viruses when uploaded.

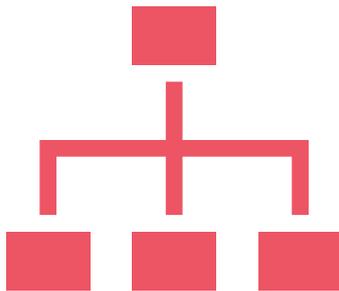
The system has numerous security systems in place; two-factor authentication, a single encrypted https entry point, web application firewalls, intrusion detection, log file monitoring, anti-virus, code scanning technologies, etc. The interface and settings are further designed to minimize the risk of human errors compromising security or confidentiality.



The system is regularly scanned for vulnerabilities by HighQ as well as by third party security experts. In addition, the system is subjected to third-party penetration tests at regular intervals.

The Platform has 99,9 % uptime and any scheduled maintenance downtime will be scheduled to minimise inconvenience to users.

HighQ adheres to high confidentiality standards and are contractually bound by confidentiality to the SCC. HighQ may neither access any files uploaded to the Platform, nor is it able to view or amend the list of people with access to different sites without the prior permission of the SCC.



APPENDIX I – Ad Hoc Platform folder structures and file naming

Selection of folder structures

The Platform provides several pre-set folder structures. There are three options for folder structures:

- Option A – Basic (default)
- Option B – Thematical order
- Option C – Chronological order

The folder structures are further described in Appendix I and visible in the files tab on the Platform.

The parties and the tribunal are advised to decide prior to requesting access to the Platform which of the three folder structures is to be used in the proceedings and inform the SCC accordingly. SCC will remove the options not selected.

General principles for folder structures

Option A – Basic will be selected in the arbitration unless the participants agree and inform the SCC otherwise upon request of access to the Platform.

The participants can add sub-folders to those folders to which they have user rights. Due to security restrictions, neither folders nor files can be moved or removed from the Platform once uploaded.

All folders are visible to all users, unless expressly indicated in the folder name (see Appendix I).

Option A – basic

Option A – Basic will be made available in the arbitration unless the participants agree and inform the SCC otherwise.

Case administration

Documents and files relating to the administration of the case.

Claimant

Only representatives of the claimant possess uploading rights, including to subfolders

Submissions

Exhibits

Hearing

Costs

Other

Respondent

Only representatives of the respondent possess uploading rights, including to subfolders

Submissions

Exhibits

Hearing

Costs

Other

Arbitral tribunal

Party communication with the tribunal

To/from the parties

From claimant (NOT VISIBLE TO THE RESPONDENT)

Restricted to submissions in Word format, cost submissions (if applicable)

From respondent (NOT VISIBLE TO THE CLAIMANT)

Restricted to submissions in Word format, cost submissions (if applicable)

Procedural Orders

Hearing

Decisions

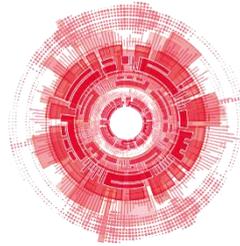


📁 Awards

📁 Other

📁 Internal tribunal files (NOT VISIBLE TO THE PARTIES)

E.g. draft awards



Option B – thematic order

Case administration

Documents and files relating to the administration of the case.

Claimant

Only representatives of the claimant possess uploading rights, including to subfolders.

Submissions

E.g. Statement of Claim, Statement of Reply.

Exhibits

Reports

Experts

Legal opinions

Witness statements

Hearing

Opening statements

Expert presentations

Additional exhibits

Closing arguments

Costs

Other

Other

Respondent

Only representatives of the Respondent possess uploading rights, including to subfolders.

Submissions

E.g. Statement of Defence, Statement of Rejoinder

Exhibits

Reports

Experts

Legal opinions

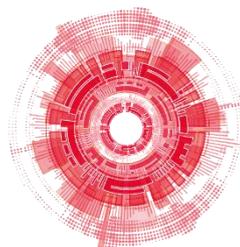
Witness statements

- 📁 Hearing
 - 📁 Opening statements
 - 📁 Expert presentations
 - 📁 Additional exhibits
 - 📁 Closing arguments
 - 📁 Costs
 - 📁 Other

- 📁 Other

📁 Arbitral tribunal

- 📁 Party communication with the Tribunal
 - 📁 To/from the parties
 - 📁 From claimant (NOT VISIBLE TO RESPONDENT)
Restricted to submissions in Word format, cost-submissions (if applicable)
 - 📁 From respondent (NOT VISIBLE TO CLAIMANT)
Restricted to submissions in Word format, cost-submissions (if applicable)
- 📁 Procedural orders
- 📁 Hearing
 - 📁 Transcripts
 - 📁 Practical and procedural
 - 📁 Other
- 📁 Decisions
- 📁 Awards
- 📁 Other
- 📁 Internal tribunal files (NOT VISIBLE TO THE PARTIES)
E.g. draft awards



Option C – chronological order

Case administration

Documents and files relating to the administration of the case.

Submissions I

Claimant Submission I – Statement of Claims

 Submission in Word format (NOT VISIBLE TO RESPONDENT)

 Exhibits

 Legal exhibits

 Witness statements

 Expert reports

 Other

Respondent Submission I - Statement of Defence

 Submission in Word format (NOT VISIBLE TO CLAIMANT)

 Exhibits

 Legal exhibits

 Witness statements

 Expert reports

 Other

Submissions II

Claimant Submission II - Statement of Reply

 Submission in Word format (NOT VISIBLE TO RESPONDENT)

 Exhibits

 Legal exhibits

 Witness statements

 Expert reports

 Other

Respondent Submission II - Statement of Rejoinder

 Submission in Word format (NOT VISIBLE TO CLAIMANT)

 Exhibits

- 
- 📁 Legal exhibits
 - 📁 Witness statements
 - 📁 Expert reports
 - 📁 Other

Should the need for additional submissions folders arise, the tribunal may request the SCC Secretariat to make available the relevant number of additional submission folders in accordance with the structure above.

📁 Hearing

- 📁 Opening statements
 - 📁 Claimant
 - 📁 Respondent
- 📁 Expert presentations
 - 📁 Claimant
 - 📁 Respondent
- 📁 Additional exhibits
 - 📁 Claimant
 - 📁 Respondent
- 📁 Closing arguments
 - 📁 Claimant
 - 📁 Respondent
- 📁 Costs
 - 📁 Claimant (NOT VISIBLE TO RESPONDENT)
 - 📁 Respondent (NOT VISIBLE TO CLAIMANT)
- 📁 Transcripts
- 📁 Practical and procedural
- 📁 Other

Should the need for additional hearing folders arise, the tribunal may request the SCC Secretariat to make available the relevant number of additional hearing folders in accordance with the structure above.



📁 Procedural orders

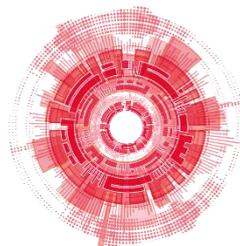
📁 Decisions

📁 Awards

📁 Other

📁 Internal tribunal files (NOT VISIBLE TO THE PARTIES)

E.g. draft awards





File naming

Irrespective of which folder structure is used, all files uploaded to the Platform can be viewed and sorted in different ways by using different settings, e.g. as an index following the folder structure, chronologically based on the uploaded date, or alphabetically. These settings are individual to each participant and not shared with other participants.

The tribunal is encouraged to decide on a policy for file naming in accordance with its preferences and is advised to name files in a manner which makes an alphabetical sorting of them relevant.

