



TOGETHER
for a sustainable future

OCCASION

This publication has been made available to the public on the occasion of the 50th anniversary of the United Nations Industrial Development Organisation.



TOGETHER
for a sustainable future

DISCLAIMER

This document has been produced without formal United Nations editing. The designations employed and the presentation of the material in this document do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations Industrial Development Organization (UNIDO) concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries, or its economic system or degree of development. Designations such as “developed”, “industrialized” and “developing” are intended for statistical convenience and do not necessarily express a judgment about the stage reached by a particular country or area in the development process. Mention of firm names or commercial products does not constitute an endorsement by UNIDO.

FAIR USE POLICY

Any part of this publication may be quoted and referenced for educational and research purposes without additional permission from UNIDO. However, those who make use of quoting and referencing this publication are requested to follow the Fair Use Policy of giving due credit to UNIDO.

CONTACT

Please contact publications@unido.org for further information concerning UNIDO publications.

For more information about UNIDO, please visit us at www.unido.org

08787

UNITED NATIONS INDUSTRIAL
DEVELOPMENT ORGANIZATION

Distr.
LIMITED
UNIDO/ICIS.110
24 April 1979
ENGLISH

TECHNOLOGICAL INFORMATION EXCHANGE SYSTEM

(TIES).

CODING MANUAL^{1/},

Prepared by the
UNIDO Secretariat

1/ This document has been reproduced without formal editing

TABLE OF CONTENTS

	<u>Page</u>
I. Background	1
II. Introduction	2
III. Tape Specifications	5
IV. TIES Coding Form	10
V. Contract Section	11
ID Key	12
Country Codes	13
Industrial Code	16
Foreign Holdings	17
Recipient Type	18
Supplier Company Code	19
Supplier Country Code	20
Currency Code	21
Contract Start Date	22
Contract Duration	23
Collaboration Type	24
Product Code	29
Exchange Rate	30
Currency Multiplier	31
Production Multiplier.	32
Production Units	33
Royalty Type	34
Royalty % A and B	35
Royalty B Level	36
Lump Sum Payment	37
Minimum Royalty Fee	38
Annual Sales	39
Annual Production Volume	40
Annual Production Capacity	41
VI. Recipient Section	42
Recipient Company Name	43
Recipient Company Address	43
VII. Supplier Section	44
Supplier Name	45
Supplier Address	45
VIII. Comment Section	46

TECHNOLOGICAL INFORMATION EXCHANGE SYSTEM (TIES)

I. BACKGROUND

As a result of Phase I of the TIES system certain modifications and improvements to the coding manual were deemed necessary before embarking on Phase II or full implementation.

This edition of the TIES coding manual contains, among others, those revisions identified at the 1979 Caracas meeting. The manual may, from time to time, be revised to include comments, suggestions, additions or clarifications and in such cases replacement pages containing corrections will be sent to each participating government agency.

As recommended at the Caracas meeting the coding manual in its original form required some clarification for the easier interpretation of the instructions. The valuable observations made by the participants, to the extent possible, have been taken into account in preparing this revised edition. A revised TIES coding form is included in the manual on page 10.

The following revised or additional items should be noted:

- Expanded and Defined Collaboration Types
- Inclusion of an Exchange Rate
- Expanded Production Units
- Titles of Royalty § 1 and 2 changed to Royalty § A and Royalty § B
- Production and Currency Multipliers

It was agreed by the meeting that while it was not necessary to complete all data items it was understood and emphasized that every effort had to be made to supply as much data as possible. In this connection the meeting stressed that the effectiveness of the TIES system was dependent on the amount of data supplied by each country.

II. INTRODUCTION

The data format for TIES consists of four separate sections for each contract:

1. Contract Data: contains detailed data on the contract
2. Recipient Data: contains the name and address of the company receiving the technology
3. Supplier Data: contains the name and address of the company supplying the technology
4. Comments: contains textual comments that add relevant information about the contract

Data Submission

There are three levels of data reporting in the TIES system. TIES I provides general, aggregate data by industrial sector, TIES II Basic Data includes limited data on individual contracts and TIES II Detailed Data contains the full scope of data items included in the system.

TIES I

TIES I data may be submitted on what is referred to as the Schedule I Form or coded on the TIES Coding Form.

A. Schedule I

If TIES I data is submitted on this schedule it will be transferred by UNIDO to the TIES coding forms for computer processing. If government agencies staff resources allow, submission of data on the TIES coding forms would be preferred.

B. TIES Coding Form

When TIES I data is submitted on the standard coding form the following conventions must be observed:

- Use one coding form per industry
- Royalty rates and other numerical data should either be a) an average for the industry or b) the minimum for the industry. The maximum royalty figures would be entered in the comment section. It is necessary to indicate in the comment section which type of royalty figures have been provided.
- Information on multiple suppliers, recipients, products, etc. should be entered in the comment section.

TIES II Basic Data

Data must be submitted on the TIES coding form with one form completed per contract or on magnetic tape. Specifications for magnetic tape preparation are found on page 5.

TIES II Basic Data consist of the following items for an individual contract:

- Country code
- ISIC industrial code
- Level of foreign holdings
- Supplier company code (where possible)
- Supplier country code
- Contract date
- Collaboration type(s)
- SITC product code
- Recipient company name
- Recipient company address
- Supplier company name
- Supplier company address
- Comments (optional)

Note: The date of the contract is needed to identify the data period, without this date there is no way to determine what year the data is from!

