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NAFTA

North American Free Trade Agreement
Notes of Interpretation of Certain Chapter 11 Provisions
NAFTA Free Trade Commission
July 31, 2001

Having reviewed the operation of proceedings conducted under Chapter Eleven of the North American Free Trade Agreement, the Commission hereby adopts the following interpretations of Chapter Eleven in order to clarify and reaffirm the meaning of certain o

A. Access to documents

1. Nothing in the NAFTA imposes a general duty of confidentiality on the disputing parties to a Chapter Eleven arbitration application of Article 1137(4), nothing in the NAFTA precludes the Parties from providing public access to documents issued by, a Chapter Eleven tribunal.
2. In the application of the foregoing:
 - a. In accordance with Article 1120(2), the NAFTA Parties agree that nothing in the relevant arbitral rules imposes a confidentiality or precludes the Parties from providing public access to documents submitted to, or issued by, Chapter Eleven tribunals, apart from the limited specific exceptions set forth expressly in those rules.
 - b. Each Party agrees to make available to the public in a timely manner all documents submitted to, or issued by, a Chapter Eleven tribunal, subject to redaction of:
 - i. confidential business information;
 - ii. information which is privileged or otherwise protected from disclosure under the Party's domestic law; and
 - iii. information which the Party must withhold pursuant to the relevant arbitral rules, as applied.
 - c. The Parties reaffirm that disputing parties may disclose to other persons in connection with the arbitral proceedings documents as they consider necessary for the preparation of their cases, but they shall ensure that those persons do not disclose confidential information in such documents.
 - d. The Parties further reaffirm that the Governments of Canada, the United Mexican States and the United States of America, with officials of their respective federal, state or provincial governments all relevant documents in the course of the proceedings under Chapter Eleven of NAFTA, including confidential information.
3. The Parties confirm that nothing in this interpretation shall be construed to require any Party to furnish or allow access to documents which may be withheld in accordance with Articles 2102 or 2105.

B. Minimum Standard of Treatment in Accordance with International Law

1. Article 1105(1) prescribes the customary international law minimum standard of treatment of aliens as the minimum standard of treatment to be afforded to investments of investors of another Party.
2. The concepts of "fair and equitable treatment" and "full protection and security" do not require treatment in addition to that which is required by the customary international law minimum standard of treatment of aliens.
3. A determination that there has been a breach of another provision of the NAFTA, or of a separate international agreement, does not establish that there has been a breach of Article 1105(1).

Closing Provision

The adoption by the Free Trade Commission of this or any future interpretation shall not be construed as indicating an agreement among the NAFTA Parties about other matters of interpretation of the Agreement.

Done in triplicate at Washington, D.C., on the 31st day of July, 2001, in the English, French and Spanish languages, each authentic.

For the Government of the United States of America

Robert B. Zoellick
United States Trade Representative

For the Government of the United Mexican States

Luis Ernesto Derbez Bautista
Secretary of Economy

For the Government of Canada

Pierre S. Pettigrew
Minister for International Trade

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