



DIS eFile

The new electronic case file
for DIS proceedings

User Manual

Status: September 2023

The German Arbitration Institute (DIS) introduces its new electronic case file “**DIS eFile**” and offers the service for all DIS administered proceedings. While **DIS eFile** can be used in all DIS proceedings at the request of the parties, in the following we focus on arbitral proceedings under the 2018 DIS Arbitration Rules (the “DIS Arbitration Rules”), which **DIS eFile** is primarily designed for.

With the introduction of the DIS Arbitration Rules, the DIS has switched the internal administration of all proceedings to a purely digital system. Now, with the introduction of **DIS eFile**, the DIS is paving the way for the complete digitalization of arbitral proceedings.

The electronic case file **DIS eFile** provides for the complete management of all documents of the arbitration and helps arbitrators to better manage proceedings with additional functions, such as a shared arbitration calendar and checklists. **DIS eFile** enhances the security and improves transparency for all participants of the arbitration. It facilitates the exchange of information and provides numerous tools for faster and more efficient proceedings – supported by the DIS Case Management Team.

DIS eFile is based on the HighQ system, a cloud-based project management and collaboration software from Thomson Reuters, a global leader in digital legal applications. The company stands for experience, consistency and high security standards. **DIS eFile** is stored and managed on secure servers in Germany. The system meets high security requirements and thus complies with the requirements of data security, confidentiality and data protection.

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1. General Information

Currently, it is necessary that the parties jointly agree to the application of **DIS eFile**. Upon agreement of the parties, the DIS Secretariat will create a digital "case file" (the "eFile") exclusively for the arbitration at hand, which includes the following features:

- Direct up- and download
- Clear and consistent management of all documents of the arbitration
- Search functionality within the eFile
- Digital procedural calendar
- Overview of time limits and task management
- Overview of participants of the arbitration and their contact details
- Quick access to DIS Rules, Model Clauses and Practice Notes

The functionality of each module is described in the sections below.

For technical support please feel free to contact the following members of the DIS Case Management Team:

Dominique Braun

Telephone: +49 228 391 815 416

Email: casemanagement@disarb.org

Philipp Jahnel

Telephone: +49 228 391 815 433

For inquiries regarding data protection, please contact the following address:

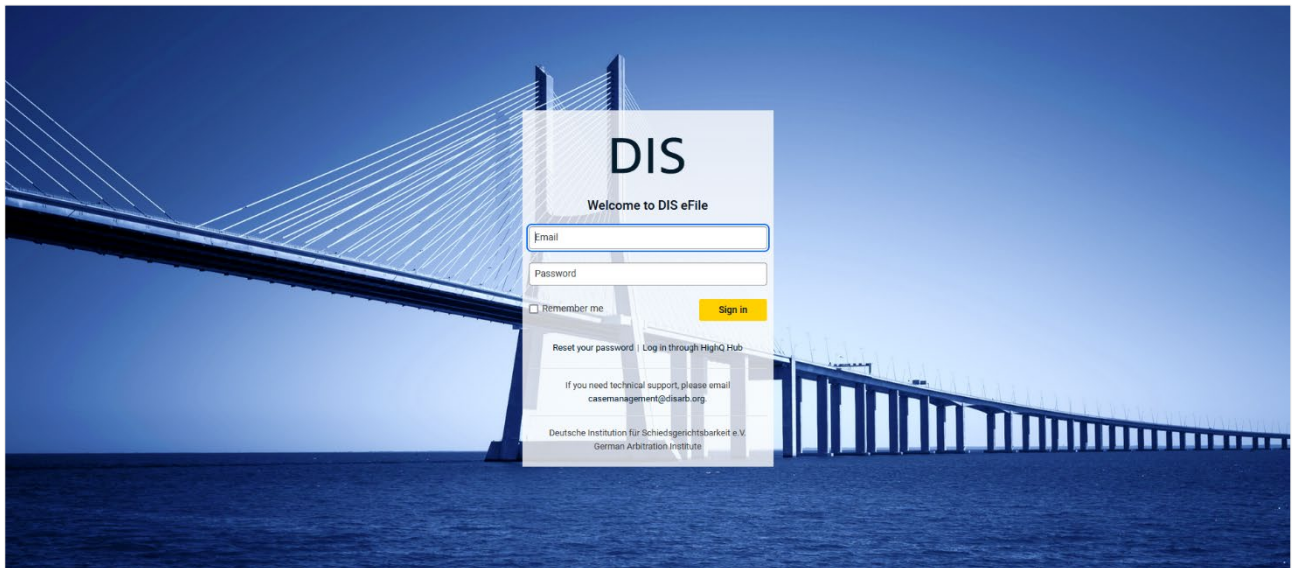
Email: privacy@disarb.org

2. Filing a Request for Arbitration

DIS eFile is currently not available for filing a request for arbitration (the "**Request**"). For the time being, a Request must be filed with the DIS in electronic form or in paper form pursuant to Articles 4.2 and 5 DIS Arbitration Rules.

3. Registration and Login

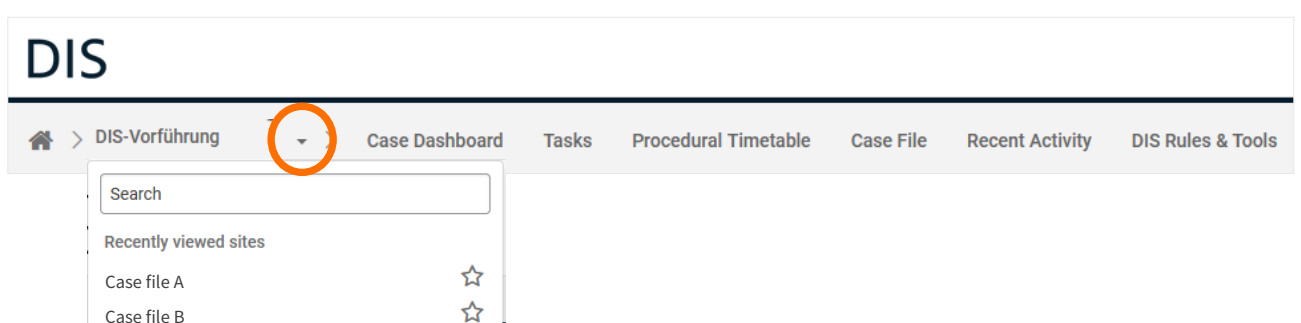
With the consent of the parties to the use of **DIS eFile** in their arbitration, an appropriate number of users per party will receive an invitation email to register on the platform. The arbitrators will receive their accesses upon their appointment pursuant to Article 13 DIS Arbitration Rules.



Please note that **DIS eFile** offers the possibility to create a comprehensive profile during the registration process. Mandatory information is only your first name, last name and email address. Otherwise, it is up to every user to decide on how much the profile is to be filled with content.

After registration, the respective case file can be accessed on **DIS eFile**.

If a user is already involved in other proceedings administered via **DIS eFile**, the user will be given access to another eFile using its current access details ("*single login*"). As shown in the following screenshot, the selection of the respective eFile is done via a drop-down selection menu ("*drop-down*"), which also includes a search function:



Regardless of whether the user has access to one or more proceedings, the login to **DIS eFile** always requires a two-factor authentication for security reasons. After entering the login details, an email with a code is sent to the registered email address, which must be entered within the next five minutes.

4. General information using DIS eFile

a. Scope of use

The previous case correspondence, to the extent available to the DIS Secretariat, will be transferred to the eFile once the parties have agreed to use **DIS eFile**. Subsequently, it is the responsibility of the parties to upload any further documents including attachments to their eFile.

The upload to **DIS eFile** is another means of electronic communication authorized by the DIS within the meaning of Article 4.1 sentence 1 DIS Arbitration Rules.