TIES II Detailed Data

Data must be submitted on the TIES coding form with one form completed per contract or on magnetic tape. Specifications for magnetic tape preparation are found on page 5.

TIES II Detailed Data must contain at least those items identified as TIES II Basic Data in addition to as much information on terms and conditions as can be supplied per contract. Of course wherever possible all data items should be completed.

Coding Conventions for Manually Prepared Data

The letter "O" is coded Ø to distinguish it from the number zero which is coded 0.

The number seven is coded 7.

The letter "Z" is coded Z to distinguish it from the number two which is coded 2.

Timing

The TIES system will be updated every six months. Data for the period January through June of a given year are to be submitted by August 1 of each year and data for the period July through December by February 1 of the following year.

It should be noted that data submitted in August 1979 should include all the data from the past 5 years (if available) the Registries intend to provide.

III. TAPE SPECIFICATIONS

One complete TIES record consists of nine 80-column card images. All data is character data (EBCDIC). Unless otherwise stated all data is left justified. Fields with no data should be zero filled.

An ID key number must be assigned to each record. This same key number will appear on each of the nine card images for a given contract. The ID key numbers begin with 0001 and will range to 9999. Thus the first 9 card images (first record) would be given the number 0001, the second 9 card images (second record) 0002 and so on.

Since a complete record consists of 9 card images all nine must appear even if no comment data is submitted (i.e. records are of fixed length).

UNIDO is in a position to process virtually any type of tape but will require the following information about each tape submitted:

1. Dataset name of tape
2. Volume identification
3. Density
4. 7 or 9 track
5. Blocking factor
6. Are standard IBM labels used?
7. A few sample pages of output

Pages 6 to 9 contain the exact record layout.

TIES RECORD LAYOUT

CARD IMAGE 1

<u>Column</u>	<u>Length</u>	<u>Description</u>	<u>Comments</u>
1	1	N	Constant
2	4	ID Key Number	Right justified Zero fill
6	2	11	Constant
8	3	Country Code	
11	4	Industrial Code	
15	1	Foreign Holdings	
16	1	Recipient Type	
17	7	Supplier Company Code	
24	3	Supplier Country Code	
27	3	Currency Code	
30	4	Contract Date	Format is YYYY (Year Year Month Month)
34	2	Contract Duration	Right justified Do <u>NOT</u> zero fill
36	1	Collaboration Type	
37	1	Collaboration Type	
38	1	Collaboration Type	
39	6	Product Code 1	Do <u>NOT</u> code decimal point
45	6	Product Code 2	Do <u>NOT</u> code decimal point
51	5	Exchange Rate	Right justified Code decimal point and zero fill
56	7	Currency Multiplier	Right justified zero fill
63	7	Production Multiplier	Right justified zero fill
70	1	Production Units	
71	1	Royalty Type	
72	3	Royalty % A	Right justified Do <u>NOT</u> code decimal point
75	3	Royalty % B	Right justified Do <u>NOT</u> code decimal point
78	3	Blank	

CARD IMAGE 2

<u>Column</u>	<u>Length</u>	<u>Description</u>	<u>Comments</u>
1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	12	Constant
8	5	Royalty B Level	Right justified zero fill
13	5	Lump Sum Payment	Right justified zero fill
18	5	Minimum Royalty Fee	Right justified zero fill
23	5	Annual Sales	Right justified zero fill
28	5	Annual Production Volume	Right justified zero fill
33	5	Annual Production Capacity	Right justified zero fill
38	43	Blank	

CARD IMAGE 3

1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	13	Constant
8	15	Recipient Company Name	Line 1
23	15	Recipient Company Name	Line 2
38	20	Recipient Address	Line 1
58	20	Recipient Address	Line 2
78	3	Blank	

CARD IMAGE 4

<u>Column</u>	<u>Length</u>	<u>Description</u>	<u>Comments</u>
1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	14	Constant
8	15	Supplier Name	Line 1
23	15	Supplier Name	Line 2
38	20	Supplier Address	Line 1
58	20	Supplier Address	Line 2
78	3	Blank	

CARD IMAGE 5

1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	15	Constant
8	30	Comments	Line 1
38	30	Comments	Line 2
68	13	Blank	

CARD IMAGE 6

1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	16	Constant
8	30	Comments	Line 3
38	30	Comments	Line 4
68	13	Blank	

CARD IMAGE 7

<u>Column</u>	<u>Length</u>	<u>Description</u>	<u>Comments</u>
1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	17	Constant
8	30	Comments	Line 5
38	30	Comments	Line 6
68	13	Blank	

CARD IMAGE 8

1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	18	Constant
8	30	Comments	Line 7
38	30	Comments	Line 8
68	13	Blank	

CARD IMAGE 9

1	1	N	Constant
2	4	ID Key Number	Same ID number as Card Image 1
6	2	19	Constant
8	30	Comments	Line 9
38	30	Comments	Line 10
68	13	Blank	



