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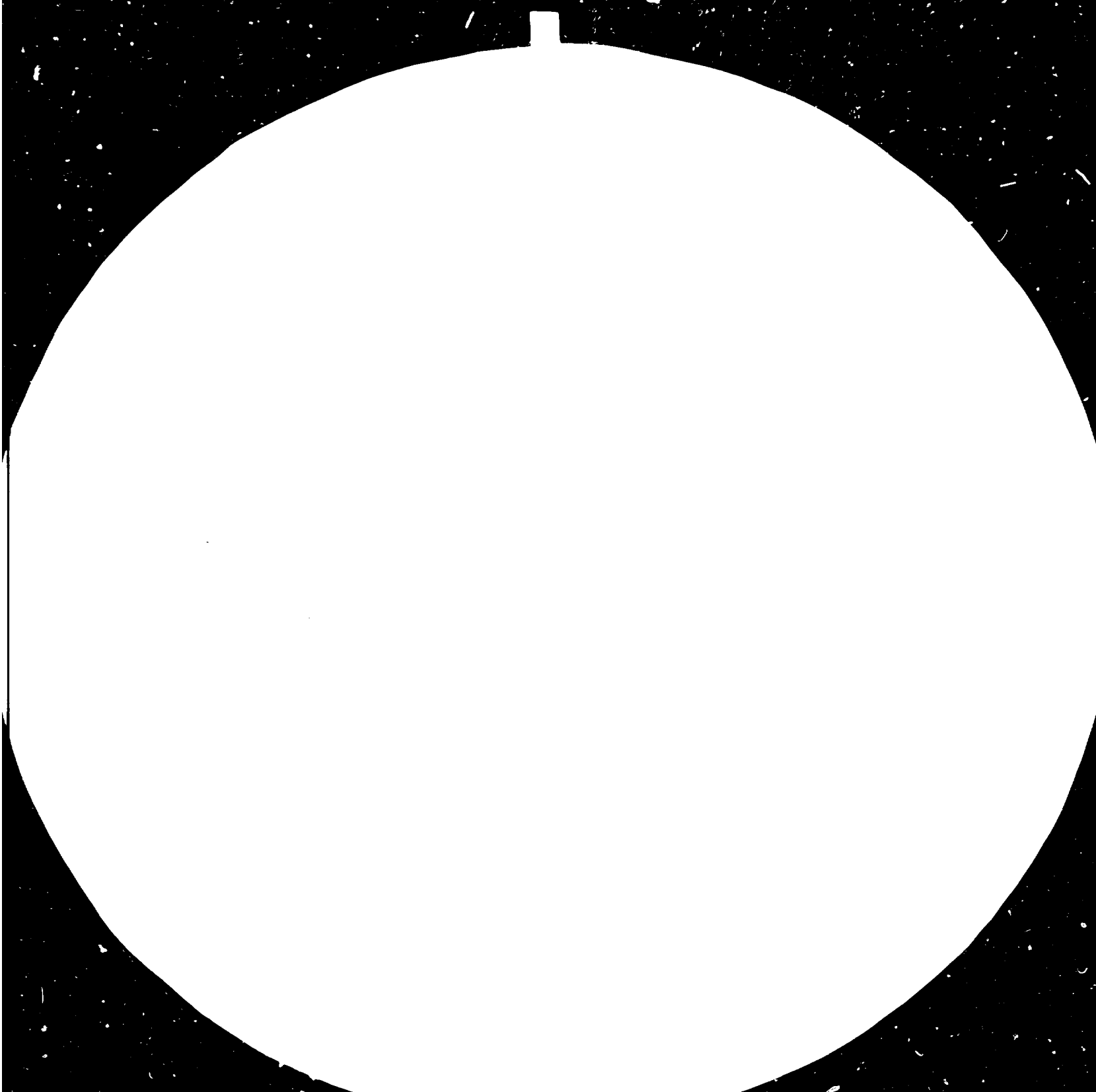
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PROGRESS REPORT *

(TIES)

Prepared by
the Secretariat of UNIDO

2792

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I. Introduction

This document will report on the progress made by TIES in the exchange of information since the last Meeting of Heads of Technology Transfer Registries in October 1983 in Caracas, Venezuela. The report will briefly describe the current status of TIES information exchange at the various levels (TIES I, IIA and IIB), TIES service, ad-hoc information exchange and will review the country profiles. It will then attempt to identify the major potential and constraints in expanding active participation in TIES, report on the progress made towards regionalization of TIES information exchange and concludes with some remarks on future activities for consideration of the Ninth Meeting of Heads of Technology Transfer Registries.

