The ICSID Caseload – Statistics
(Issue 2016-1)

This issue of the *ICSID Caseload – Statistics* updates the profile of the ICSID caseload, historically and for the calendar year 2015. It is based on cases registered or administered by ICSID as of December 31, 2015.

As in the previous issues, this document illustrates: the number of cases registered under the ICSID Convention and Additional Facility Rules; the number of other cases administered by the ICSID Secretariat; the basis of consent to ICSID jurisdiction invoked in registered arbitration and conciliation cases; the geographic distribution of ICSID cases by the State party to the dispute, and the economic sectors involved in ICSID disputes. It also contains data on outcomes in ICSID arbitration and conciliation proceedings, including further information on disputes decided by arbitral tribunals, data on discontinued ICSID arbitration proceedings, and outcomes to date in annulment proceedings under the ICSID Convention. The nationalities and geographic origins of arbitrators, conciliators and *ad hoc* committee members appointed in ICSID cases are also featured.

The Secretariat will continue to publish the *ICSID Caseload – Statistics* on a bi-annual basis, and welcomes any comments or suggestions by email at ICSIDsecretariat@worldbank.org.
# Table of Contents

## PART I - ALL CASES REGISTERED AND ADMINISTERED BY ICSID

1. **Map of the ICSID Contracting States and Other Signatories to the ICSID Convention as of December 31, 2015**  
   6

2. **Cases Registered by ICSID**  
   7
   - **Chart 1:** Total Number of ICSID Cases Registered, by Calendar Year  
   7
   - **Chart 2:** Number of Cases Registered under the ICSID Convention and Additional Facility Rules, by Calendar Year  
   8
   - **Chart 3:** Type of Cases Registered under the ICSID Convention and Additional Facility Rules  
   8

3. **Non-ICSID Cases Administered by the ICSID Secretariat**  
   9
   - **Chart 4:** Number of Non-ICSID Cases Administered by the ICSID Secretariat over the Past Ten Fiscal Years  
   9

4. **Basis of Consent Invoked to Establish ICSID Jurisdiction in Registered ICSID Cases**  
   10
   - **Chart 5:** Basis of Consent Invoked to Establish ICSID Jurisdiction in Cases Registered under the ICSID Convention and Additional Facility Rules  
   10

5. **Geographic Distribution of All ICSID Cases, by State Party Involved**  
   11
   - **Chart 6:** Geographic Distribution of All Cases Registered under the ICSID Convention and Additional Facility Rules, by State Party Involved  
   11

6. **Distribution of All ICSID Cases by Economic Sector**  
   12
   - **Chart 7:** Distribution of All Cases Registered under the ICSID Convention and Additional Facility Rules, by Economic Sector  
   12

7. **ICSID Arbitration and Conciliation Proceedings – Outcomes**  
   13
   - **Chart 8:** Arbitration Proceedings under the ICSID Convention and Additional Facility Rules – Outcomes  
   13
   - **Chart 8a:** Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules – Findings  
   14
   - **Chart 8b:** Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules – Basis  
   15
   - **Chart 9:** Conciliation Proceedings under the ICSID Convention and Additional Facility Rules – Outcomes  
   16
   - **Chart 10:** Conciliation Proceedings under the ICSID Convention and Additional Facility Rules – Commission Reports  
   16

8. **Annulment Proceedings under the ICSID Convention – Outcomes**  
   17
   - **Chart 11:** Awards Rendered and Outcomes in Annulment Proceedings under the ICSID Convention, by Decade  
   17

9. **Arbitrators, Conciliators and ad hoc Committee Members Appointed in ICSID Cases**  
   18
   - **Chart 12:** Arbitrators, Conciliators and ad hoc Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by Geographic Region  
   18
   - **Chart 13:** Arbitrators, Conciliators and ad hoc Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by ICSID and by the Parties (or Party-appointed Arbitrators) by Geographic Region  
   19
   - **Chart 14:** State of Nationality of Arbitrators, Conciliators and ad hoc Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules  
   20

---

1 The data is based on ICSID statistics as of December 31, 2015.
2 The ICSID Fiscal Year covers the period July 1 to June 30.
PART II - CASES REGISTERED AND ADMINISTERED BY ICSID IN 2015