TIES CODING FORM

ID KEY

RECIPIENT

COUNTRY CODE

INDUSTRIAL CODE

FOREIGN HOLDING

RECIPIENT TYPE

SUPPLIER

SUPPLIER COMPANY CODE

SUPPLIER COUNTRY CODE

CONTRACT

CURRENCY CODE

CONTRACT DATE

CONTRACT DURATION TYPE

COLLABORATION

PRODUCT CODE 1

PRODUCT CODE 2

CONTRACT

EXCHANGE RATE

CURRENCY MULTIPLIER

PRODUCTION MULTIPLIER

PRODUCTION UNITS

TERMS

ROYALTY TYPE

ROYALTY %A

ROYALTY %B

ROYALTY B LEVEL

LUMP SUM PAYMENT

MINIMUM ROYALTY FEE

PRODUCTION

ANNUAL SALES

ANNUAL PRODUCTION VOLUME

ANNUAL PRODUCTION CAPACITY

RECIPIENT COMPANY

RECIPIENT NAME LINE 1

RECIPIENT NAME LINE 2

ADDRESS LINE 1

ADDRESS LINE 2

SUPPLIER COMPANY

SUPPLIER NAME LINE 1

SUPPLIER NAME LINE 2

ADDRESS LINE 1

ADDRESS LINE 2

COMMENTS

COMMENTS LINE 1

COMMENTS LINE 2

COMMENTS LINE 3

COMMENTS LINE 4

COMMENTS LINE 5

Contract Section

This section contains detailed information on the contract and consists of five subsections:

- Recipient Company
- Supplier Company
- Contract Description
- Terms
- Production

While it is not necessary to complete all items in this section certain pieces of data depend on others for a logical interpretation, for instance one would need to know the currency code in order to interpret monetary values. Where such interdependency exists a note is made in the coding instructions.

ID KEY

0	0	0	1
---	---	---	---

ID KEY

This field will contain an identifying number for each contract (TIES II) or for each industrial sector (TIES I). The full identifier for each contract will consist of the 3 digit country code (see page 13) and the numerical ID key. When taken together these two fields will provide a unique identifier for each contract in the system.

Each country has been assigned the numbers 0001 - 9999. The number 0001 should be placed in the ID key field for the first contract, 0002 for the second and so on.

If you submit data on 64 contracts in July 1979 the corresponding ID key numbers used would range from 0001 - 0064. For data that you would submit in February 1980 the first ID key number to be used would be 0065.

IMPORTANT NOTE: Those submitting data on magnetic tape please refer to the section on Tape Specifications for full instructions.

EXAMPLE: 0001 indicates this is the first contract form coded. This number coupled with the country code will be used to identify the contract.

COUNTRY CODE

RECIPIENT

<input checked="" type="checkbox"/> S <input checked="" type="checkbox"/> W <input checked="" type="checkbox"/> I	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COUNTRY CODE	INDUSTRIAL CODE	FOREIGN HOLDING	RECIPIENT TYPE

Enter the 3 character Code for your country from the list that follows:

EXAMPLE: SWI indicates Switzerland.

<u>Name of Country</u>	<u>Code</u>	<u>Name of Country</u>	<u>Code</u>
Afghanistan	AFG	Bulgaria	BUL
Albania	ALB	Burma	BUR
Algeria	ALG	Burundi	BDI
Angola	ANG	Cameroon	CMR
Argentina	ARG	Canada	CAN
Australia	AUL	Cape Verde Islands	CVI
Austria	AUS	Cayman Islands	CAY
Bahamas	BHA	Central African Empire	CAF
Bahrain	BAH	Chad	CHD
Bangladesh	BGD	Chile	CHI
Barbados	BAR	China People's Republic	CPR
Belgium	BEL	Colombia	COL
Benin	BEN	Comoros	COI
Bermuda	BER	Congo	PRC
Bhutan	BHU	Costa Rica	COS
Bolivia	BOL	Cuba	CUB
Botswana	BOT	Cyprus	CYP
Brazil	BRA	Czechoslovakia	CZE

<u>Name of Country</u>	<u>Code</u>	<u>Name of Country</u>	<u>Code</u>
Democratic Kampuchea (Cambodia)	KAM	Iraq	IRQ
Denmark	DEN	Ireland	IRE
Djibouti	DJI	Israel	ISR
Dominican Republic	DOM	Italy	ITA
Ecuador	ECU	Ivory Coast	IVC
Egypt	EGY	Jamaica	JAM
El Salvador	ELS	Japan	JPN
Equatorial Guinea	EQG	Jordan	JOR
Ethiopia	ETH	Kenya	KEN
Fiji	FIJ	Korea (Dem. People's Rep.) (North)	DRK
Finland	FIN	Korea (Republic of) (South)	ROK
France	FRA	Kuwait	KUW
Gabon	GAB	Lao People's Dem. Rep.	LAO
Gambia	GAM	Lebanon	LEB
German Democratic Rep. (East)	GDR	Lesotho	LES
Germany, Fed. Rep. of (West)	GFR	Liberia	LIR
Ghana	GHA	Libyan Arab Republic	LIB
Greece	GRE	Liechtenstein	LIE
Grenada	GRN	Luxembourg	LUX
Guatemala	GUA	Madagascar	MAG
Guinea	GUI	Malawi	MLW
Guinea-Bissau	GBS	Malaysia	MAL
Guyana	GUY	Maldives	MDV
Haiti	HAI	Mali	MLI
Holy See	HLS	Malta	MAT
Honduras	HON	Mauritania	MAU
Hong Kong	HOK	Mauritius	MAR
Hungary	HUN	Mexico	MEX
Iceland	ICE	Monaco	MNC
India	IND	Mongolia	MON
Indonesia	INS	Morocco	MOR
Iran	IRA	Mozambique	MOZ