All documents and attachments addressed to the other party or to the DIS shall be uploaded to the relevant eFile. Similarly, the DIS shall send its further correspondence to the parties and to the appointed arbitrators exclusively via the respective eFile once the parties have agreed on the use of **DIS eFile**.

The DIS expressly encourages the parties to proceed similarly and to use **DIS eFile** as an exclusive means for communicating with the other participants in the proceedings, including the DIS and the arbitral tribunal. However, should the parties fail to do so, the DIS requests them to send all submissions from any party to the arbitral tribunal or to the DIS simultaneously to the other parts, as set out in Article 4.5 DIS Arbitration Rules.

Insofar as the DIS Arbitration Rules provide for the transmission of documents in paper form in addition to electronic transmission, these provisions shall in principle remain unaffected by the use of **DIS eFile** (e.g. Articles 4.1 sentence 2, 4.3 DIS Arbitration Rules).¹

¹ The upload of a counterclaim to DIS eFile may, however, constitute a transmission pursuant to Article 7.8 DIS Arbitration Rules.

Once constituted, the arbitral tribunal shall decide on the form of transmission of documents between the parties and the arbitral tribunal pursuant to Article 4.4 DIS Arbitration Rules. If, in exceptional circumstances, the arbitral tribunal decides against further use of the eFile, the DIS shall contact the arbitral tribunal to discuss the further course of action. In any case, the DIS Secretariat shall be informed of the arbitral tribunal's decision.

In the event of technical problems, the parties and the appointed arbitrators are requested to inform the DIS immediately and, as a precautionary measure, to switch to an alternative means of communication within the meaning of Article 4.1 sentence 1 DIS Arbitration Rules.

For such notification, please use the Case Management Team's email address

casemanagement@disarb.org.

b. User

To allow the upload to **DIS eFile** as another means of authorized electronic communication within the meaning of Article 4.1 sentence 1 DIS Arbitration Rules, it is necessary that

- at least one natural person for each party (e.g.counsel, employee of the party) and
- all arbitrators

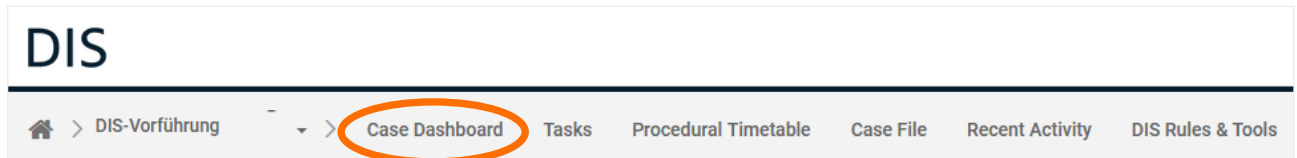
be registered as users of **DIS eFile**.

If the mandate of an authorized representative with access to the respective eFile is terminated before the termination of the proceedings, the DIS must be notified. Upon receipt of such notification, the person's access to the relevant eFile will be withdrawn.

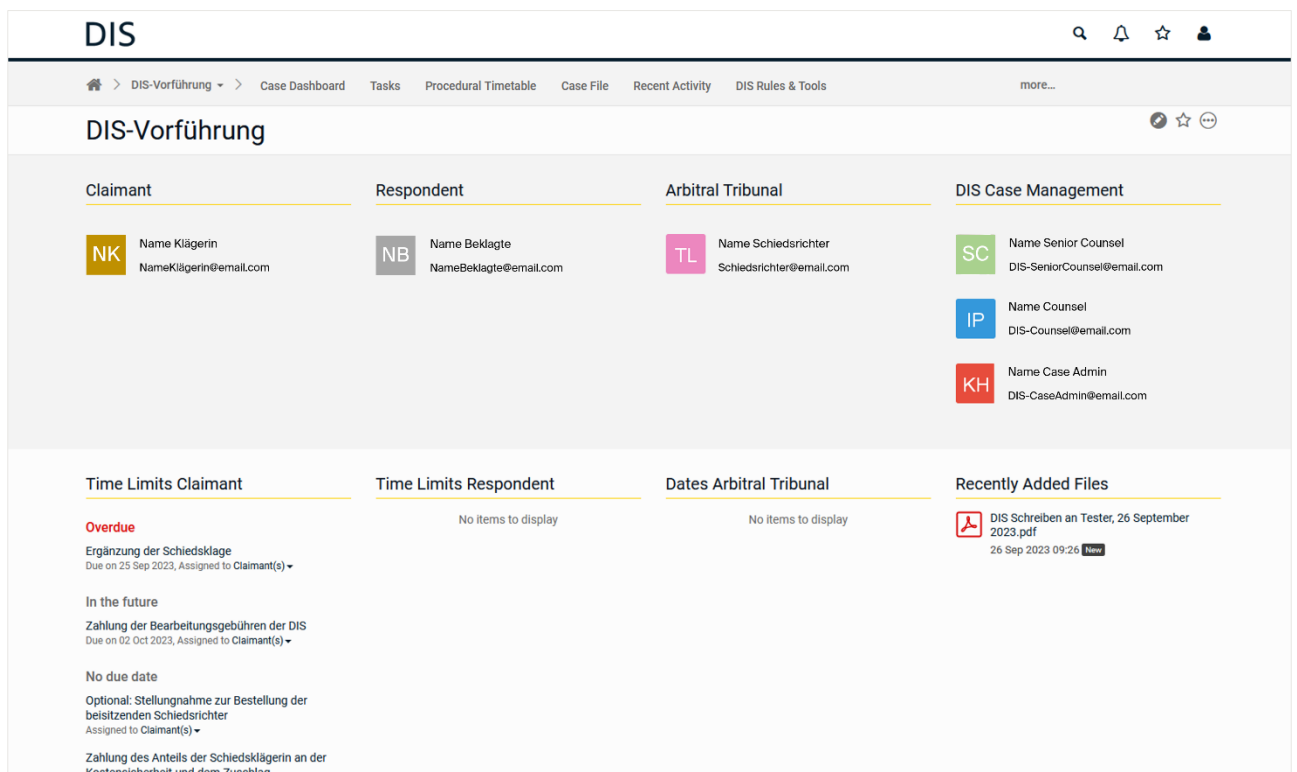
The parties and arbitrators are each responsible for uploading their case-related documents together with any attachments on the relevant eFile.

5. How to use DIS eFile

DIS eFile consists of various modules that can be accessed in each eFile via the following selection bar:

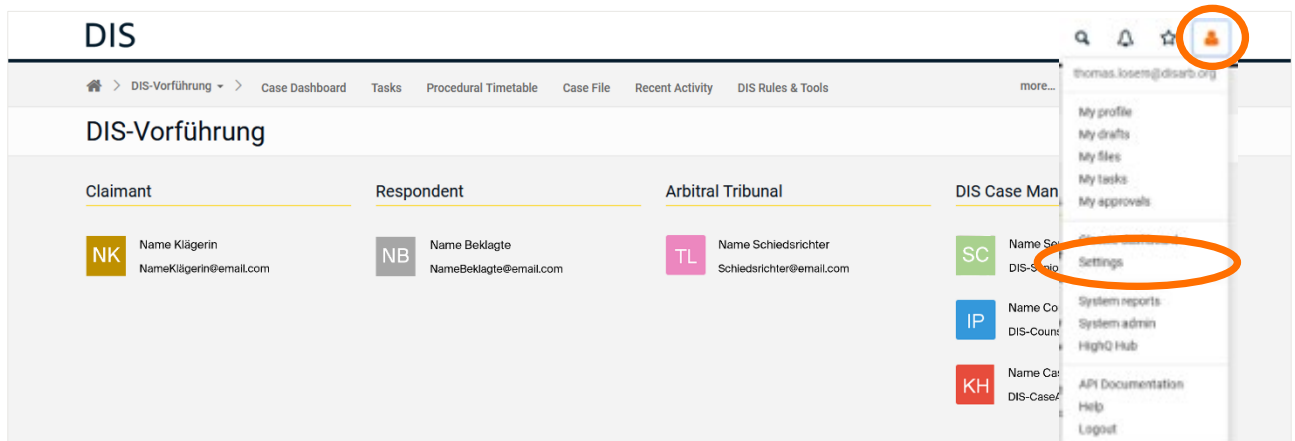


These modules are "Case Dashboard", "Tasks", "Procedure Timetable", "Case File", "Recent Activities" and "DIS Rules & Tooles", which are explained more in detail below.