II. Current status of information exchange

(A) TIES I

TIES I information, covering aggregate data on such aspects as royalty rate, level of foreign holding, supplier country, etc. by industrial sector (ISIC four digit) has been exchanged over the period January - June and July - December 1983 by the following countries:

Country	January - June 1983 No. of contracts registered	July - December 1983 No. of contracts registered
Argentina	109	213
Colombia	28	-
Malaysia	66	-
Philippines	54	47
Portugal	91	84
Poland	-	3

A summary table has been prepared for the period January - June 1983 and distributed with the TIES I tables of Argentina, Colombia, Malaysia, Philippines and Portugal. Because of the late submission of Colombia and Malaysia for the period July - December 1983, the summary table of the corresponding period has not yet been distributed.

In addition to the above information, the five Andean countries have submitted through the Secretariat of the Andean Technological Information System (SAIT) TIES I information covering the period upto December 1981. This information has been circulated to the TIES members. The number of contracts registered are:

Country	Upto December 1981 No. of contracts registered
Bolivia	17
Colombia	216
Ecuador	89
Peru	417
Venezuela	966

It can be noted that at present nine countries are actively participating at the TIES I level, which with respect to the previous reporting period is a substantial improvement.

(B) TIES II

TIES II data, covering information from registered contracts, has been exchanged over the period January - June and July - December 1983 of the following countries:

TIES IIA Jan. - June 1983 July - Dec. 1983 Total No. of contracts reg.

Argentina	316	257	2531
Portugal	91	84	1121

TIES IIB

Colombia	28	-	302
Egypt (GAFI)	-	3 <u>1/</u>	67
Egypt (GOFI)		16 <u>2/</u>	16
Venezuela		50 <u>3/</u>	607
Rep. of Korea		306 <u>4/</u>	1867
Nigeria		35	35

With respect to the previous reporting period, it can be noted that the participation at the TIES II level has increased to seven countries and that one new active participant at the TIES II level has been welcomed, namely Nigeria and GAFI (Egypt).

(C) Service agreements

The service agreements received so far from Argentina, Republic of Korea, Portugal and Venezuela have not been processed pending a change in the computer programme allowing for processing of service agreements which do not contain financial information on fees.

1/ Government Authority for Foreign Investment

2/ Government Organization for Industrialization, covering 1983 public enterprises only.

3/ Covering 1983

4/ Covering 1982 but incorporated in the TIES data base during the reporting period.

(D) Special Requests

Special requests for information have been received from Argentina (teaching foreign languages), Chile (boric acid), Iran (conveyor belt systems), Nigeria (Johnson wax, hotel management, manufacturing alloyed resins and reconditioning steel drums, music recording), Venezuela (oil and gas corrosion inspection, production of sorbitol, fees in shipyard construction), Poland (Styrene dispersion for emulsive paints).

The response of the TIES members on these requests have been good and in general appropriate assistance has been rendered through this mechanism. Assistance in obtaining information was obtained from UNIDO's Industrial Technological Information Bank (INTIB) when it concerned the location of suitable technology suppliers.

(E) Country Profiles 1983 - 1984

Covering the period 1983 - 1984, updated country profiles have been obtained from Argentina, Malaysia, Philippines, and Portugal. In addition country profiles have been prepared for the first time by Ecuador, Ethiopia, India, Kenya, Republic of Korea, Nigeria, Peru and Venezuela. These country profiles will be reviewed, published and sent to all TIES participants. An advanced publication, containing all the country profiles will be distributed as a separate document at the TIES meeting in Beijing.