<u>Name of Country</u>	<u>Code</u>	<u>Name of Country</u>	<u>Code</u>
Namibia	NAM	Sri Lanka	SRL
Nepal	NEP	Sudan	SUD
Netherlands	NET	Surinam	SUR
New Zealand	NZE	Swaziland	SWA
Nicaragua	NIC	Sweden	SWE
Niger	NER	Switzerland	SWI
Nigeria	NIR	Syrian Arab Republic	SYR
Norway	NOR	Taiwan	ZZ1
Oman	OMA	Thailand	THA
Pakistan	PAK	Togo	TOG
Panama	PAN	Trinidad and Tobago	TRI
Papua New Guinea	PNG	Tunisia	TUN
Paraguay	PAR	Turkey	TUR
Peru	PER	Uganda	UGA
Philippines	PHI	Union of Soviet Socialist	
Poland	POL	Republics	USR
Portugal	POR	United Arab Emirates	UAE
Qatar	QAT	United Kingdom of Great Britain	
Romania	ROM	and Northern Ireland	UK *
Rwanda	RWA	United Rep. of Tanzania	URT
Sao Tome y Principe	STP	United States of America	USA
Saudi Arabia	SAU	Upper Volta	UPV
Senegal	SEN	Uruguay	URU
Seychelles	SEY	Venezuela	VEN
Sierra Leone	SIL	Viet Nam Socialist Republic	SRV
Singapore	SIN	Yemen	YEM
Somalia	SOM	Yemen People's Dem. Rep.	PDY
South Africa	SAF	Yugoslavia	YUG
Southern Rhodesia	SRH	Zaire, Republic of	ZAI
Spain	SPA	Zambia	ZAM

* Code as UK followed by a space.

INDUSTRIAL CLASSIFICATION CODE (ISIC)

RECIPIENT

COUNTRY
CODE

3522
INDUSTRIAL
CODE

FOREIGN
HOLDING

RECIPIENT
TYPE

Enter the 4 digit Industrial Classification Code which identifies the industry of the contract. Use only the "International Standard Industrial Classification" (ISIC) codes. Enter only the 4 digit "group code" not the division or major group codes.

EXAMPLE: The code 3522 represents the Industry Code for "Manufacture of Drugs and Medicines".

CODES: Please refer to the ISIC Industry Codes sent to you previously.

LEVEL OF FOREIGN HOLDINGS

RECIPIENT

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
COUNTRY CODE	INDUSTRIAL CODE	1 FOREIGN HOLDING		RECIPIENT TYPE	

Enter the code which best describes the total level of foreign holdings in the recipient company.

If you wish to detail the foreign holdings (10% USA, 10% Swiss etc.) this may be done in the comment section. (A full explanation of how to code such a case may be found in the comment section instructions.)

EXAMPLE: The 1 code indicates no foreign investment in the recipient company.

<u>CODE</u>	<u>DESCRIPTION</u>
1	0% - no foreign investment
2	1-25% foreign investment
3	26-49% foreign investment
4	50-66% foreign investment
5	67-99% foreign investment
6	100% - wholly owned subsidiary

RECIPIENT COMPANY TYPE

RECIPIENT

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COUNTRY CODE	INDUSTRIAL CODE	FOREIGN HOLDING	<input checked="" type="checkbox"/> RECIPIENT TYPE

Enter the code which best describes the recipient company.

EXAMPLE: The 3 code indicates that the recipient company is privately held.

<u>CODE</u>	<u>DESCRIPTION</u>
1	State or government owned
2	Publically held company
3	Privately held company
4	Mixed company

SUPPLIER COMPANY CODE

SUPPLIER							SUPPLIER	
SUPPLIER COMPANY							SUPPLIER	
CODE							COUNTRY CODE	

Enter the 7 digit code of the company supplying the technology for this contract. If the company is not in the supplier codes on the following pages leave this field blank, and enter the full name and address in the supplier section.

NOTE: The first three characters of the code are alphabetic and the last four are numeric. The Supplier Company Code has been provided by the United Nations Centre on Transnational Corporations. This code will be updated and expanded until it includes some 15,000 companies. Whenever it is updated you will be provided with new pages for the coding manual.

SUPPLIER COUNTRY CODE

SUPPLIER

SUPPLIER COMPANY
CODE

A U S
SUPPLIER
COUNTRY CODE

Enter the 3 character alphabetic Country Code for the supplying company.
This code should always be entered (even if the supplier company code was
not filled in).

The codes used are the same as those for the Recipient Country Code.

EXAMPLE: AUS indicates Austria as the supplying country.

CURRENCY CODE

CONTRACT

MEX
CURRENCY CODE

--	--	--	--	--	--	--	--	--	--

CONTRACT
DATE

--	--	--	--	--	--	--	--	--	--

CONTRACT COLLABORATION
DURATION TYPE

--	--	--	--	--	--	--	--	--	--

PRODUCT CODE 1

--	--	--	--	--	--	--	--	--	--

PRODUCT CODE 2

Enter the 3 character code for the currency in which contract payments are made. Codes are the same as those for the recipient and supplier country codes.

If this field is left blank it will be impossible to process any monetary data reported in subsequent fields.

NOTE: If some payments of a contract are in one currency and some in another, enter the Currency Code representing the greater percentage of total payments. Report all payments in this greater percentage currency and note the problem in the comment section. (A full explanation of how to code such a case may be found in the comment section instructions).

EXAMPLE: MEX indicates that the contract payments are made in Mexican Pesos.

CONTRACT START DATE

CONTRACT

CURRENCY
CODE

7 8 0 1
CONTRACT
DATE

CONTRACT DURATION
COLLABORATION TYPE

PRODUCT CODE 1

PRODUCT CODE 2

Enter the year and month in which contract activity began. The format must be YMM (Year Year Month Month).

EXAMPLE: 7801 indicates that contract activity began in January 1978.

CONTRACT DURATION

CONTRACT

<input type="text"/>	<input type="text"/>	<input type="text" value="2"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
CURRENCY CODE	CONTRACT DATE	CONTRACT DURATION	COLLABORATION TYPE				PRODUCT CODE 1		PRODUCT CODE 2

Enter the duration of contract in years. If number of years is less than 10, precede by a blank; thus a 1-year contract would be coded as 1.

NOTE: Code 99 if the contract length is open.

EXAMPLE: 2 indicates a contract duration of 2 years.

COLLABORATION TYPE

CONTRACT

CURRENCY
CODE

CONTRACT
DATE

CONTRACT
DURATION

2 3
COLLABORATION
TYPE

PRODUCT CODE 1

PRODUCT CODE 2

Enter the Collaboration Type code(s) which best describe the primary contract activity. If there is only one Collaboration Type the code would be inserted in the first of the three boxes, if there are two they would be inserted in the first two boxes and, if three, all three would be filled in.

NOTE: If you wish to list more than three types of collaboration the additional ones may be coded in the comment section (a full explanation of how to code such a case may be found in the comment section instructions).

EXAMPLE: Codes 2 and 3 above indicate that this contract has know-how and trademark collaboration.

<u>CODE</u>	<u>DESCRIPTION</u>
1	Licence
2	Know-how
3	Trademark
4	Patent
5	Technical assistance
6	Basic engineering
7	Detailed engineering
8	Management and Administrative Services
9	Training

1. Licence

The licence agreement may include a variety of elements in which the licensee buys or leases the right to use certain industrial property rights and/or non-patented technical knowledge.

In essence, codes 2 - 9 encompass specific types of licence agreements. For the purpose of TIES it is important to use codes 2 - 9 as appropriate to identify the specific type of licence agreement. In other cases where the agreement or portions of the agreement are not covered by the collaboration types in codes 2 - 9 the code 1, various types of miscellaneous agreements, would be used.

For example to be included under code 1 are certain agreements of such a specialized nature that they are difficult to categorize and define such as:

- Leasing
- Franchising
- Sales and service representations

2. Know-How Agreements

- a) Cover specific secret or otherwise difficult to obtain information on formulas, processes, industrial techniques. This type of coverage can range from a secretly held chemical formula to a special manufacturing technique that has been developed over many years.
- b) Usually are used in connection with patent licenses to complete the subject coverage.
- c) Have certain defensible protection in respect to industrial property in many countries, but in most cases are not as secure as patent licenses, and in other cases have no status at all for industrial property rights.

Includes

- Unpatented trade secrets and confidential information
- Patent applications on file, but not before filing
- Laboratory records and reports
- Commercial development reports
- Engineering development reports
- Pilot plant design and operating specifications
- Raw material specifications
- Quality control methods and standards
- Cost and profit analysis
- Blue-prints, drawings and photographs
- Models, molds, dies, tools and parts, at cost
- Any other item mutually agreed upon

3. Trademarks

- a) Cover certain registered or accepted proprietary identification or artistic creation (i.e. registered user).
- b) Are usually carefully controlled to guarantee the continued proprietary position.
- c) Can be entered into with or without concurrent patent and know-how agreements.

4. Patents

- a) For specific apparatus, product or design coverage

Examples would include a specific apparatus whose essential element is patented or a refinement or even a "convenience feature" which makes an existing standard product more saleable.

- b) For a specific process or method of manufacture

Such as a metal finishing process that is the only way to achieve a certain decorative or functional surface quality--or the method of economically forming a manufactured element, or a method of deriving a certain synthetic material.

- c) For the combination of a) and b)

Usually to achieve a marketable product.

5. Technical assistance agreements

- a) Involve continuing supply to the licensee of scientific (research) assistance, engineering services, training and management guidance not more appropriately placed under codes 6 - 9.
- b) Usually are embodied in licences which involve know-how.

6. Basic engineering

A contract covering the supply of basic engineering developed or proposed by the foreign licensor or contractor relates primarily to proprietary technical data concerned with the functioning of the process; production capacities; raw materials; end-products and utilities. It includes information on heat and mass balances for a given process and in particular for the dimensioning of major equipment.

It is clearly understood that technical information related to basic engineering and process technology would not be submitted as part of the TIES system, however, it is of utmost importance to include, if possible, certain information pertaining to the manner in which the basic engineering will be contracted, such as cost plus "reimbursable charges", turn-key or others. Similarly it would be appropriate to consider, whenever possible, information pertaining to the cost of basic engineering and training programmes for its execution.

7. Detailed engineering

Contracts involving the supply of detailed engineering are specialized and normally would associate the recipient enterprise in its execution. It is confined primarily to battery limits and includes technical work in the areas such as piping, electrical requirements, utilities, safety, instrumentation, etc.

From the point of view of the TIES system any information that could identify the technical expertise available in member countries of TIES in the area of detailed engineering will be of potential value to the system.

8. Management and Administrative Services

- a) Market surveys and analysis
- b) Sales promotion methods and materials
- c) Labels, advertising prints and trade show displays
- d) Lists of convertors, distributors and customers

9. Training

Any agreement covering training of local personnel for limited or extended periods. Employment agreements covering employment of foreign personnel would also be included under this code.

PRODUCT CODE

CONTRACT

CURRENCY
CODE

CONTRACT
DATE

CONTRACT DURATION
COLLABORATION TYPE

5 4 1 3
PRODUCT CODE 1

PRODUCT CODE 2

Enter up to six digit alphanumeric Product Code(s) that best describe the primary product(s) of the contract. Do not enter the decimal point as it is already preprinted on the form.

If the contract involves production of more than two products, code the primary and secondary products here and any others in the comment section (a full explanation for how to code such a case may be found in the comment section instructions).

EXAMPLE: The code 541.3 represents the Product Code for "Penicillin, Streptomycin, Tyrocidine and other antibiotics".

CODES: Please refer to the SITC Product Codes sent to you previously.

EXCHANGE RATE

CONTRACT			
0.045			
EXCHANGE RATE	CURRENCY MULTIPLIER	PRODUCTION MULTIPLIER	PRODUCTION UNITS

For the purpose of the TIES system the US dollar has been selected as the currency of comparison.

Enter the Exchange Rate to be used to convert contract currency to US dollars. The Exchange Rate should be that rate prevailing at the time the contract came into effect. The Exchange Rate should be such that the contract currency can be multiplied by it to obtain the dollar amount. The Exchange Rate is 5 characters long, one of the characters must always be a decimal point.

If no monetary data is supplied this field may be left blank.

If the contract currency is US dollars 1.000 must be entered as the exchange rate.

EXAMPLE: The Exchange Rate 0.045 for Mexican Pesos indicates that the contract currency should be multiplied by .045 to obtain US dollars (contract currency x .045 = contract currency divided by 22).

In general the Exchange Rate should be entered to three decimal places as in the above example. When this is not possible the rate should be entered to two decimal places.

EXAMPLE: 16.24

PRODUCTION UNITS

CONTRACT

EXCHANGE RATE

CURRENCY MULTIPLIER

PRODUCTION MULTIPLIER

8
PRODUCTION UNITS

Enter the code for units used in production fields. If you are not supplying production data this field should be left blank. If you code "other" (code 9) specify Production Units in the comment section.

EXAMPLE: The 8 code indicates that the units of production are barrels.

<u>CODE</u>	<u>DESCRIPTION</u>
1	Meters
2	Metric Tons
3	Kilos
4	Pounds
5	Cubic Meters
6	Liters
7	Gallons
8	Barrels
9	Other

ROYALTY TYPE

TERMS

2 ROYALTY TYPE	ROYALTY %A	ROYALTY %B	ROYALTY B LEVEL	LUMP SUM PAYMENT	MINIMUM ROYALTY FEE
----------------------	---------------	---------------	--------------------	---------------------	------------------------

Enter the code which best describes the royalty arrangement.

CODE 1 If no royalty is to be paid.

CODE 2 If royalty is a fixed percentage that does not change with production volume. E.g. 2.5% of yearly sales for life of contract.

CODE 3 If royalty percentage changes with production volume.
E.g. 2.5% up to 10,000 tons
2.0% 10,000 to 20,000 tons
1.5% over 20,000 tons

EXAMPLE: Code 2 indicates that a fixed royalty percentage is paid under this contract.

<u>CODE</u>	<u>DESCRIPTION</u>
1	No Royalty Paid
2	Fixed Royalty Rate
3	Variable Royalty Rate

ROYALTY % A AND ROYALTY % B

TERMS

ROYALTY TYPE	ROYALTY %A	ROYALTY %B	ROYALTY B LEVEL	LUMP SUM PAYMENT	MINIMUM ROYALTY FEE
	2.5	1.5			

Enter the royalty percent to one decimal place. There is no need to enter the decimal point as it is already shown on the form. Do not enter leading zeros.

E.g. 2.5% would be entered as 2.5
10.1% would be entered as 10.1
.5% would be entered as .5

If Royalty type is 1 Royalty % A and Royalty % B should be left blank.

If Royalty type is 2 Royalty % A would be filled in and Royalty % B would be left blank.

If Royalty type is 3 Royalty % A would contain the first royalty rate in the series, Royalty % B would contain the last royalty rate in the series regardless of the number in the series.

If Royalty is 2.5% up to 10,000 tons
and 2.0% 10,000 - 20,000 tons
and 1.5% over 20,000 tons

2.5 (2.5%) would be entered in Royalty % A
1.5 (1.5%) would be entered in Royalty % B

NOTE: For our purposes the Royalty % is assumed to be based on net sales. If for any reason you must report royalty on any other base please indicate the base in the comment section of the form.

EXAMPLE: The Royalty Type is 3 indicating a variable royalty rate - 2.5% is the initial royalty and 1.5% the last royalty in the series.

ROYALTY B LEVEL

TERMS

ROYALTY TYPE

ROYALTY %A

ROYALTY %B

0,0,0,2,0
ROYALTY B LEVEL

LUMP SUM PAYMENT

MINIMUM ROYALTY FEE

Enter the level of production for the final royalty rate in the series (Royalty % B) rounded as specified by the Production Multiplier. This field will only be completed if the Royalty Type is 3.

EXAMPLE: 2.5% up to 10,000 tons
2.0% 10,000 - 20,000 tons
1.5% over 20,000 tons

20,000 would be entered in this field. If the Production Multiplier is 1000 exact value coded would be 00020.

LUMP SUM PAYMENT

TERMS

ROYALTY
TYPE

ROYALTY
%A

ROYALTY
%B

ROYALTY B
LEVEL

0 0 0 2 0
LUMP SUM
PAYMENT

MINIMUM
ROYALTY FEE

Enter amount of Lump Sum Payment, in currency specified by Currency Code, rounded as indicated by the Currency Multiplier. If there is no Lump Sum Payment under this contract leave this field blank.

EXAMPLE: The Lump Sum Payment under this contract is US\$ 20,000.-
(assumes the Currency Multiplier is 1000 and the Currency Code USA)

MINIMUM ROYALTY FEE

TERMS

ROYALTY
TYPE

ROYALTY
%A

ROYALTY
%B

ROYALTY B
LEVEL

LUMP SUM
PAYMENT

0,0,0,1,0
MINIMUM
ROYALTY FEE

Enter amount of Minimum Royalty Fee in currency specified by Currency Code rounded as indicated by the Currency Multiplier. If this contract requires no Minimum Royalty Fee leave this field blank.

EXAMPLE: The Minimum Royalty Fee under this contract is US\$ 10,000.-
(assumes the Currency Multiplier is 1000 and the Currency Code USA).

ANNUAL PRODUCTION VOLUME

PRODUCTION

ANNUAL SALES

0 0 6 0 0
ANNUAL
PRODUCTION VOLUME

ANNUAL
PRODUCTION CAPACITY

Enter Annual Production Volume of the recipient company in the units specified by the Production Units code rounding as indicated by the Production Multiplier.

Annual Production Volume is defined as the average estimated production volume over the life of the contract.

EXAMPLE: 00600 indicates production volume of 600,000 units assuming the Production Multiplier is 1000.

ANNUAL PRODUCTION CAPACITY

PRODUCTION

ANNUAL SALES

ANNUAL

PRODUCTION VOLUME

0.0.7.0.0
ANNUAL
PRODUCTION CAPACITY

Enter Annual Production Capacity of the recipient company in units specified by Production Units code rounded as indicated by the Production Multiplier.

EXAMPLE: 00700 indicates an Annual Production Capacity of 700,000 units assuming the Production Multiplier is 1000.

VI. RECIPIENT SECTION

This section contains information about the recipient company, and should be as fully completed as possible. The recipient company is assumed to be in the country indicated in the contract section by the "Country Code".

Code one letter or number per space; leave spaces where they occur in the name; abbreviate where necessary to limit to the available number of spaces (30 for name; 20 for each line of the address).

RECIPIENT COMPANY NAME AND ADDRESS

RECIPIENT COMPANY

I N D U S T R I A S
RECIPIENT NAME LINE 1

D I V E R S A S
RECIPIENT NAME LINE 2

A V . D E L O S T O R R E S 6
ADDRESS LINE 1

C I U D A D , P R O V I N C I A
ADDRESS LINE 2

Recipient Company Name

30 Characters

Enter the name of the local company that is the recipient of the technology.

EXAMPLE: INDUSTRIAS DIVERSAS is the recipient company

Recipient Company Address Line 1

20 Characters

Enter the first line of the address of the recipient company. This would normally be the street address.

EXAMPLE: AV. DE LOS TORRES 6 is the first line of the recipient company address.

Recipient Company Address Line 2

20 Characters

Enter the second line of the address of the recipient company. This would normally be the City and State or Province. Do not enter the country name or abbreviation.

EXAMPLE: CIUDAD, PROVINCIA is the second line of the recipient company address.

VII. SUPPLIER SECTION

This section contains the name and address of the supplier. If the supplier company code was completed this section is optional.

Code one letter or number per space; leave spaces where they occur in the name; abbreviate where necessary to limit to the available number of spaces (30 for name; 20 for each line of the address).

SUPPLIER NAME AND ADDRESS

SUPPLIER COMPANY

SUPPLIER NAME LINE 1

SUPPLIER NAME LINE 2

ADDRESS LINE 1

ADDRESS LINE 2

Supplier Name

30 Characters

Enter the name of the company supplying the technology.

Supplier Address Line 1

20 Characters

Enter the first line of the address of the supplier. This would normally be the street address.

Supplier Address Line 2

20 Characters

Enter the second line of the address of the supplier. This would normally be the City and State or Province. Do not enter the country name or abbreviation in this field.

STANDARD FORM COMMENTS

For certain types of information that may be fairly common we suggest the following abbreviated forms of coding.

Level of Foreign Holding

To detail foreign holdings

FH: XYZNN, XYZNN

where FH: stands for Foreign Holdings

XYZ: country code

NN: percent holdings

EXAMPLE: FH:USA10,SWI20

would indicate 10% of company held by a USA firm and 20% by a Swiss (SWI) firm.

Currency Code

To indicate contract payments in a currency other than the one specified in the contract section CU:XYZNN

where CU: stands for currency

XYZ: stands for country code of second type of currency

NN: percent of total payments in this second currency

EXAMPLE: CU:MEX10

would indicate 10% of total contract payments made in Mexican Pesos (it is assumed that the other 90% are made in the currency specified in the Currency Code in the contract section).

COLLABORATION TYPE

To indicate more than three Collaboration Types on a single contract

COLL:N,O,P

where COLL: stands for Collaboration Type

N,O,P: other Collaboration Type codes not specified in the contract section

EXAMPLE: COLL:2,5

would indicate know-how and technical assistance collaboration under this contract in addition to the other Collaboration Types coded in the contract section

Product Code

To indicate more than two products under this contract

PR:XXX.XXX, XXX.XXX

where PR: stands for product

XXX.XXX: Product Code

EXAMPLE: PR:626.31A

OTHER COMMENTS

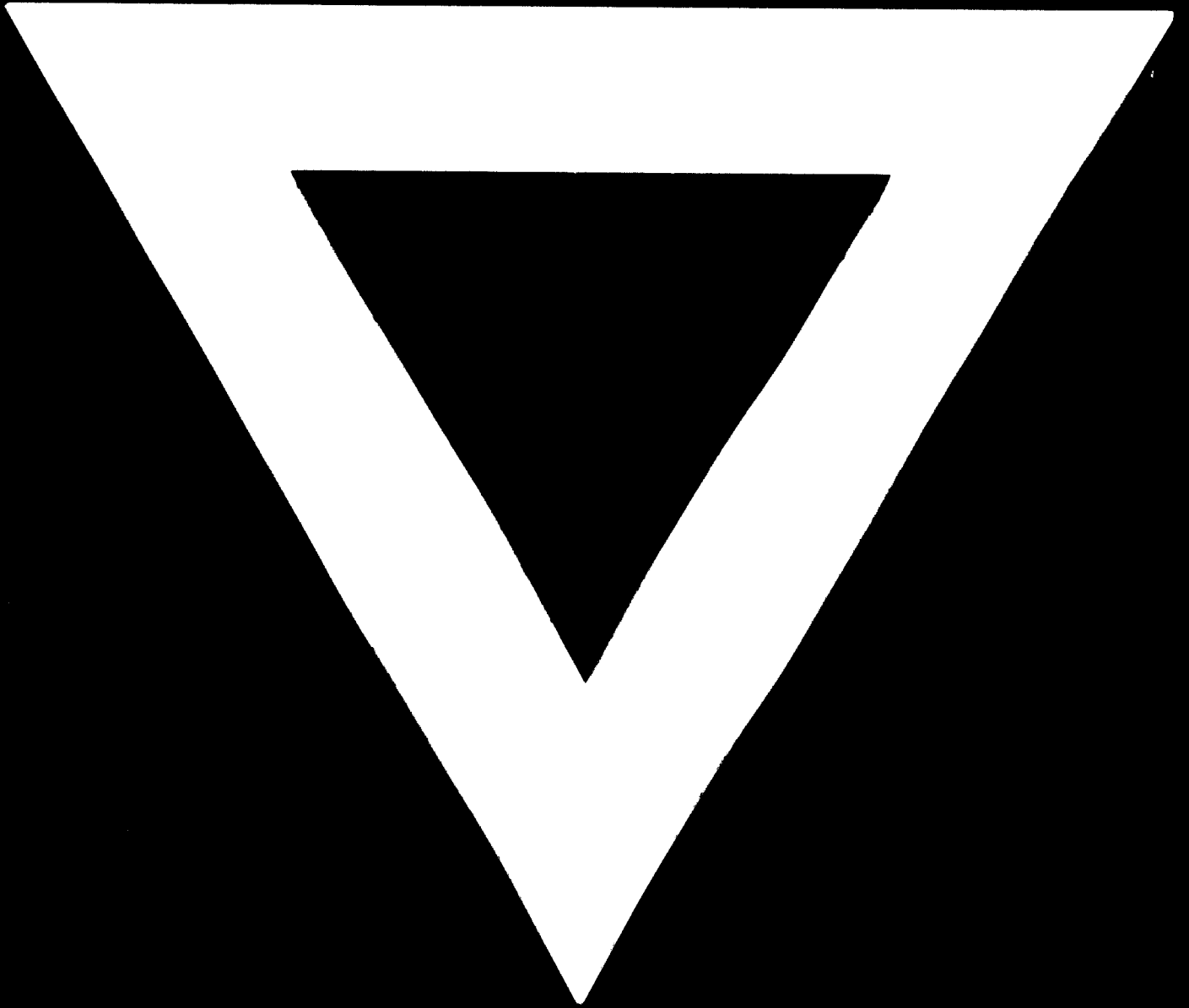
Textual and other comments should be coded whenever possible in English. Enter one letter, number or other character per space; leave one space between words, if necessary abbreviate clearly.

NOTE: It would be helpful to detail any restrictive clauses in the contract in this section.

EXAMPLES: EXTENSION OF PREVIOUS CONTRACT
LIMITED EXPORT RIGHTS
ROYALTY PAID ON CONSTRUCTION PHASE ONLY
FULL GRANT BACK RIGHTS REQUIRED
EXCESSIVE CONFIDENTIALITY PERIOD
LIMITATIONS TO SUBLICENCE



B - 80



80.02.04