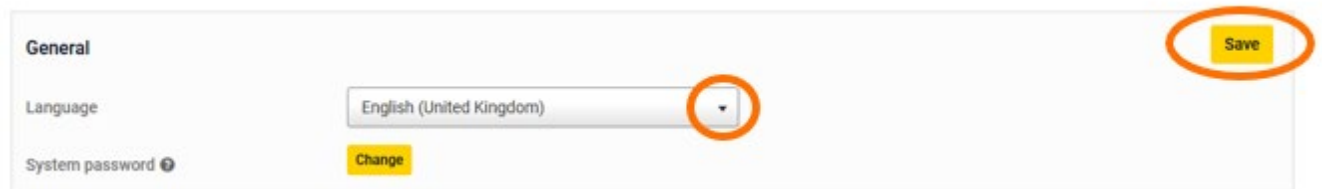


a. System language

The language of the **DIS eFile** menu navigation can be set by each user individually. This is done by selecting the "Settings" category in the user's profile:



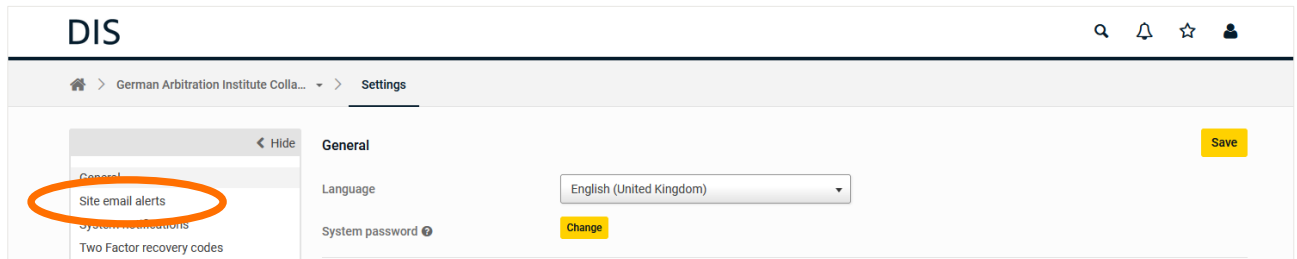
In the menu that opens, you can choose between German and English as the system language. The selected language will be applied to the entire profile if you click on the "Save" button:



Otherwise, the language of the menu will depend on the language of the proceedings (e.g. tasks, folder structure).

b. Notifications

The frequency of email notifications can be set individually on the left-hand side of the Settings menu. On the „Site email alerts“ tab



any user can specify at what intervals (immediate, daily, weekly) the user wishes to receive email notifications about new activities in the eFile.

The grey fields at the top of the page allow you to apply this setting for all case-related eFiles to which you have access.

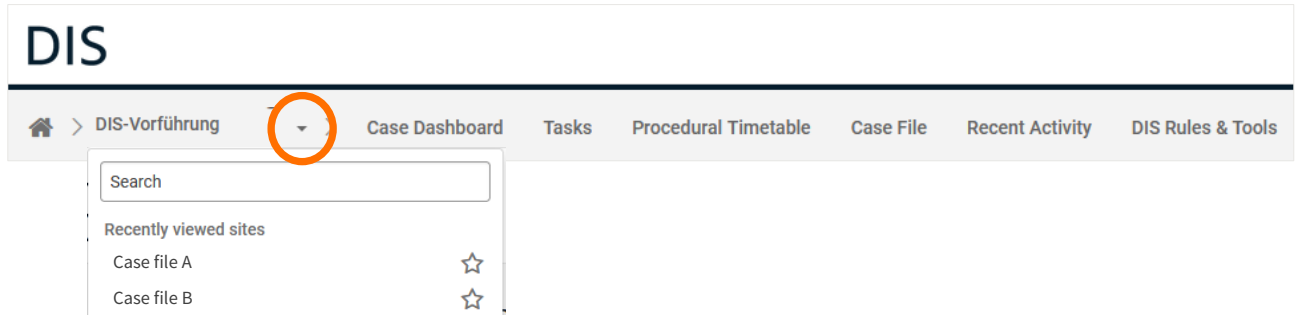
Site	Frequency		
	Immediate	Daily	Weekly
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DIS-Vorführung Cases	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

However, you are of course also free to set the intervals for each eFile individually depending on the case and case situation. If you have not selected any field for a particular eFile, you will not receive any mail notifications for this eFile.

Email alerts work as follows:

- If you select the "Immediate" option, you will immediately receive an email regarding every activity in the eFile to your registered email address.
- If you select the "Daily" option, you will receive a daily email summarizing all the activities that have taken place during that day. If there is no activity, you will not receive an email.
- Similarly, if there has been activity, you will receive a weekly consolidated email notification if the 'Weekly' option is selected.

You can save your individual settings by clicking on one of the 'Save' buttons. Afterwards you can select your respective eFile again to return to the arbitration from the menu.

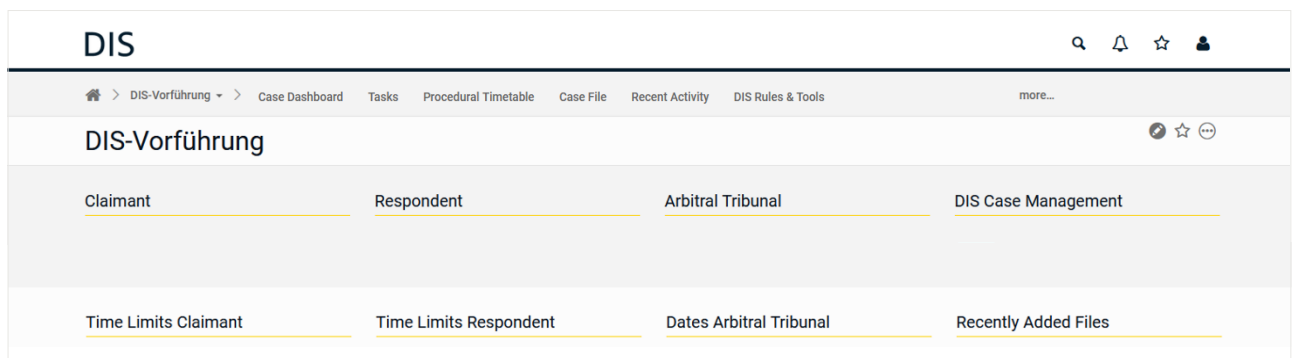


c. “Case Dashboard”

In addition to the file number of the case, the "Case Dashboard" module also contains an overview of