1. New Cases Registered by ICSID in 2015  .................................................. 22
   Chart 1: Number of New Cases Registered under the ICSID Convention and Additional Facility Rules in 2015  .................................................. 22

2. Non-ICSID Cases Administered by the ICSID Secretariat in 2015  .................. 22
   Chart 2: Number of Non-ICSID Cases Administered by the ICSID Secretariat in 2015  .................................................. 22

3. Basis of Consent Invoked to Establish ICSID Jurisdiction in New Cases Registered in 2015  .................................................. 23
   Chart 3: Basis of Consent Invoked to Establish ICSID Jurisdiction in New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules  .................................................. 23

4. Geographic Distribution of New ICSID Cases Registered in 2015, by State Party Involved  .................................................. 24
   Chart 4: Geographic Distribution of New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules, by State Party Involved  .................................................. 24
   Chart 5: Geographic Distribution of New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules, by State Party Involved – Further Details  .................................................. 25

5. Distribution of New ICSID Cases Registered in 2015, by Economic Sector  ....... 26
   Chart 6: Distribution of New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules, by Economic Sector  .................................................. 26

   Chart 7: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules concluded in 2015 – Outcomes  .................................................. 27
   Chart 7a: Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules in 2015 – Findings  .................................................. 28
   Chart 7b: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules in 2015 – Basis  .................................................. 29

7. Arbitrators, Conciliators and ad hoc Committee Members Appointed in ICSID Cases in 2015  .................................................. 30
   Chart 8: Arbitrators, Conciliators and ad hoc Committee Members Appointed in 2015 in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by Geographic Region  .................................................. 30
   Chart 9: Arbitrators, Conciliators and ad hoc Committee Members Appointed in 2015 in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by ICSID and by the Parties (or Party-appointed Arbitrators) by Geographic Region  .................................................. 31
   Chart 10: State of Nationality of Arbitrators, Conciliators and ad hoc Committee Members Appointed in 2015 in Cases Registered under the ICSID Convention and Additional Facility Rules  .................................................. 32
PART I

ALL CASES REGISTERED AND ADMINISTERED BY ICSID
1. Map of the ICSID Contracting States and Other Signatories to the ICSID Convention as of December 31, 2015
2. Cases Registered by ICSID

Chart 1: Total Number of ICSID Cases Registered, by Calendar Year:

As of December 31, 2015, ICSID had registered 549 cases under the ICSID Convention and Additional Facility Rules.
Chart 2: Number of Cases Registered under the ICSID Convention and Additional Facility Rules by Calendar Year:

Chart 3: Type of Cases Registered under the ICSID Convention and Additional Facility Rules:
3. Non-ICSID Cases Administered by the ICSID Secretariat

Chart 4: Number of Non-ICSID Cases Administered by the ICSID Secretariat over the Past Ten Fiscal Years:

The ICSID Secretariat offers various levels of administrative and organizational support for non-ICSID dispute settlement in State-State or investor-State proceedings. Among the State-State cases administered in the past decade are the *Southern Bluefin Tuna* case (Australia and New Zealand v. Japan), an expert determination proceeding under the Indus Waters Treaty of 1960, and an arbitration under the Softwood Lumber Agreement of 2006 (United States v. Canada).

The Centre also frequently provides administrative assistance to investor-State arbitrations under the UNCITRAL Rules or other *ad hoc* dispute settlement provisions. The Centre’s services in these proceedings range from support with the organization of hearings to administrative services comparable to those provided in ICSID cases. The Secretariat also acts as appointing authority, and decides proposals for disqualification of arbitrators, upon request. In addition to administering UNCITRAL arbitrations, ICSID has also assisted with the organization of hearings in arbitration proceedings conducted under the auspices of the ICC, LCIA, PCA, and other institutions.
4. Basis of Consent Invoked to Establish ICSID Jurisdiction in Registered ICSID Cases

Chart 5: Basis of Consent Invoked to Establish ICSID Jurisdiction in Cases Registered under the ICSID Convention and Additional Facility Rules:

