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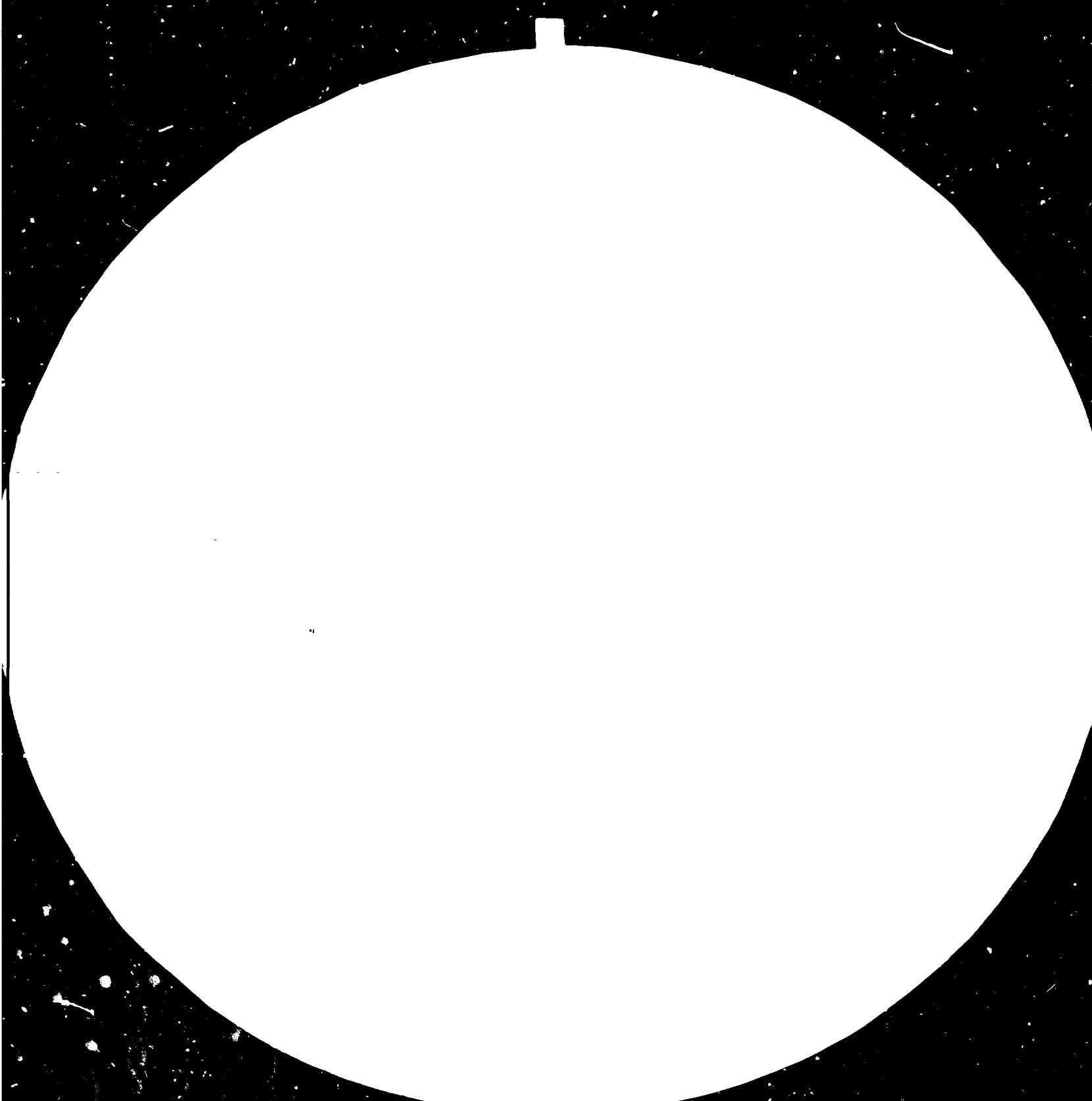
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UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

Expert Group Meeting on Registry
Information Systems

9 - 11 May 1984, Vienna, Austria

REPORT * (Meeting on
Registry Information Systems).

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CONTENTS

INTRODUCTION

1. The Expert Group Meeting on Technology Transfer Registry Information
Systems was held in Vienna, Austria from 9-11 May 1984. The purpose of
the meeting was:

- to review the issues and problems of the establishmer.t,
  strengthening and expansion of registry information systems
  within the context of the harmonization of such systems to
  facilitate information exchange;

- to identify constraints and potentials of the computerization
  of registry information systems and to prepare a framework
  for action to ensure that the computerization at the national
  level will facilitate and not inhibit the information exchange;

- to review the concept of TIES and to recommend a framework
  for action which will result in greater flexibility and
  simplification as well as allow for a participation of more
  countries;

- to review the information facilities at UNIDO headquarters
  and to recommend any modification which may allow for a more
  flexible utilization of the TIES system.

RECOMMENDATIONS

2. The meeting recommended that all national information systems on
technology transfer contracts, either manual or computer based, should
regard a contract card as principal input. The contract card should contain
information elements related to the evaluation, approval and monitoring and
should be partly standardized to facilitate regional and interregional infor-
mation exchange and linkage with national information systems.

3. A demonstration of an information system should be prepared as soon as possible (either manual or computerized), based on an example contract card as input and should give the contract card, product file, company file, TIES I, IIB, and output related to registry performance and monitoring, as minimum output and preferably be demonstrated at the Ninth Meeting of Heads of Technology Transfer Registries.

4. The present TIES system should be expanded to include one more level of participation at the TIES II level to allow for information exchange at the "address label" level (company names, countries, object contract, industry code, product code).

5. The TIES information processing should be simplified without changing the scope of the information exchange. In particular, one coding form is recommended (for TIES license and service agreements) and the information fields should be more descriptive. It is therefore recommended that UNIDO investigate the various software and hardware options available for such an increased flexibility.

6. The meeting recommended that all participating registries in TIES designate at least one person to be in charge of the information and documentation unit and that UNIDO assist the TIES members in the preparation of terms of reference for such unit taking into consideration the different functions of the TIES member registries.

7. A manual of registry information systems should be prepared as a standard reference book.

ORGANIZATION OF THE MEETING

8. The expert group meeting was attended by four experts who contributed a critical written review on the preliminary paper prepared by the UNIDO secretariat on the issues, problems and programme of action on the establishment of compatible computerized information systems. A list of participants (Annex I) and the list of documents (Annex II) are annexed to the report.

The meeting adopted the following agenda:

(a) opening;

(b) review of issues, problems and programme of action for the
establishment and strengthening of registry information
systems;

(c) review of issues, problems and programme of action
for the computerization of registry information systems;

(d) national and international compatibility for national,
regional and interregional linkage with information
systems such as TIES, SAIT, RITLA, etc.;

(e) review of TIES information processing at UNIDO
headquarters;

(f) adoption of the report.

SUMMARY OF DISCUSSIONS

National registry information systems

9.   The participants reviewed the existing registry information systems,
in particular that of Nigeria as an example of information systems of newly
established registries; of Venezuela, Philippines and Portugal as examples
of information systems of well established registries and that of Poland as
an example of an information system for statistical/monitoring purpose only. It is
agreed that from the point of view of the effective functioning of a registry
information system, the contract card is without doubt the most essential
document.

10.   The contract cards of these five countries were reviewed
and a listing of all information elements covered by these cards was
prepared (Annex III). A minimum set of common information relates to the principal
function of a registry namely the evaluation and registration of contracts.
The more extended information systems (e.g. Philippines, Poland) included
information elements related to the monitoring of the technology transfer
agreements.

11. The participants agreed that for newly established registries or for newly established information systems in existing registries a step-by-step implementation was advisable. This would involve first the implementation of a RIS for evaluation purposes and when the first phase has been completed successfully, a second phase which would include the monitoring function, could be implemented. The participants agreed that it would be useful to prepare a reference registries information system as a demonstration.

12. A preliminary model card was prepared for this purpose (Annex IV). It was also agreed that as a demonstration output of the system, the TIES reports, the contract card, the product card, regulatory effects, (foreign exchange savings, etc.) would be considered. The participants agreed that for the proper functioning of the registry information system, the establishment of an information unit is essential. This unit should be responsible for the collecting, processing, storage and dissemination of information. Such a unit could also be in charge of preparing background studies on the basis of the information available to the registry. The composition of such an ID unit will of course depend on the particulars of each registry but UNIDO could give some guidance as to the qualifications of the ID unit personnel and the terms of reference of such a unit.

Computerization of registry information systems

13. The participants reviewed the progress made with the computerization of the registry information system of Venezuela. A short description of the system is annexed to the report. Although the system is operational, it was not regarded as a model system for a computerized information system because of its limitations with respect to the output formats. It was recommended that the UNIDO Secretariat advises the Venezuelan Government on the expansion of the system in order to more effectively utilize the possibilities of computerized information systems.

14. Since there was no prior knowledge of other operational computerized registry information system, it was suggested that UNIDO develop a demonstration system to serve as a basis for the establishment of compucerized registry information systems at the national level. As an input basis it was suggested that the demonstration model card be utilized. The Polish expert offered to prepare such a demonstration system which could then be presented at the TIES meeting in Beijing, provided that a personal computer with a suitable software were available.

National and international compatibility of registry information systems

15. The participants reviewed the classification procedures of Spain, Portugal, Venezuela, Nigeria, Philippines, Ethiopia and Poland. With respect to compatibility with TIES, it was observed that except for Spain, the ISIC industrial classification was utilized and that all countries had introduced the SITC classification for product identification. It was also observed that not all countries utilized the same classification for the identification of the contract type. With respect to linkage with national information systems, it was observed from the Polish contract card that a linkage with such a system was introduced through the introduction of a national company code and a branch ministry code.

16. The participants concluded that the diversification of the functions of the registries participating in TIES, as reflected in the diverse information sets contained in the reviewed contract cards, requires the introduction of a new level of participation in TIES.

17. The TIES information processing at UNIDO headquarters was reviewed and concern was expressed that the present TIES coding form is too complicated and that two coding forms (one for service agreements and one for license agreements) may lead to confusion. A change in the TIES coding form was suggested making its completion easier. This would however require a change in the computer programme presently being used. A substantive discussion with the UNIDO Computer Services Section revealed that budgetary constraints inhibit any substantial changes in TIES. A decision on the acquisition of a micro-computer will result in substantial operational savings and would therefore make substantial changes in TIES possible.

18. The changes recommended above would result in a new coding form (Annex V) and the following rules:

(a) All TIES participants should participate at the TIES I level which would require that the contract card of all TIES participants includes the following information elements: ISIC industry code (four digits), duration, type of payment, level of foreign holding, level of royalty (net sales only), expected payments over duration contract, yearly payments, collaboration type, supplier country. (The TIES I tables will then be elaborated on a manual or computerized basis).

(b) All TIES participants should participate at the TIES II level (basic address label) with the following information elements on the contract card: ISIC industry code, SITC product code, supplier name, country recipient name, recipient country (coded) object of agreement (descriptive and including annual production volume, annual production capacity and annual sales), ID key and contract date.

(c) TIES participants participating at the TIES II B level (former TIES II A), should introduce the following additional information elements in their contract card: foreign holding, recipient type, contract duration, collaboration type, comments (production, industry, process, other).

(d) TIES participants participating at TIES II C level (former TIES II B), should introduce the following additional information elements: currencies of payments, exchange rates (to US$), type of payment, royalty type, royalty level, lump sum, fee type, fees, minimum royalty.

(e) All TIES/SAIT participants should introduce the following information elements in their contract card: all TIES I, II A, II B and II C information elements and in addition, for SAIT purpose only country of origin of foreign investment, relationship between licensor and licensee, principal economic activity (descriptive), contract type, other related contracts.

LIST OF PARTICIPANTS

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Mr. K. Fialkowski, Industrial Development Officer

ANNEX II

LIST OF DOCUMENTS

CRP-1 :   A Unified Apporach to the National Technology
                 Transfer Registry Information System –
                 Z. Bogdanowicz

CRP-2 :   Establishment of Compatible Computerized Information
                 Systems – Issues, Problems and the Programme of Action –
                 UNIDO Secretariat

ID/WG.383/2:   Some Considerations on Registry Information Systems

UNIDO/IS.400:   Prospects of Technology Transfer Registry Computerization

UNIDO

TIES CODING FORM

I   IDENTIFICATION

⌊_____⌋
ID KEY

⌊____⌋
RECIPIENT COUNTRY CODE

II   RECIPIENT

⌊___⌋ ⌊_____⌋ ⌊_____⌋
COUNTRY CODE   **INDUSTRIAL CODE**   **FOREIGN HOLDING**

RECIPIENT TYPE
☐ STATE OR GOVERNMENT   ☐ PRIVATE   ☐ MIXED

⌊_____⌋
RECIPIENT NAME

⌊_____⌋
ADDRESS LINE 1

⌊_____⌋
ADDRESS LINE 2

III   SUPPLIER

⌊_____⌋
SUPPLIER NAME

⌊_____⌋
ADDRESS LINE 1

⌊_____⌋
ADDRESS LINE 2

⌊_____⌋ ⌊____⌋
UNCTC–SUPPLIER COMPANY CODE   **SUPPLIER COUNTRY CODE**

IV   CONTRACT (general)

OBJECT _____

_____

_____

⌊_____⌋ ⌊_____⌋ ⌊_____⌋
COUNTRY CODE   **PRODUCT CODE 1**   **PRODUCT CODE 2**

Contract class

☐ LICENCE   ☐ TA   ☐ MANAGEMENT   ☐ SOFTWARE   ☐ JOINT VENTURE   ☐ TURN KEY   ☐ OTHER

COMMENTS

⌊_____⌋
PRODUCT

⌊_____⌋
INDUSTRY

⌊_____⌋
PROCESS

⌊_____⌋
OTHERS

⌊_____⌋
OTHERS

	CONTRACT DATE	CONTRACT DURATION

COLLABORATION TYPE

☐ LEASING FRANCHISING   ☐ KNOW-HOW   ☐ TRADE MARK   ☐ PATENT   ☐ BASIC ENGINEERING

☐ DETAILED ENGINEERING   ☐ MANAGEMENT OF CONSTRUCTION SET-UP   ☐ START-UP SUPERVISION   ☐ PRODUCTION SUPERVISION   ☐ EQUIPMENT REPAIR AND MAINTENANCE

☐ PREINVESTMENT CONSULTING   ☐ TURN KEY   ☐ CONSTRUCTION OR SET-UP   ☐ ADMINISTRATIVE SUPERVISION   ☐ MAR ETING

☐ TRAINING   ☐ OTHERS   ☐   ☐   ☐

V   CONTRACT TERMS

☐ **ROYALTY**

ROYALTY % A (Net sales)	ROYALTY % B (Net sales)	ROYALTY B LEVEL	ROYALTY (Others)	DESCRIPTION ROYALTY BASE (If not net sale)

COMMENTS _____

_____

☐ **LUMP SUM**

LUMP SUM PAYMENT	EXCHANGE RATE

COMMENTS _____

_____

☐ **REIMBURSABLE FEES**

	MONTH	DAY	HOUR	EXCHANGE RATE	FEE
☐ PROJECT MANAGER	☐	☐	☐		
☐ SENIOR PROFESSIONAL	☐	☐	☐		
☐ PROFESSIONAL	☐	☐	☐		
☐ JUNIOR PROFESSIONAL	☐	☐	☐		
☐ SENIOR TECHNICAL	☐	☐	☐		
☐ TECHNICAN	☐	☐	☐		

COMMENTS _____

_____

PERSONNEL EXPENSES COVERED BY RECIPIENT

☐ TRAVEL   ☐ ACCOMMODATION   ☐ PAID LEAVE   ☐ FAMILY TRAVEL/ EXPENSES   ☐ INSURANCE

PERFORMANCE GUARANTEES	PERFORMANCE PENALTIES	DESCRIPTION OF PENALTY
☐ VOLUME	☐ VOLUME	_____
☐ QUALITY	☐ QUALITY	_____
☐ YIELD	☐ YIELD	_____
☐ ECONOMY	☐ ECONOMY	_____
	☐ TIME	_____

☐ PRICE ADJUSTMENT FORMULA _____

ANNEX IV

Comparative analysis table of the information content in fields
of contract cards in different TIES - member countries

Country Field name	POLAND	NIGERIA	PHILIPPINES	VENEZUELA	PORTUGAL	MODEL	REMARKS
1	2	3	4	5	6	7	8
1. File No.	x	x	x	x	x	x	Processo
2. Registry No.	x		x	x	x	x	
3. ID Key	x	x				x	
RECIPIENT 4. FTO name	x						
5. FTO code	x						
6. Company name	x	x	x	x	x	x	
7. Company adress	x	x	?	?	?	x	? Not separalety indicated
8. Principal economic activity	x					x	
9. Industrial code /ISIC/	x					x	
10. National company code	x			x	x	x	

1	2	3	4	5	6	7	8
11. Branch ministry code	x					x	
12. Country code /TIES/	x					x	
13. Recipient type	x	x	x	x	x	x	
14. Foreign holding	x	x	x	x	x	x	
SUPPLIER							
15. Company name	x	x	x	x	x	x	
16. Company adress	x	x	?	?	?	x	? Not separataly indicated
17. Company code /UN CTC/	x					x	
18. Principal economic activity	x			x			
19. Industrial code /ISIC/	x						
20. National company code	x			x		x	
21. Country code /TIES/	x	0	0	x	0	x	0 Country name
22. Parent company name	x						
23. Parent company code /UN CTC/	x						

1	2	3	4	5	6	7	8
CONTRACT							
24. Title of contract	x	x					
25. Object of contract /description/	x	x	x	x	x	x	
26. Industrial code /ISIC/	x	x	x	x	x	x	
27. Product code /s/ /SITC/	x	x	x	x	x	x	
28. Contract type	x	x	x	x	x	x	
29. Purpose of contract	x						
30. Contract date	x	x	x	x		x	
31. Expiry date	x	x				x	
32. Collaboration type	x	x	x°	x°	x°	x	● Elementos technologicos
33. Contract currency	x			x		x	
34. Exchange rate to $ US	x					x	
35. Exchange rate to local currency	x			x			

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1	2	3	4	5	6	7	8
36. Currency multiplier	x						
37. Payment type	x	x	x	x	x°	x	°Contraprestaçao
38. Payment form	x						
39. Royolty basis	x	x	x	x	x°	x	°Incidencia
40. Royalty % A	x	x		x	x°		
41. Royalty % B	x	x		x	x°		°% S/Vendas Liquidas
42. Royalty B Level	x			x			
43. Lump sum payment	x	x		x		x	
44. Minimum royalty fex	x	x	0	x		+	0 Yes/No // + Probably covered by "others royalty"
45. Character of licence	x		x	x°	x		o Production + use + sale
CONTRACT EVALUATION							
46. Total contract value /con.cur./	x		0	x	?	x	0? Not indicated
47. Total contract value /loc.cur./	x	x	0		?		0? Not indicated
48. Contract value dezagregation	x	x		x	x	x	

1	2	3	4	5	6	7	8
49. Export restrictions	x	x	x	x	x	x	
50. Right to sublicence	x			x	x	x	
51. Fixing sales prices by supplier	x	x	x	x	x	x	
52. Tie-in clauses	x	x	x	x	x℮	x	℮ Condicionamento ao aprovisionamento
53. Restr.on volume structure ouput	x	x	x	x	x	x	
54. Excessive quality controls	x	x		x	x°	x	°Controlo de qualidade
55. Obligatory empl.of foreign person.	x	x		x	x°	x	°Adm.pessoal
56. Obligation to transfer improv.to supplier	x	x	x		x°	x	°Cessao de innovaçoes
57. Oblig.to transfer improv.to receiver	x		x	x	x°	x	° _ " _
58. Banon alternative technologies	x		x	x	x°	x	°Condicionamento technologico
59. Right to use technology in other local firms	x				x°	x	° _ " _

1	2	3	4	5	6	7	8
60. Fee for technical elements not utilized	x	x	x	x		x	
61. Restr.on reciprent's R+D	x	x	x	x		x	
62. Post-contractual restr.	x		x	x	x	x	
63. Foreign courts' competence	x	x	x	x	x	x	
64. Other restriction /specify/	x		x			x	
65. Performance guarantees	x		x	x	x	x	
65.1. Volume	x		x	x	x^o	x	^{o}Produção
65.2. Quality	x		x	x	x	x	
65.3. Yield	x		x	x		x	
65.4. Economy	x			x		x	
65.5. Time	x						
65.6. Others /specify/	x		x		x		
66. Performance penalties	x			x		x	
66.1. Volume	x			x		x	

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1	2	3	4	5	6	7	8
66.2. Quality	x			x		x	
66.3. Yield	x			x		x	
66.4. Economy	x			x		x	
66.5. Time	x					x	
66.6. Others /specify/	x						
PROJECT DATA							
67. Production multiplier	x			x			
68. Pruction units	x			x			
69. Annual production volume	x	0	x	x		x	0 With regard to overall recipient's activities
70. Annual production capacity	x	0	x	x			0 As above
71. Annual sales /value/	x	0	x	x		x	0 – " –
72. Licence prod.share in total output	x					x	
73. Profit before tax	x		0			x	0 Net profits
74. Additional employment generated	x		x			x	

1	2	3	4	5	6	7	8
75. Licensing exports	x		x			x	
76. LE share in total exports	x					x	
77. Additional imports generated	x		x			x	
77.1. Raw materials	x					x	
77.2. Components and parts	x					x	
77.3. Machinery and equipment	x					x	
78. Imports' share in total cost of licence production	x					x	
79. Post licence product /proces dev.	x					x	
80. Other effects associated with contract	x		x°				° Detailed items
81. Comments	x	x		x	x°		° Observações
81.1. Product	x						
81.2. Industry	x						
81,3. Process	x						
81.4. Contract	x						

1	2	3	4	5	6	7	8
81.5. Terms	x						
81.6. Others	x	x°					° Method of calculation
82. Registration date		x°			x	x	° Year of registration
83. % of supplier equity holding in the recipient		x	x	x	x	x	
84. Recipient's annual sales		x				x	
85. Actual employment		x				x	
86. Annual production volume		x					
87. Max.production capacity		x					
88. Contract duration		x	x	x	x		
89. TIES Form /Yes,No/		x					
90. Monitoring /Yes,No/		x					
91. Provisions permitting excessive controls of recipiert's operations		x	x		x		
92. Non-competition clauses		x	x		x		
93. Exclusive sales arrangements		x	x	x	x	x	

1	2	3	4	5	6	7	8
94. Requirements for supplier's consent on modifications		x			x		
95. Obligations to introduce un-necessary design modifications		x					
96. Oblig.acquisition of addit.technologies and/or services from supplier		x			x		
97. Fixed royalty /%/		x					
98. Reimbursable fees		x					
99. Savings from Registry intervention		x					
100. Evaluation officer		x				x	
101. Contract class			x	x		x	
102. Variation formula			x	x	x		
103. Tax liability			x		x		
104. Minimum royalty reduction			x	x	x		
105. Confidentiality restrictions			x	x	x^o		^{o}Imposição segredo

1	2	3	4	5	6	7	8
106. Rextrictions on tech.managem.			x	x			
107. Restr.on finance, invest. empl.			x		x		
108. Guarantees and warrantees			x				
108.1. Suitability for use			x				
108.2. Training			x			x	
108.3. Liability			x				
108.4. Engineering/ equipment			x		x		
109. Renewal			x	x	x		
110. Technical fee reduction			x				
111. Foreign exchange savings-/a/ red.of royal			x				
/b/ Import substi- tution			x				
112. Tax payments			x				
113. Net foreign echan- ge earrings			x			x	

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1	2	3	4	5	6	7	8
114. Local value added			x				
115. Recipient qualification /national foreign,mixted/				x	x°		° In %
116. Establishment date of recipient				x			
117. Afilation to the supplier /type/				x			
118. Total capital /recipient/				x			
119. Supplier TIES code				x			
120. Contract association to other form				x			
121. Object of contract national code				x	x	x	
122. Contract class TIES code				x			
123. Collaboration type TIES code				x			
124. Territory				x			
125. Salary /all TIES classes/ - average, total				x		x	

1	2	3	4	5	6	7	8
126. Travel				x		x	
127. Accomodation				x		x	
128. Paid leave				x		x	
129. Family expenses				x		x	
130. Insurance				x		x	
131. Other				x		x	
132. Capacity utilization /%/				x			
133. Payments as % of total investment				x			
134. Obligation to pay royalties for sale-purchase contracts				x			
135. Obligation to pay supplier's taxes				x			
136. Restrictions on rec. ind.property rights				x	x		
137. Restrictions ref.to contract rescision				x	x		
138. Obligatory clauses				x			

1	2	3	4	5	6	7	8
139. Recommended clauses				x			
140. Application date					x		
141. Country/ies/ of foreign holding in.rec.					x		
142. Taxa ale juro					x		
143. Guarantees 143.1. Process					x		
143.2. Production					x		
143.3. Timely transm.of information					x		
144. R D expenditure as % of recipient's sales						x	
145. Recipient's UN CTC code						x	
146. Equity holding of parent company in recipient country						x	
147. Lump sum /install- ments/						x	
148. Personnel type						x	

1	2	3	4	5	6	7	8
149. LSEP						x	
150. R D expenditure related to object by licensee						x	
151. Number of persons trained						x	
152. Total payments each year of control duration						x	
153. Medical expenses						x	

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CONTRACT CARD

MODEL REGISTRY INFORMATION SYSTEM

FILE NO
REGISTER NO
ID KEY

---

1. RECIPIENT

1.1. |___|___| COUNTRY CODE

1.2. COMPANY NAME

1.3. COMPANY ADDRESS

1.4. DESCRIPTION OF PRINCIPAL ECONOMICAL ACTIVITY

1.5. |___|___| NATIONAL INDUSTRIAL CODE

1.6. |___|___| INDUSTRIAL CODE /ISIC/

1.7. |___|___|___| NATIONAL COMPANY CODE

1.8. |___|___|___| UN CTC COMPANY CODE

1.9. TYPE OF COMPANY ☐ STATE OR GOVERNMENT ☐ PRIVATE ☐ MIXED

1.10. |___|___| % LEVEL OF FOREIGN HOLDING

1.11. |___|___| % EQUITY HOLDING BY SUPPLIER COMPANY

1.12. |___|___| * NUMBER OF EMPLOYEES

1.13. |___|___|___|___| * TOTAL SALES

1.14. |___|___| % * R+D OF TOTAL SALES

* AT APPLICATION YEAR

2. SUPPLIER

2.1. |___|___| COUNTRY CODE

2.2. COMPANY NAME

2.3. COMPANY ADDRESS

2.4. |___|___| UN CTC COMPANY CODE

---

3. CONTRACT

3.1. TYPE ☐ NEW ☐ RENEVAL ☐ EXTENSION ☐ ANNEX/AMMENDMENT ☐ OTHER

3.2. CONTRACT CLASS ☐ LICENCE ☐ TA ☐ MANAGEMENT ☐ SOFTWARE ☐ JOINT VENTURE ☐ TURN KEY ☐ OTHER

3.3. OBJECT

3.4. PROCESS

3.5. |___|___| NATIONAL INDUSTRIAL CODE

3.6. |___|___| INDUSTRIAL CODE /ISIC/

3.7. |___|___| NATIONAL PRODUCT CODE 1

|___|___| NATIONAL PRODUCT CODE 2

3.8. |___|___|___|___| PRODUCT CODE 1 /SITC/

|___|___|___|___| PRODUCT CODE 2 /S.TC/

3.9. VALIDITY |___|___| YEAR MONTH STARTING DATE

|___|___| YEAR MONTH EXPIRING DATE

|___|___| YEAR MONTH APPROVAL DATE

3.10. COLLABORATION TYPE ☐ LEASING FRANCHISING ☐ KNOW-HOW ☐ TRADE MARK ☐ PATENT ☐ PREINVESTMENT CONSULTING

☐ TURN KEY ☐ CONSTRUCTION OR SET-UP ☐ BASIC ENGINEERING ☐ DETAILED ENGINEERING ☐ MANAGEMENT OF CONSTRUCTION SET-UP ☐ START-UP SUPERVISION

☐ PRODUCTION SUPERVISION ☐ EQUIPMENT REPAIR AND MAINTENANCE ☐ ADMINISTRATIVE SUPERVISION ☐ MARKETING ☐ TRAINING ☐ OTHERS

3.11. TERMS

3.11.1. ROYALTY ☐

ROYALTY % A /NET SALES/	ROYALTY % B /NET SALES/	ROYALTY B LEVEL	DESCRIPTION ROYALTY BASE OTHER THAN NET SALES

COMMENTS

3.11.2. LUMP SUM ☐

LUMP SUM PAYMENT	EXCHANGE RATE

COMMENTS

3.11.3. REIMBURSABLE FEES ☐   EXCHANGE RATE

☐ PROJECT MANAGER ☐ MONTH ☐ DAY ☐ HOUR FEE   ☐ JUNIOR PROFESSIONAL ☐ MONTH ☐ DAY ☐ HOUR FEE

☐ SENIOR PROFESSIONAL ☐ MONTH ☐ DAY ☐ HOUR FEE   ☐ SENIOR TECHNICIAN ☐ MONTH ☐ DAY ☐ HOUR FEE

☐ PROFESSIONAL ☐ MONTH ☐ DAY ☐ HOUR FEE   ☐ TECHNICIAN ☐ MONTH ☐ DAY ☐ HOUR FEE

COMMENTS

3.11.4. PERSONNEL EXPENSES COVERED BY RECIPIENT

☐ TRAVEL ☐ ACCOMMODATION ☐ PAID LEAVE ☐ FAMILY TRAVEL/ EXPENSES ☐ INSURANCE

4. PROJECT DATA

ALL FINANCIAL DATA IN **CURRENCY CODE** ⊔

		YEAR /1/		YEAR /2/		YEAR /3/		YEAR /4/		YEAR /5/	
		ESTIMATED	ACTUAL	ESTIMATED	ACTUAL	ESTIMATED	ACTUAL	ESTIMATED	ACTUAL	ESTIMATED	ACTUAL
4.1. PRODUCTION VOLUME	UNIT ⊔										
4.2. NET SALES											
4.3. EXPORTS											
4.4. IMPORTS											
4.5. R+D EXPENDITURES											
4.6. EMPLOYMENT											
4.7. PROFIT BEFORE TAX											
4.8. NO OF PERSONS TRAINED											
4.8.1. HOME											
4.8.2. ABROAD											
4.9. NO OF FOREIGN PERSONNEL											
4.10. YEARLY EXPECTED PAYMENTS											

5. CONTRACT EVALUATION

AS SUBMITTED AS APPROVED

	AS SUBMITTED	AS APPROVED
5.1. TOTAL EXPECTED TECHNOLOGY PAYMENTS*		
5.2. TOTAL EXPECTED IMPORTS*		
5.3. TOTAL EXPECTED EXPORTS*		
5.4. NET FOREIGN EXCHANGE BALANCE*		
5.5. LICENCOR SHARE IN EXPECTED PROFITS	⊔%	⊔%

5.6. PERFORMANCE GUARANTEES
5.6.1. VOLUME
5.6.2. QUALITY
5.6.3. YIELD
5.6.4. ECONOMY
5.7. TRAINING
5.7.1. TRAINING SCHEDULE
*OVER APPROVED PERIOD

AS SUBMITTED AS APPROVED

5.8. PERFORMANCE PENALTIES
5.8.1. VOLUME
5.8.2. QUALITY
5.8.3. YIELD
5.8.4. ECONOMY
5.8.5. TIME
5.9. RESTRICTIVE CLAUSES
5.9.1. NON EXCLUSIVE
5.9.2. EXPORT RESTRICTIONS
5.9.3. RIGHT TO SUBLICENCE
5.9.4. PRICE RESTRICTIONS
5.9.5. TIE-IN CLAUSES
5.9.6. BAN ON ALTERNATIVE TECHNOLOGIES

AS SUBMITTED AS APPROVED

5.9.7. EXCESSIVE QUALITY CONTROL
5.9.8. RESTRICTIONS ON RECIPIENT'S R+D
5.9.9. RIGHT TO USE TECHNOLOGY IN OTHER LOCAL COMPANIES
5.9.10. RESTRICTIONS ON VOLUME AND STRUCTURE OF OUTPUT
5.9.11. OBLIGATORY EMPLOYMENT OF FOREIGN EMPLOYMENT
5.9.12. POST CONTRACTUAL RESTRICTIONS
5.9.13. FOREIGN JURISDICTION
5.9.14. PROVISIONS ON PAYMENTS FOR UNEXPLOITED TECHNOLOGY
5.9.15. OBLIGATION TO TRANSFER IMPROVEMENTS TO SUPPLIER
5.9.16. OBLIGATION TO TRANSFER IMPROVEMENTS FROM SUPPLIER
5.9.17. EXCLUSIVE SALES ARRANGEMENTS

6. FINAL DECISION

☐ APPROVED ☐ CONDITIONALLY APPROVED ☐ REJECTED COMMENTS

7. MONITORING

COMMENTS

8. EVALUATION OFFICER

NAME _____
TITLE RANK _____ DEPT _____
DATE _____ SIGNATURE _____