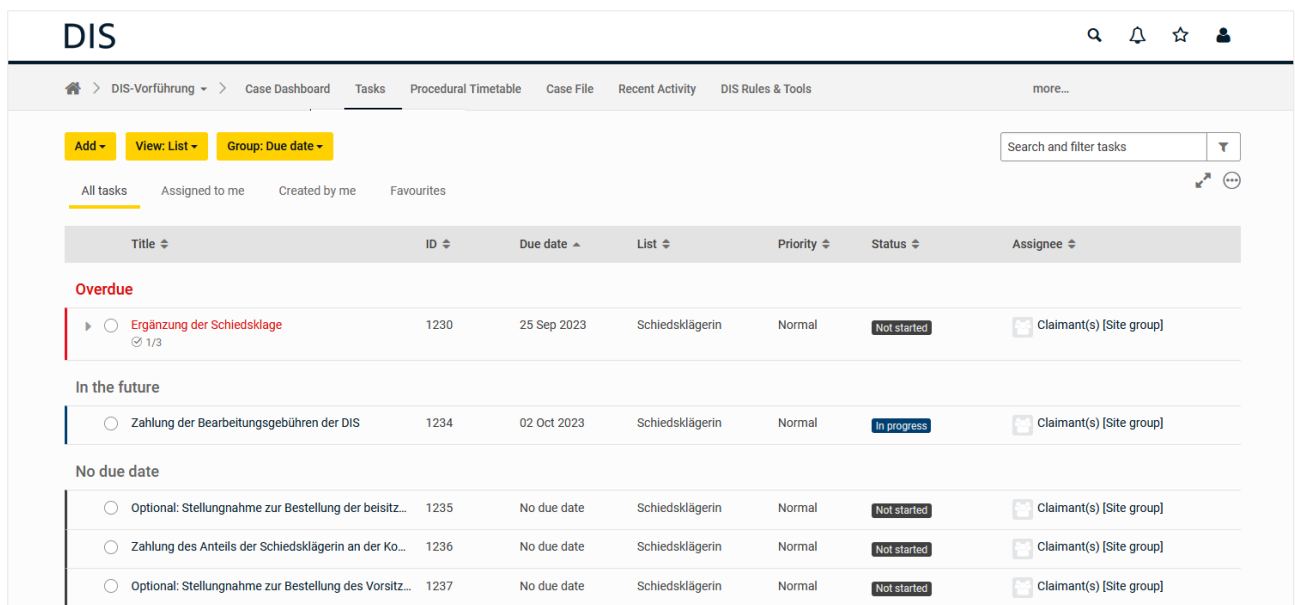
- the participants of the arbitration and their contact details,
- the time limits for “Tasks” of Claimant and Respondent,
- the upcoming dates in the “Procedural Timetable” and
- the latest documents added to the eFile.

The design pattern looks – here in blank – as follows:



d. "Tasks"

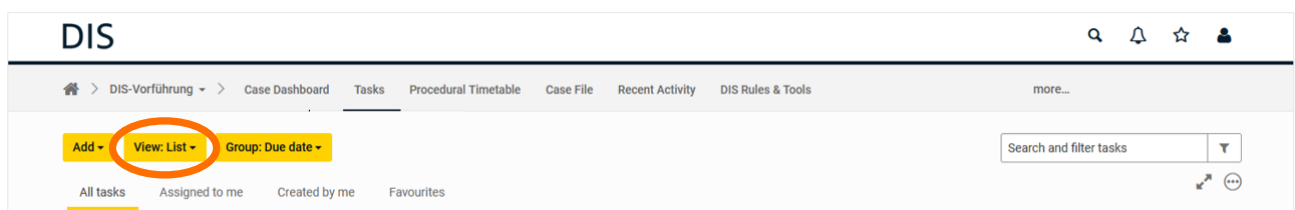
At the beginning of the arbitration, the "Tasks" module contains a list of all tasks that (may) typically arise during the arbitration up to the constitution of the arbitral tribunal. The tasks of the parties, the arbitrators and the DIS are listed to provide transparency at all times as to the status of the arbitration and the steps ahead of the constitution of the arbitral tribunal.



The screenshot shows the DIS 'Tasks' module interface. At the top, there is a navigation bar with 'DIS' and search, notification, star, and user icons. Below the navigation bar, there are tabs for 'DIS-Vorführung', 'Case Dashboard', 'Tasks', 'Procedural Timetable', 'Case File', 'Recent Activity', and 'DIS Rules & Tools'. The 'Tasks' tab is active. Below the tabs, there are buttons for 'Add', 'View: List', and 'Group: Due date'. A search bar labeled 'Search and filter tasks' is on the right. Below the search bar, there are filters for 'All tasks', 'Assigned to me', 'Created by me', and 'Favourites'. The main content area shows a table of tasks with columns: Title, ID, Due date, List, Priority, Status, and Assignee. The tasks are grouped into 'Overdue', 'In the future', and 'No due date' sections.

Title	ID	Due date	List	Priority	Status	Assignee
Overdue						
▶ Ergänzung der Schiedsklage 📄 1/3	1230	25 Sep 2023	Schiedsklägerin	Normal	Not started	Claimant(s) [Site group]
In the future						
Zahlung der Bearbeitungsgebühren der DIS	1234	02 Oct 2023	Schiedsklägerin	Normal	In progress	Claimant(s) [Site group]
No due date						
Optional: Stellungnahme zur Bestellung der beisitz...	1235	No due date	Schiedsklägerin	Normal	Not started	Claimant(s) [Site group]
Zahlung des Anteils der Schiedsklägerin an der Ko...	1236	No due date	Schiedsklägerin	Normal	Not started	Claimant(s) [Site group]
Optional: Stellungnahme zur Bestellung des Vorsitz...	1237	No due date	Schiedsklägerin	Normal	Not started	Claimant(s) [Site group]

Via the tab "View: ...", different display formats for the tasks can be selected according to personal preference.



This screenshot is identical to the previous one, but the 'View: List' button in the top navigation area is circled in red to highlight it.

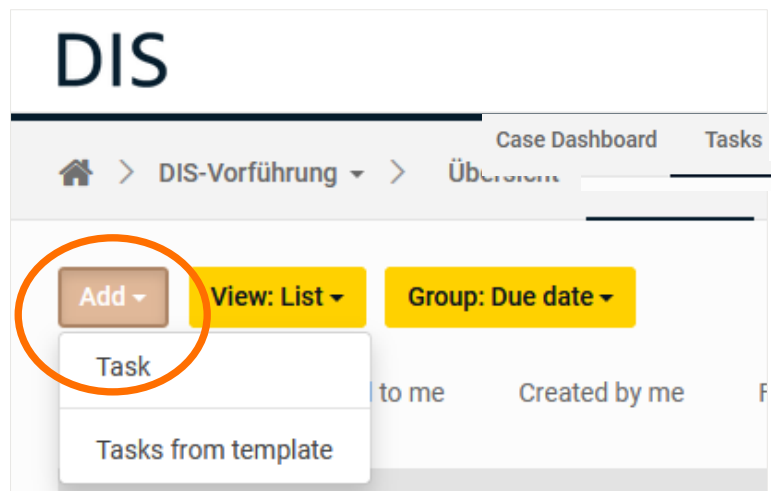
You can choose between 'List', 'Card' and 'Hierarchy' views.

The adjustment and administration of the tasks to the individual case, i.e. the entry of due dates and processing statuses, is carried out continuously by the DIS until the constitution of the arbitral tribunal.

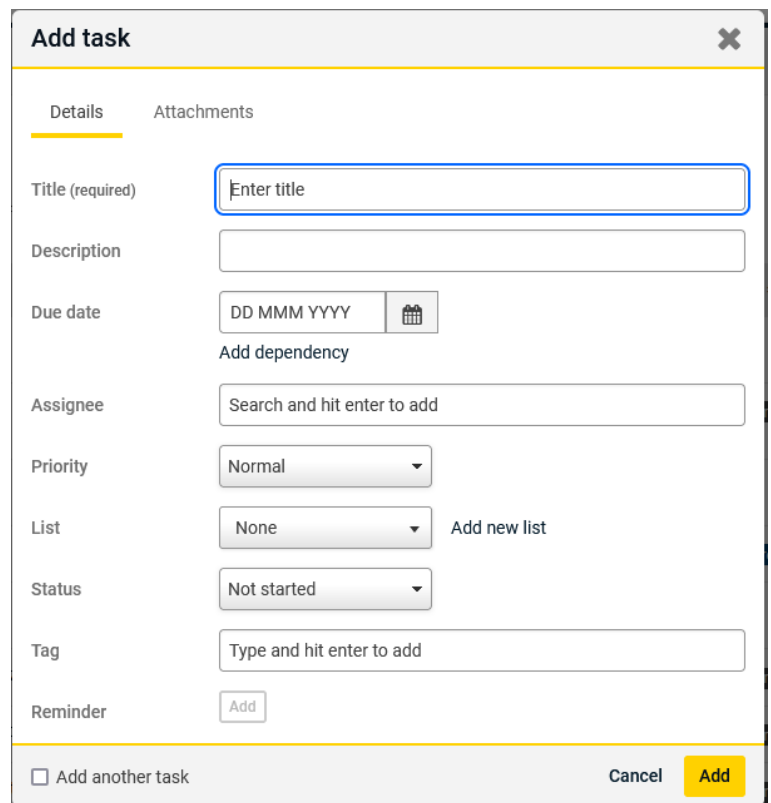
Upon constitution, the arbitral tribunal decides to what extent it wishes to continue to work with the "Tasks" module. In any case, the arbitrators are provided with all technical authorization to create, edit and delete their own tasks.

In the event that the arbitral tribunal decides to use the "Tasks" module, the arbitrators may proceed as follows:

Via the path "Add" - "Task"...



...you reach the following menu:

A screenshot of the 'Add task' form in the DIS application. The form is titled 'Add task' and has a close button (X) in the top right corner. It is divided into two tabs: 'Details' (selected) and 'Attachments'. The 'Details' tab contains the following fields:

- Title (required): A text input field with the placeholder 'Enter title'.
- Description: A text input field.
- Due date: A date picker showing 'DD MMM YYYY' and a calendar icon.
- Add dependency: A text input field.
- Assignee: A text input field with the placeholder 'Search and hit enter to add'.
- Priority: A dropdown menu with 'Normal' selected.
- List: A dropdown menu with 'None' selected, and a link 'Add new list'.
- Status: A dropdown menu with 'Not started' selected.
- Tag: A text input field with the placeholder 'Type and hit enter to add'.
- Reminder: A text input field with an 'Add' button.

At the bottom of the form, there is a checkbox 'Add another task', a 'Cancel' button, and an 'Add' button.

Here, the title and due date have to be entered and an assignee has to be selected. The assignee is the party in the arbitration that must perform the respective task. The possible choices are "Claimant(s)" and "Respondent(s)" for the respective parties, "Arbitrator(s)" for the arbitral tribunal and the "DIS Case Management Team".

The group to which the task is assigned must also be selected in the drop-down menu under "List".

The screenshot shows a task creation form with the following fields and options:

- List:** A dropdown menu currently set to "None", with an "Add new list" link next to it.
- Status:** A search input field.
- Tag:** A search input field.
- Reminder:** A search input field.
- Assignee Group:** A dropdown menu with the following options:
 - Schiedsklägerin
 - Schiedsbeklagte
 - Schiedsgericht
 - Case Management Team
 - None
- Buttons:** "Add another task" (checkbox), "Cancel", and "Add" (highlighted in yellow).

It is possible, but not necessary, to specify a priority for the task.

By clicking on "Add", the task is saved and, in addition to being displayed in the "Tasks" module, it is also listed in the "Case Dashboard".

Tasks can also be deleted again - regardless of their processing status. In the "Hierarchy" view, arbitrators can do this by clicking on the round field with the three dots on the right of the respective line.

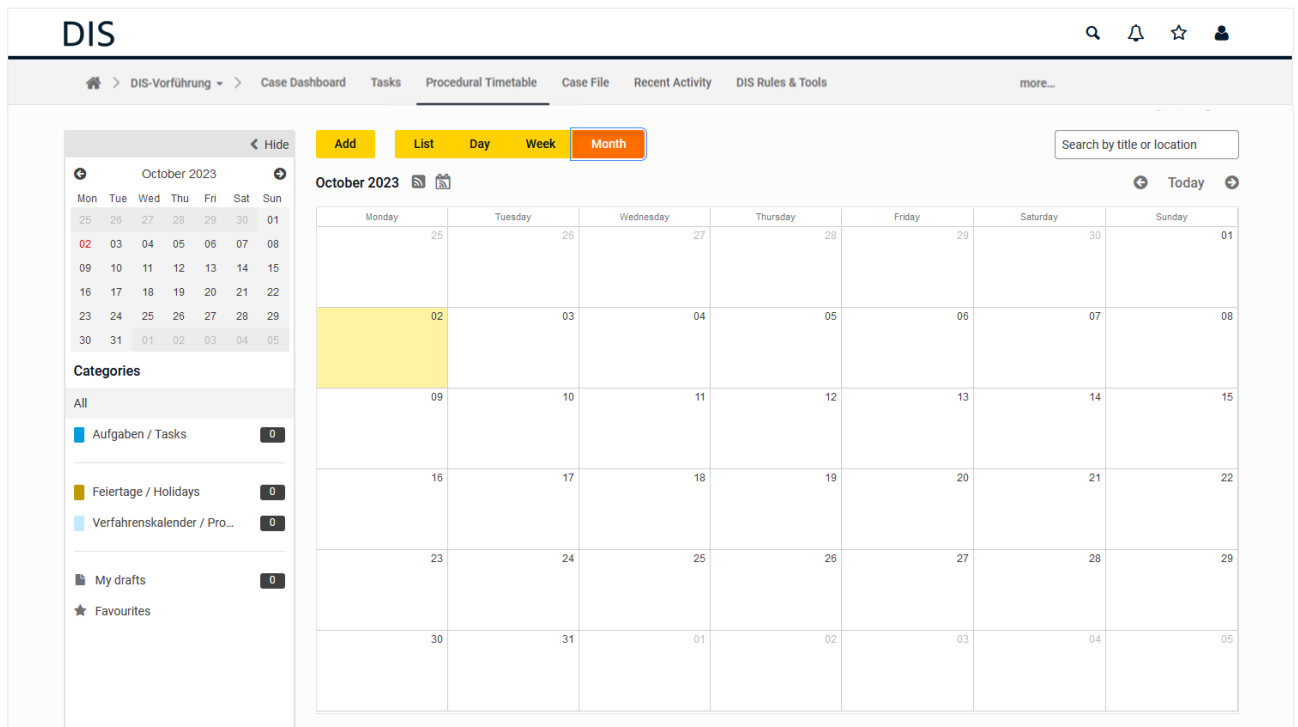
The screenshot shows the task list in "Hierarchy" view. The table below summarizes the visible tasks:

Task ID	Title	Progress	Status	Assignee	Due date	Priority
1	Schiedsklägerin	0%				
1.1	Ergänzung der Schiedsklage		Not started	Claimant(s) [Site ...]	25 Sep 2023	Normal
1.2	Zahlung der Bearbeitungsgebühren der DIS		In progress	Claimant(s) [Site ...]	02 Oct 2023	Normal

A red circle highlights the "More options" menu (three dots) for task 1.2, which includes a "Delete" option.

e. “Procedural Timetable”

The module "Procedural Timetable" is intended for use after the constitution of the arbitral tribunal, as the structuring of the proceedings up to this point is already mapped in detail by the “Tasks” module.



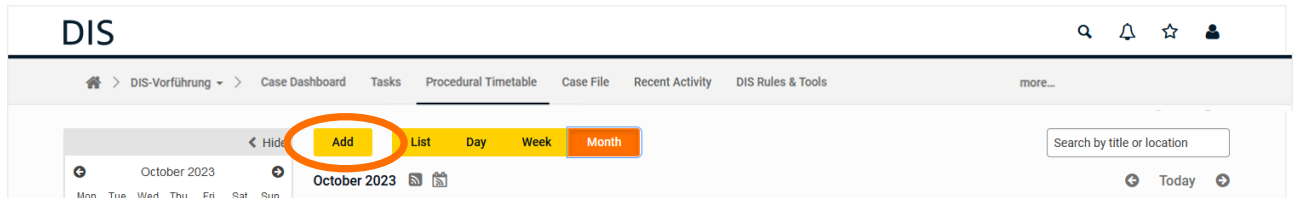
It has a similar functionality as an Outlook calendar. Entries may be shown using these tabs



in the form of a list or, as known from the Outlook calendar, in a daily, weekly or monthly view.

If the arbitral tribunal decides to use the module as a procedural calendar within the meaning of Articles 27.4, 27.5 DIS Arbitration Rules or only in addition thereto, it may be operated by the arbitrators as follows:

Clicking the yellow "Add" button opens the following menu:

A screenshot of the 'Add event' dialog box. The dialog has a title bar with 'Add event' and a close button. It is divided into 'Details' and 'Attachments' tabs. The 'Details' tab is active and contains the following fields:

- Title (required): Enter title
- Location: Enter location
- Start date (required): 02 Oct 2023, 12:00
- End date (required): 02 Oct 2023, 13:00
- All day event
- Repeats: None
- Category (required): 0 selected (highlighted with a yellow circle)
- Contacts: Search
- Description: (empty text area)
- Tags: Type and hit enter to add
- Status: Published

At the bottom, there is a yellow bell icon, a 'Cancel' button, and an 'Add' button.

The title, start and end dates have to be entered here. In addition, the drop-down menu "Category" must be ticked under "Verfahrenskalender/Procedural Timetable" before the entry is saved by clicking "Add".

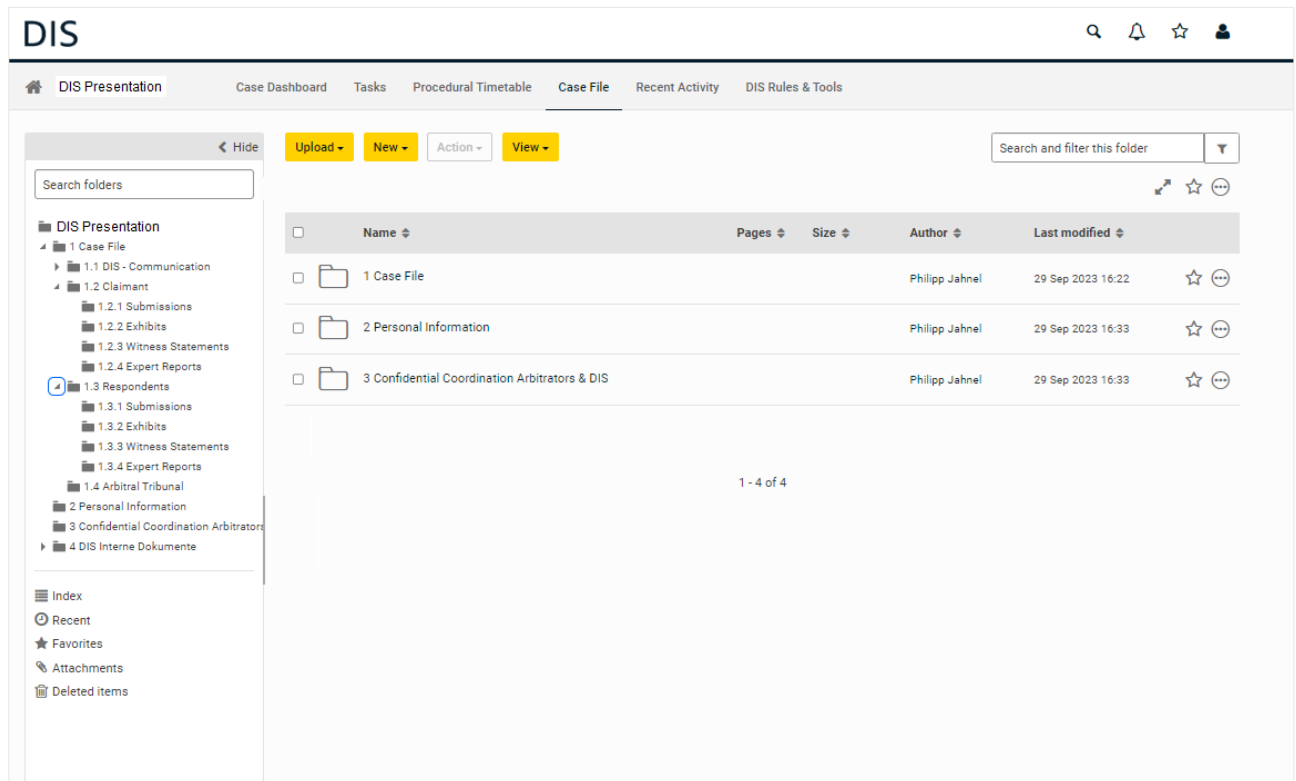
All other options can be used in addition, but are not functionally necessary. The dates entered will then be displayed in the "Procedural Timetable" module and in the "Case Dashboard" module under the heading "Dates arbitral Tribunal".

The Procedural Timetable also has a search function.

f. “Case File“

The “Case File“ module is the actual heart of **DIS eFile**.

It is initially structured as follows, but can also be customized on request:

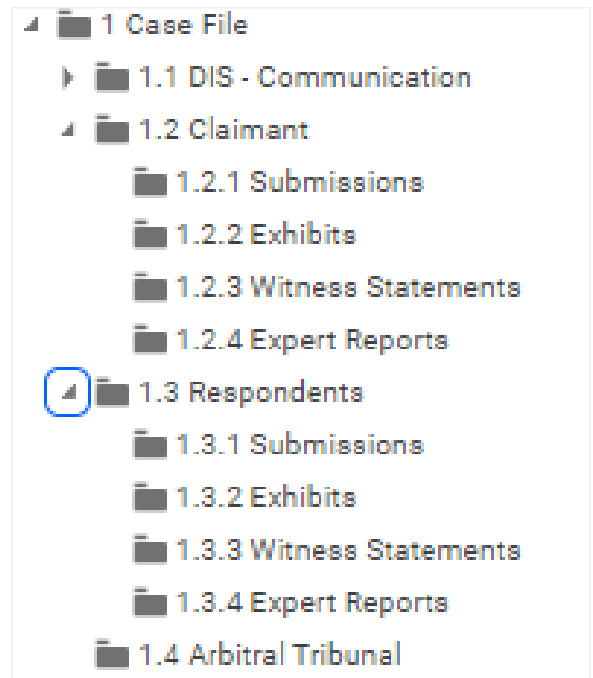


aa. Folder structure

The module has the following basic file structure:

- Case File
- Personal Information
- Confidential Coordination Arbitrators & DIS

The item "Case File" is subdivided as follows:



The basic rule is that the correct classification of documents and attachments in this folder structure depends on who sent them, not on who they were addressed to.

Thus, the folders should contain the following information:

- The folder "1.1 DIS Communications" contains DIS letters to the parties and to the arbitral tribunal.
- The folder "1.2 Claimant(s)" contains the Claimant's written submissions and attachments to the other party, to the DIS and to the arbitral tribunal.
- The folder "1.3 Respondent(s)" contains the Respondent's written submissions and attachments to the other party, to the DIS and to the arbitral tribunal.
- The folder "1.4 Arbitral tribunal" contains all correspondence from the arbitral tribunal to the parties and to the DIS.

The parties' folders ("1.2 Claimant(s)" and "1.3 Respondent(s)") are each divided into Submissions, Exhibits, Witness Statements and Expert Reports.