- **Bilateral Investment Treaty (BIT)**: 60.3%
- **Dominican Republic-United States-Central America Free Trade Agreement (DR-CAFTA)**: 0.8%
- **Investment Contract between the Investor and the Host-State**: 17.3%
- **Investment Law of the Host-State**: 9.3%
- **North American Free Trade Agreement (NAFTA)**: 2.9%
- **Energy Charter Treaty (ECT)**: 8.8%
- **Oman-U.S. Free Trade Agreement (Oman-U.S. FTA)**: 0.2%
- **Central America-Panama Free Trade Agreement**: 0.2%
- **ASEAN Agreement for the Promotion and Protection of Investments**: 0.2%
- **Canada-Peru Free Trade Agreement (Canada-Peru FTA)**: 0.2%
5. Geographic Distribution of All ICSID Cases, by State Party Involved

Chart 6: Geographic Distribution of All Cases Registered under the ICSID Convention and Additional Facility Rules, by State Party Involved*:

6. Distribution of All ICSID Cases by Economic Sector

Chart 7: Distribution of All Cases Registered under the ICSID Convention and Additional Facility Rules, by Economic Sector*:

7. ICSID Arbitration and Conciliation Proceedings – Outcomes

Chart 8: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules – Outcomes:

Dispute decided by Tribunal 64%
(see chart 8a)

Dispute settled or proceeding otherwise discontinued 36%
(see chart 8b)
**Chart 8a:** Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules – Findings:

* Pursuant to ICSID Arbitration Rule 41(5) and Article 45(6) of the Arbitration (Additional Facility) Rules, as adopted by the ICSID Administrative Council in 2006, a party may, at an early stage of the proceeding, file an objection that a claim is manifestly without merit. If the Tribunal decides that the claims are manifestly without legal merit, it shall render an award to that effect.
Chart 8b: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules – Basis:

1. ICSID Arbitration Rule 44. No case concluded to date on the basis of Arbitration (Additional Facility) Rule 50.
2. ICSID Arbitration Rule 43(2) and Arbitration (Additional Facility) Rule 49(2).
3. In accordance with Article 44 of the ICSID Convention.
5. ICSID Arbitration Rule 45 and Arbitration (Additional Facility) Rule 51.
6. ICSID Arbitration Rule 43(1) and Arbitration (Additional Facility) Rule 49(1).
Chart 9: Conciliation Proceedings under the ICSID Convention and Additional Facility Rules – Outcomes:

- Conciliation Commission Report issued 75% (see chart 10)
- Proceeding Discontinued 25%
8. Annulment Proceedings under the ICSID Convention – Outcomes

Chart 11: Awards Rendered and Outcomes in Annulment Proceedings under the ICSID Convention, by Decade:
9. Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in ICSID Cases

**Chart 12:** Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by Geographic Region*:

* The classification of the geographic regions above is based on the World Bank’s regional system, available at http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/0,,pagePK:180619~theSitePK:136917,00.html, and also includes World Bank donor countries. The chart reflects appointments made to Tribunals and *ad hoc* Committees constituted until December 31, 2015.
**Chart 13:** Arbitrators, Conciliators and ad hoc Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by ICSID and by the Parties (or Party-appointed Arbitrators) by Geographic Region*:

---


** Excluding one appointment made by an external appointing authority pursuant to the relevant provision in the applicable investment treaty.
Chart 14: State of Nationality of Arbitrators, Conciliators and \emph{ad hoc} Committee Members Appointed in Cases Registered under the ICSID Convention and Additional Facility Rules:
PART II

CASES REGISTERED AND ADMINISTERED

BY ICSID IN 2015
1. New Cases Registered by ICSID in 2015

Chart 1: Number of New Cases Registered under the ICSID Convention and Additional Facility Rules in 2015:

2. Non-ICSID Cases Administered by the ICSID Secretariat in 2015

Chart 2: Number of Non-ICSID Cases Administered by the ICSID Secretariat in 2015:
3. Basis of Consent Invoked to Establish ICSID Jurisdiction in New Cases Registered in 2015

Chart 3: Basis of Consent Invoked to Establish ICSID Jurisdiction in New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules:

- Bilateral Investment Treaty (BIT): 46%
- Energy Charter Treaty (ECT): 33%
- North American Free Trade Agreement (NAFTA): 3%
- Investment Law of the Host-State: 8%
- Investment Contract between the Investor and the Host-State: 8%
- Central America-Panama Free Trade Agreement: 2%
4. Geographic Distribution of New ICSID Cases Registered in 2015, by State Party Involved