III. Identification of major problems and obstacles

Introduction

An expert group meeting on technology transfer registry information systems was held in Vienna, Austria, from 9-11 May 1984, to review inter-alia the concept of TIES and to recommend a framework for action which will result in a greater flexibility and simplification as well as allow for a participation of more countries as recommended at the Eighth Meeting of Heads of Technology Transfer Registries 1/.

1/ ID/WG.405/8 - Report, page 3, para 2a and 2b

The expert group meeting concluded that there could be identified four major constraints on the further development of TIES namely:

- (a) lack of experience of technology transfer registries to use and generate information;
- (b) the marginal development of national registry information systems;
- (c) the complicated TIES format and the use of two different coding forms;
- (d) limitations at UNIDO headquarters to simplify information processing procedures.

With respect to the first two (training and national registry information systems), a more comprehensive analysis has been presented in conference documents ID/WG.429/1 and ID/WG.429/3.

Increased flexibility of TIES

It has become clear over the past years of operation of TIES that the TIES IIA level cannot be regarded as a "minimum set" of data as not all countries could comply with the information requirements. Therefore taking into consideration the diversification of the functions of technology transfer registries and following the recommendations of the TIES meeting in Caracas, one more level of participation at the TIES II level, which could be labelled as "contract address" information is proposed. This level of information exchange, is the minimum set of data exchanged for the purpose of identifying a source of information which could be contacted in order to obtain the required information. There will then be three levels of TIES II, namely, TIES II(M)(minimum), TIES IIA and TIES IIB. With the introduction of TIES II(M), it is expected that the exchange system becomes more flexible and that consequently more countries can participate at the TIES IV level.

Simplification

With respect to the desire to simplify the TIES information exchange and to reduce the observed confusion with respect to the completion of the TIES license and service coding forms, a merging of the TIES license and TIES service agreements is proposed. Furthermore, to make the completion of the forms more "fool proof" it is proposed to make the coding forms more descriptive without losing any of the information content previously agreed upon. A draft revised coding form has been prepared for consideration of the TIES members (Annex I). On the basis of this revised coding form, the revised TIES rules have been prepared for consideration (Annex II).

Information processing constraints at UNIDO headquarters

The changes in the TIES information exchange, as proposed here, have certain consequences for the information processing at UNIDO headquarters.

The data base management system (DBMS) used in the TIES license system limits the number of records in a data base to 32, the existing TIES license form has 51. A merging of the TIES license and TIES service will require therefore a change to a different DBMS. The limited budget available for the introduction of such changes may delay the implementation.

IV. Progress with linkages with regional information exchange systems

Although the information exchanged through TIES has been principally concerned with terms and conditions of technology transfer agreements, co-operation with regional technological information exchange systems of a more broader nature has been developed as recommended by the TIES meeting in Caracas. Such regional systems have focussed apart from information on technology transfer agreements on interalia technological developments inside the region and technology transfer within the region.

(a) Co-operation with the Andean Technological Information Exchange System (SAIT)

Representatives of TIES and SAIT met immediately after the Eighth Meeting of Heads of Technology Transfer Registries, to discuss the various co-operation possibilities. It was agreed that there was a great benefit in co-operation as the development objectives of both information exchange systems are similar. The following modus operandi of the co-operation has been agreed upon.

- (1) Countries submit data to the JUNTA on a joint TIES/SAIT format
- (2) JUNTA forwards it to UNIDO
- (3) UNIDO processes data and submits:

- one time:
- a. magnetic tape to the JUNTA with all historical data from all countries participating in TIES;
 - b. reports to the individual countries (who have not previously received this information) with historical data.
- on going:
- a. magnetic tape to the JUNTA with most recent data;
 - b. reports to the individual countries with most recent data.

The first phase of this co-operation agreement has been implemented and a joint TIES/SAIT format has been agreed upon (Annex III). Furthermore, a UNIDO expert, Ms. Cathy Pawelczyk, has visited all Andean countries to introduce this format and review with the registry personnel the intricacies of completion of this joint format. It is expected that the co-operation agreement will be fully implemented in 1984/1985 and that a fully interactive TIES/SAIT information exchange system on technology transfer contracts will be operational

(b) Co-operation with the Latin American Technological Information Network (RITLA).

RITLA has been established by the Latin American Economic System (SELA) to foster technological co-operation among its member states and has as one of its principal activities in its work programme

the promotion of the exchange of information on technology transfer contracts. In RITLA are participating Brazil, Argentina, Bolivia, Venezuela, Mexico, Ecuador and in observer status, Nicaragua. Of those seven countries, Argentina, Bolivia (through SAIT), Venezuela and Ecuador (through SAIT) are participating in TIES. It is therefore proposed that an agreement between UNIDO and RITLA would cover the formal commitment of RITLA to pursue the active participation of Brazil and Mexico (through RITLA) in TIES. The standard information exchange procedures of TIES would of course continue to apply. It could therefore be foreseen that Brazil and Mexico will submit their data through RITLA but will receive information from the TIES system directly.

- (c) Co-operation in the establishment of technological information exchange system in Africa

The Lagos Plan of Action adopted by African Heads of State in April 1980 and the programme for the Industrial Development Decade for Africa (IDDA) requests UNIDO and other international organizations to assist in promoting regional technological co-operation. UNIDO has responded to this request and allocated US\$ 96,000 for the promotion of technological co-operation among selected African countries, which aims at the preparation of an operational framework of an African Regional Information Exchange System on technology transfer agreements. This activity will be linked with the present TIES activities but will not limit itself to the types of information exchanged through TIES.

- (d) Co-operation in the establishment of an ASEAN Technological Information Exchange System (ASTIS)

The ASEAN countries have agreed to establish ASTIS on the basis of a network of information centres aimed primarily at strengthening the service capacity in the selection and acquisition of technology. Since the objectives of ASTIS includes the exchange of information on technology transfer contracts, it is expected that close co-operation with TIES will be established.



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

- | | | | | |
|---|--|---|---|---|
| <input type="checkbox"/> LEASING FRANCHISING | <input type="checkbox"/> KNOW-HOW | <input type="checkbox"/> TRADE MARK | <input type="checkbox"/> PATENT | <input type="checkbox"/> BASIC ENGINEERING |
| <input type="checkbox"/> DETAILED ENGINEERING | <input type="checkbox"/> MANAGEMENT OF CONSTRUCTION SET-UP | <input type="checkbox"/> START-UP SUPERVISION | <input type="checkbox"/> PRODUCTION SUPERVISION | <input type="checkbox"/> EQUIPMENT REPAIR AND MAINTENANCE |
| <input type="checkbox"/> PREINVESTMENT CONSULTING | <input type="checkbox"/> TURN KEY | <input type="checkbox"/> CONSTRUCTION OR SET-UP | <input type="checkbox"/> ADMINISTRATIVE SUPERVISION | <input type="checkbox"/> MARKETING |
| <input type="checkbox"/> TRAINING | <input type="checkbox"/> OTHERS | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

V CONTRACT TERMS

- ROYALTY
- | | | | | |
|--|--|--|---|---|
| <input type="checkbox"/> ROYALTY % A (Net sales) | <input type="checkbox"/> ROYALTY % B (Net sales) | <input type="checkbox"/> ROYALTY B LEVEL | <input type="checkbox"/> ROYALTY (Others) | <input type="checkbox"/> DESCRIPTION ROYALTY BASE (If not net sale) |
|--|--|--|---|---|

COMMENTS _____

- LUMP SUM
- | | |
|---|--|
| <input type="checkbox"/> LUMP SUM PAYMENT | <input type="checkbox"/> EXCHANGE RATE |
|---|--|

COMMENTS _____

REIMBURSABLE FEES

	MONTH	DAY	HOUR	EXCHANGE RATE	FEE
<input type="checkbox"/> PROJECT MANAGER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> SENIOR PROFESSIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> PROFESSIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> JUNIOR PROFESSIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> SENIOR TECHNICAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> TECHNICAN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS _____

PERSONNEL EXPENSES COVERED BY RECIPIENT

- TRAVEL ACCOMMODATION PAID LEAVE FAMILY TRAVEL/ EXPENSES INSURANCE

PERFORMANCE GUARANTEES

- VOLUME
 QUALITY
 YIELD
 ECONOMY

PERFORMANCE PENALTIES

- VOLUME
 QUALITY
 YIELD
 ECONOMY
 TIME

DESCRIPTION OF PENALTY

- PRICE ADJUSTMENT FORMULA _____

ANNEX II

- 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 as manual or computerized basis).
- All TIES participants should participate at the TIES II (M) level 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.
- TIES participants participating in the TIES IIA level should introduce the following additional information elements in their contract card: foreign holding,; recipient type, contract duration, collaboration tyupe, comments (production, industry, process, other).
- TIES participants participating at TIES IIB level should introduce the following additional information elements: currencies of payments, exchange rates (to US\$), type of payment, royalty type, royalty level, l' p sum, fee type, fees, minimum royalty.

ANNEX III

FORMULARIO DE CODIFICACION SAIT/TIES

CODIGO DE IDENTIFICACION

RECEPTOR

CODIGO DEL PAIS

CODIGO INDUSTRIAL

1)
PARTICIPACION EXTRANJERA

2) 3)
País de origen de la inversión extranjera

TIPO DE RECEPTOR

Relación de filiación

Actividad económica principal

PROVEEDOR

CODIGO DE LA EMPRESA PROVEEDORA

CODIGO DEL PAIS DEL PROVEEDOR

CONTRATO

CODIGO DE DIVISAS

FECHA DEL CONTRATO

DURACION DEL CONTRATO

Tipo de contrato

Relación proveedor/receptor

1) 2) 3)
Otros Contratos Vinculados

TIPOS DE COLABORACION

CODIGO DE PRODUCTO CODIGO DE DIVISAS TIPO DE CAMBIO

HONORARIOS DEL PERSONAL

MULTIPLICADOR DE DIVISAS 1) _____
TIPO DE PAGO CONTRACTUAL UNIDAD DE REMUNERACION TIPO 2) _____
UNIDAD DE HONORARIOS UNIDAD DE HONORARIOS

PAGO

 3) _____
TIPO UNIDAD DE HONORARIOS TIPO 4) _____
REMUNERACION UNIDAD DE HONORARIOS TIPO _____
PRECIO TOTAL COMO % DE LA INVERSION

GASTOS DE PERSONAL

VIAJES ALOJAMIENTO LICENCIA REMUNERADA VIAJES FAMILIARES/GASTOS SEGURO

PENALIZACIONES POR INCUMPLIMIENTO

GARANTIAS DE CUMPLIMIENTO TIPO DE PENALIZACION

VOLUMEN VOLUMEN _____
 CALIDAD CALIDAD _____
 PRODUCCION PRODUCCION _____
 ECONOMIA ECONOMIA _____
 TIEMPO _____

FORMULÁ DE AJUSTE DE PRECIOS _____

OBJETO _____

NOMBRE DEL RECEPTOR _____

DIRECCION _____

NOMBRE DEL PROVEEDOR _____

DIRECCION _____

OBSERVACIONES _____

CODIGO DE PRODUCTO 1 CODIGO DE PRODUCTO 2

Breve descripción del objeto del contrato

CONTRATO
TIPO DE CAMBIO
MULTIPLICADOR DE DIVISAS
MULTIPLICADOR DE PRODUCCION
UNIDADES DE PRODUCCION
TIPO DE REGALIAS
REGALIAS %A
REGALIAS %B
NIVEL B DE REGALIAS
PAGO GLOBAL
REGALIA MINIMA

VENTAS ANUALES
VOLUMEN DE PRODUCCION ANUAL
CAPACIDAD DE PRODUCCION ANUAL

EMPRESA RECEPTORA
NOMBRE DEL RECEPTOR

DIRECCION, LINEA 1

DIRECCION, LINEA 2

EMPRESA PROVEEDORA

NOMBRE DEL PROVEEDOR

DIRECCION LINEA 1

DIRECCION LINEA 2

OBSERVACIONES
PRODUCTO

INDUSTRIA

PROCESO

OTROS

OTROS