For ease of reference, the parties should title their submissions as follows: "Letter [party], [date]". If the submissions have specific designations (e.g. Request for Arbitration, Statement of Defense, Counterclaim, Reply, Duplication), the designation shall be inserted in the file name instead of "Letter". Annexes may be designated as the arbitral tribunal deems appropriate, provided that the designation is clear and sequential across all sets of documents (e.g. SK 1, K1, SK L 1, SK L 2). The manner in which the arbitral tribunal further divides the "1.4 Arbitral Tribunal" folder shall be at the discretion of the arbitral tribunal. The structure of the folder "1.4 Arbitral Tribunal" shall be determined by the arbitral tribunal.

All parties to the proceedings are requested to submit all documents, as far as possible, in pdf format.

Only the following correspondence should be filed separately:

- The parties can store their completed 'Banking Details' forms in the '2. Personal Information' folder. For this purpose, the folder is technically set up in such a way that only the party uploading the document will have it displayed and can view it. The DIS – but not the arbitral tribunal – can view all documents uploaded in this folder.

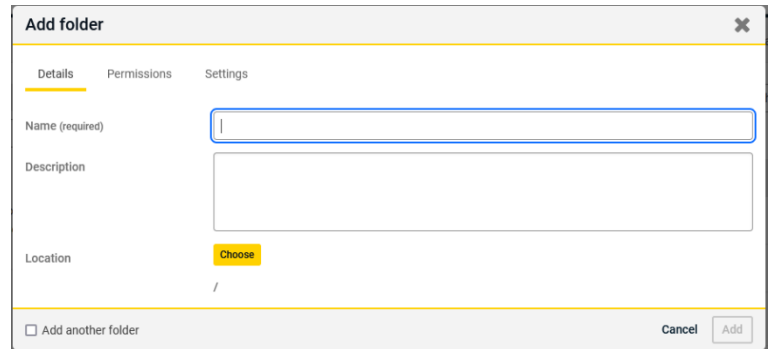
The arbitral tribunal, on the other hand, is requested to continue to submit the completed 'Banking Details' and 'Value Added Tax' forms, together with the personal information required for the respective escrow account, to the DIS by email only.

The information requested by the bank for the purpose of opening the procedural escrow account is much more sensitive than mere banking details. Storing this in the same folder would lead to it being viewable not only by the DIS but also by the other arbitrators, since the system does not further distinguish between the single arbitrators but records the arbitral tribunal as a whole.

- For confidential correspondence between the arbitral tribunal and the DIS, the arbitral tribunal may use the folder "3. Confidential Coordination Arbitrator & DIS", which is neither visible nor accessible to the parties. The DIS will respond to such submissions in the same way, in the same folder.

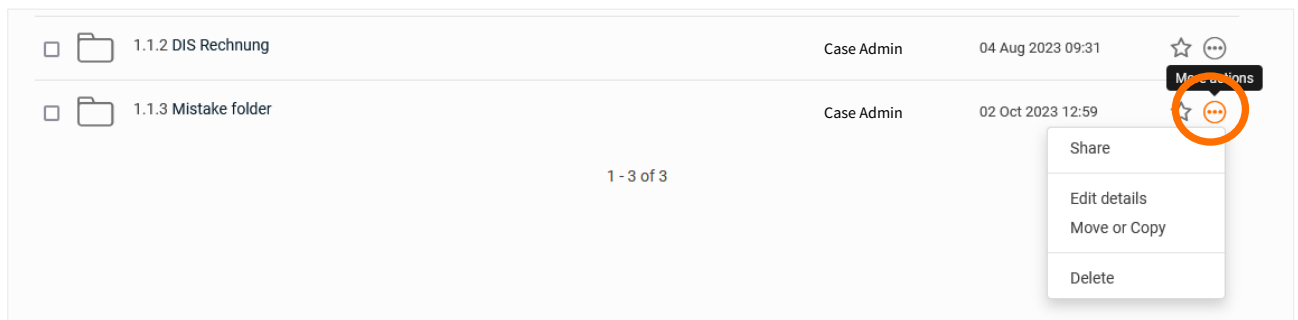
Such communication may, for example, take place in connection with the review of drafts pursuant to Article 39.3 of the DIS Arbitration Rules.

If new folders are required, e.g. at the request of the arbitral tribunal, they can be created using the "New" - "Folder" buttons as follows:



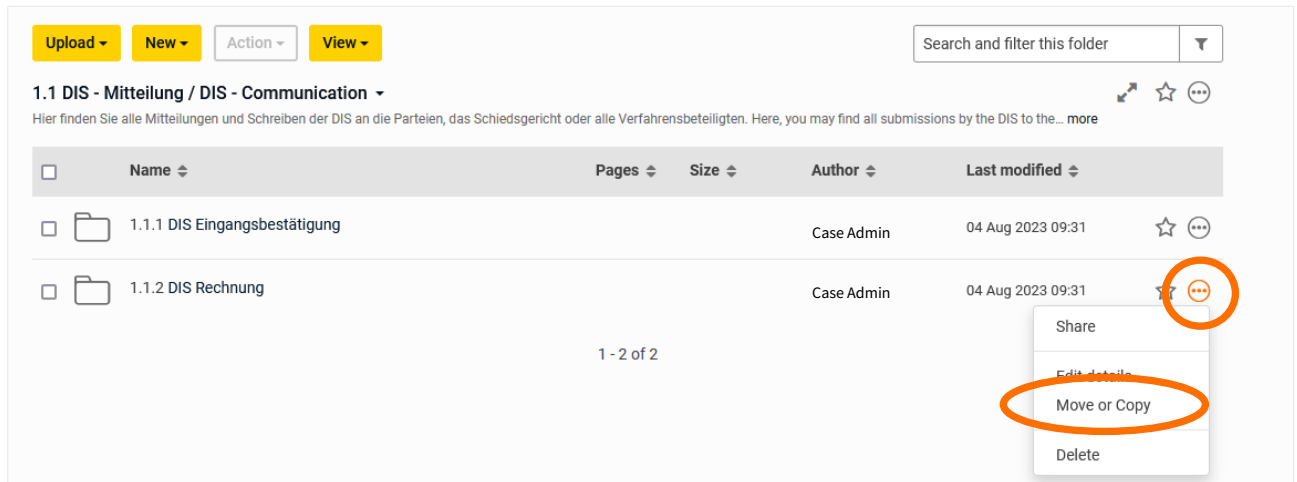
Please note that the folders created in this way are created as subfolders of the currently selected folder.

If there are operating errors here, such folders can be deleted in the following way



and then recreated.

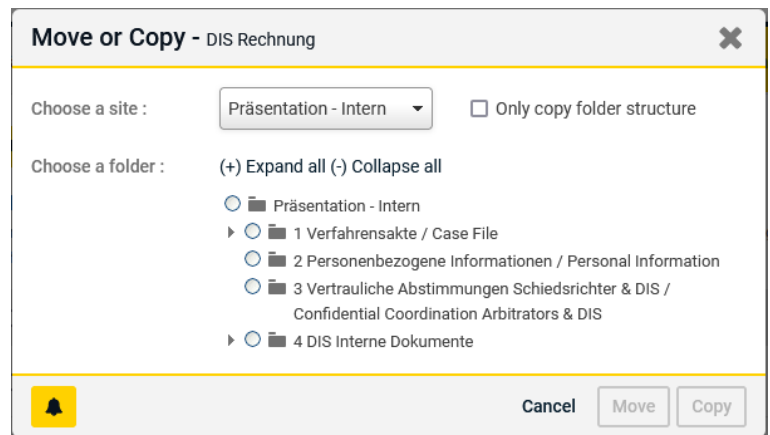
It is also possible to move folders that have already been created. To do this, proceed as shown in the example below, where the "DIS Invoice" folder is to be moved.



The screenshot shows a file management interface with a table of folders. The table has columns for Name, Pages, Size, Author, and Last modified. The folder '1.1.2 DIS Rechnung' is selected, and a context menu is open over it. The menu options are Share, Edit details, Move or Copy, and Delete. The 'Move or Copy' option is circled in red.

Name	Pages	Size	Author	Last modified
1.1.1 DIS Eingangsbestätigung			Case Admin	04 Aug 2023 09:31
1.1.2 DIS Rechnung			Case Admin	04 Aug 2023 09:31

In the menu that opens, you can select the correct folder to move the folder to.



The screenshot shows the 'Move or Copy' dialog box for the 'DIS Rechnung' folder. The dialog has a title bar with a close button. It contains a 'Choose a site' dropdown set to 'Präsentation - Intern' and a checkbox for 'Only copy folder structure'. Below this is a 'Choose a folder' section with a tree view showing the folder structure. The tree view is expanded to show the following folders: 'Präsentation - Intern', '1 Verfahrensakte / Case File', '2 Personenbezogene Informationen / Personal Information', '3 Vertrauliche Abstimmungen Schiedsrichter & DIS / Confidential Coordination Arbitrators & DIS', and '4 DIS Interne Dokumente'. At the bottom of the dialog are buttons for 'Cancel', 'Move', and 'Copy'.

The “drag and drop” option is technically only possible within the same folder and its subfolders. The DIS therefore advises against making use of this option.

Created folders can also be renamed using the „Edit details“ option:

The screenshot shows the DIS interface for a folder named "1.1 DIS - Mitteilung / DIS - Communication". At the top, there are buttons for "Upload", "New", "Action", and "View", along with a search bar. Below the folder name, there is a table listing sub-folders:

Name	Pages	Size	Author	Last modified
1.1.1 DIS Eingangsbestätigung			Case Admin	04 Aug 2023 09:31
1.1.2 DIS Rechnung			Case Admin	04 Aug 2023 09:31

A red circle highlights the "Edit details" option in the context menu for the "1.1.2 DIS Rechnung" folder. Other options in the menu include "Share", "Move or Copy", and "Delete".

bb. Operating the module

For further operation of the "Case File" module: Uploading to the case file module - in the correct folder - is done in two steps: First, select the file you wish to upload:

The screenshot shows the DIS interface for the "Case File" module. The "Upload" button is highlighted with a red circle. The interface includes a search bar, a folder tree on the left, and a table for file listings. The folder tree shows the following structure:

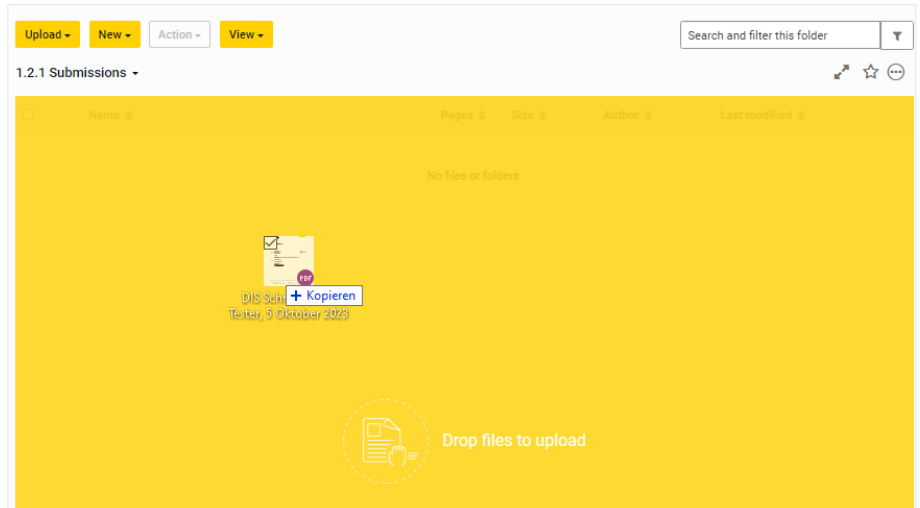
- Präsentation - Intern
 - 1 Verfahrensakte / Case File
 - 1.1 DIS - Mitteilung / DIS - Communication
 - 1.1.1 DIS Eingangsbestätigung (1)
 - 1.1.2 DIS Rechnung

The table below the folder tree is currently empty, showing "No files or folders".

In the menu that opens, select the correct file from your own computer/network using 'Browse':

The screenshot shows the "Add files" dialog box. It has a title bar with a close button (X). Below the title bar, there are three tabs: "Files", "Metadata", and "Tasks". The "Files" tab is selected. Below the tabs, there is a text input field with the placeholder text "Browse... or drag file(s) here". The "Browse..." button is highlighted with a red circle. At the bottom of the dialog, there are "Cancel" and "Add" buttons.

Alternatively, you can drag and drop files from your own computer/network into the correct folder:

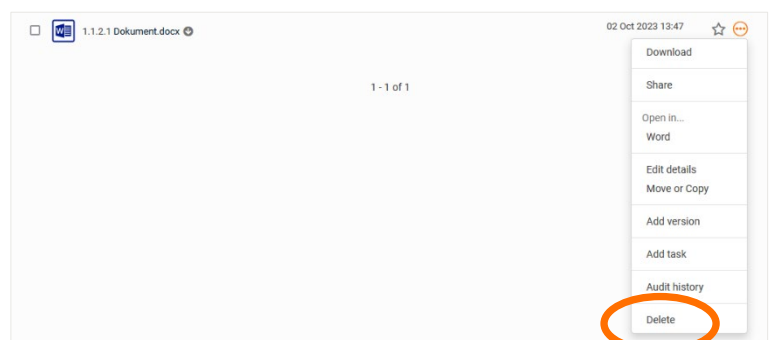


The successful upload will be confirmed in the following form:



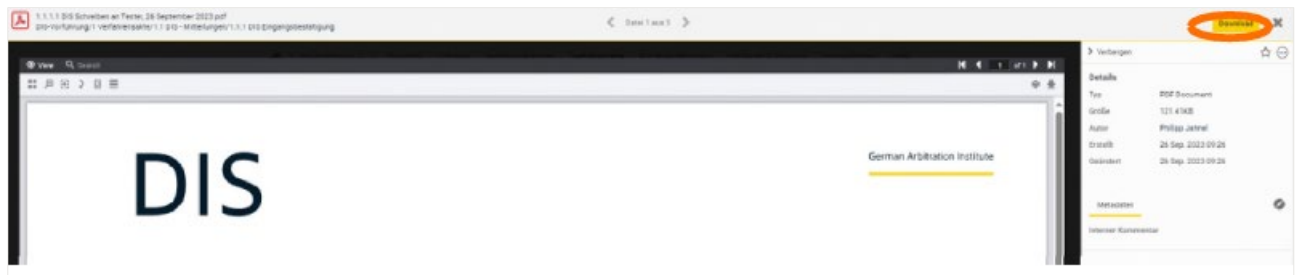
Once uploaded, the content of the files cannot be changed, so the date shown under "Created date" is the same as the upload date.

However, it is possible to delete (accidentally) uploaded (wrong) files:



Please note that permanent deletion can only be carried out by the DIS. Until then, it is possible for the DIS to restore deleted files at any time and to view the exact date of deletion and the name of the user who deleted the file.

Uploaded files can be viewed by simply clicking on the file name in the preview window. Downloading is possible either from this menu



or via the following path:



Lastly, the "Case File" module offers also a search function to find specific subfolders (but not individual documents).

g. "Recent Activity" module

The "Recent Activity" module displays the latest activities in the eFile, comparable to your social media feed. You will also find an overview of the tasks and the dates in the Procedural Timetable on the right-hand side.

h. “DIS Rules & Tools“ module

Finally, via the “DIS Rules & Tools“ module, you will find direct links to the current

- DIS Rules
- DIS Practice Notes
- DIS Model Clause

We hope you enjoy using **DIS eFile** and look forward to receiving your feedback.

Your Case Management Team