Chart 4: Geographic Distribution of New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules, by State Party Involved*:

- Western Europe 37%
- Sub-Saharan Africa 15%
- South & East Asia & the Pacific 4%
- South America 4%
- Central America & the Caribbean 2%
- North America (Canada, Mexico & U.S.) 4%
- Eastern Europe & Central Asia 23%
- Middle East & North Africa 11%

* The classification of the geographic regions above is based on the World Bank’s regional system, available at http://web.worldbank.org/WEBSITE/EXTERNAL/COUNTRIES/0,,pagePK:180619~theSitePK:136917,00.html, and also includes World Bank donor countries.
**Chart 5:** Geographic Distribution of New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules, by State Party Involved – Further Details*:

* The classification of the geographic regions above is based on the World Bank’s regional system, available at http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/0,,pagePK:180619~theSitePK:136917,00.html, and also includes World Bank donor countries.
5. Distribution of New ICSID Cases Registered in 2015, by Economic Sector

Chart 6: Distribution of New Cases Registered in 2015 under the ICSID Convention and Additional Facility Rules, by Economic Sector*:

6. ICSID Arbitration Proceedings Concluded in 2015 – Outcomes

Chart 7: Arbitration Proceedings under the ICSID Convention and Additional Facility Rules concluded in 2015 – Outcomes:

Dispute decided by Tribunal 64% (see chart 7a)

Dispute settled or proceeding otherwise discontinued 36% (see chart 7b)
Chart 7a: Disputes Decided by Arbitral Tribunals under the ICSID Convention and Additional Facility Rules in 2015 – Findings:

- Award declining jurisdiction 20%
- Award dismissing all claims 33%
- Award upholding claims in part or in full 47%
Chart 7b: Disputes Settled or Proceedings Otherwise Discontinued under the ICSID Convention and Additional Facility Rules in 2015 – Basis:

- Proceeding discontinued at the request of both parties: 59%
- Proceeding discontinued at the request of one party: 11%
- Settlement agreement embodied in an award at parties’ request: 12%
- Proceeding discontinued for lack of payment of the required advances: 12%
- Proceeding discontinued for failure of parties to act: 6%

---

1 ICSID Arbitration Rule 44. No case concluded to date on the basis of Arbitration (Additional Facility) Rule 50.
2 ICSID Arbitration Rule 43(2) and Arbitration (Additional Facility) Rule 49(2).
4 ICSID Arbitration Rule 45 and Arbitration (Additional Facility) Rule 51.
5 ICSID Arbitration Rule 43(1) and Arbitration (Additional Facility) Rule 49(1).
7. Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in ICSID Cases in 2015

**Chart 8:** Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in 2015 in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by Geographic Region*:

- **North America (Canada, Mexico & U.S.):** 19%
- **South America:** 5%
- **Central America & the Caribbean:** 5%
- **Middle East & North Africa:** 4%
- **Sub-Saharan Africa:** 1%
- **South & East Asia & the Pacific:** 13%
- **Eastern Europe & Central Asia:** 3%
- **Western Europe:** 50%

* The classification of the geographic regions above is based on the World Bank’s regional system, available at http://web.worldbank.org/WEBSITE/EXTERNAL/COUNTRIES/0,,pagePK:180619~theSitePK:136917,00.html, and also includes World Bank donor countries. The chart reflects appointments made to Tribunals and *ad hoc* Committees constituted in 2015.
Chart 9: Arbitrators, Conciliators and ad hoc Committee Members Appointed in 2015 in Cases Registered under the ICSID Convention and Additional Facility Rules – Distribution of Appointments by ICSID and by the Parties (or Party-appointed Arbitrators) by Geographic Region*: **

* The classification of the geographic regions above is based on the World Bank’s regional system, available at http://web.worldbank.org/WEBSITE/EXTERNAL/COUNTRIES/O,,pagePK:180619~theSitePK:136917,00.html, and also includes World Bank donor countries. The chart reflects appointments made to Tribunals and ad hoc Committees constituted in 2015.

** Excluding one appointment made by an external appointing authority pursuant to the relevant provision in the applicable bilateral investment treat.
Chart 10: State of Nationality of Arbitrators, Conciliators and *ad hoc* Committee Members Appointed in 2015 in Cases Registered under the ICSID Convention and Additional Facility Rules: