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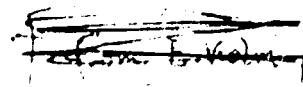
[INFORMATION PAPER .]

COMPUTERIZED REGISTRY INFORMATION SYSTEM (CORIS)]

Z. Bogdanowicz

prepared by UNIDO secretariat

1624



Introduction

1. In recent years developing countries became increasingly aware of the need to regulate the overall flow of technology. Regulatory policies were introduced based on among others:

- (1) to channel technology towards priority sectors of industrial development;
- (2) to reduce the overall cost of importing technology;
- (3) to obtain detailed information on the status of technology transfer in the country;
- (4) to co-ordinate technology inflow with local R and D efforts;
- (5) to promote the effective use of the imported technology and to promote technology exports.

2. To execute such policies, many countries have established technology transfer registries. A salient activity, common to all registries, is the access to technology transfer contracts either for approval or for information purposes.

3. Experience has indicated that the effective organization of handling information flow can substantially contribute to the overall registry performance as well as increase the benefits resulting from using outside sources of information.

4. Consequently, this area has gained increased attention within the co-operative framework of Technology Transfer Registries called Technological Information Exchange System (TIES). Following the recommendations of consecutive TIES meetings UNIDO secretariat has developed the concept of a Computerized Registry Information System (CORIS)^{1/} as a model information system operated on personal or microcomputer.

5. CORIS has been developed to be useful for three main registry functions, namely:

- evaluation of technology transfer agreements;
- generation of statistics on approved/registered technology transfer agreements;
- monitoring of implementation of technology transfer agreements.

^{1/} The software for CORIS is designed by the Foreign Trade Data Centre, Warsaw, upon request of UNIDO secretariat.

6. Certain assumptions are made with respect to the organization of the information flow, namely, that:

- 1) When a contract enters a registry for evaluation, the contract will receive a registration number and a file number and that a minimum set of information enters the information system (recipient, name, supplier name and country, object of the agreement, evaluation officer and application date).
- 2) The information will be completed when the contract has passed the approval stage through a "correction".
- 3) The information will be updated periodically when monitoring reports are received.

7. At present the software prepared is only applicable on a M20 Personal Computer manufactured by Olivetti, Italy (for details see annex II) and has certain limitations with respect to limited space for catalogues, maximum number of contracts (100) being predominantly the result of the capacity of the floppy disc.

8. In the near future CORIS will also be operating on an IBM compatible computer without the limitations mentioned before.

Model Contract Card

9. While preparing a model computerized registry information system, it became necessary to determine the model information input. An expert group meeting ^{2/} was called to determine such inputs, and on the basis of a comparative analysis of the existing registry information systems, a model contract card (annex I) has been designed as an abstract of the information most commonly generated by registration, evaluation and monitoring of technology transfer contracts. In the design of the model contract card, due consideration has been given to the information needs of the various users of the information systems. It has also been taken into consideration that the model contract card could serve as an example for input format for a manual information system.

2/ Report of Expert Group Meeting, UNIDO IS/483.

CORIS Characteristics

10. Following are some of the operational characteristics of CORIS:

(a) Introduction of data

The input format of data is determined by the contract card and has been divided into nine different screens (annex III), each screen can be completed with relevant data or left blank before continuing to the next screen. It is possible to correct, delete, add, etc. to the information on the screen.

(b) Contract card as an output

At any time the contract card identified by its registration number can be printed (annex IV).

(c) Internal monitoring of office performance

Since basic data is entered at the registration of the contract prior to its evaluation, it is possible to print at any time those contracts which are under evaluation (annex V, 1).

Furthermore, assuming that the evaluation department is divided into sectoral groupings, it is possible to summarize the effect of intervention of that sector for any period of years (annex V, 2).

(d) Evaluation output formats

The evaluation officer, while reviewing an application for approval of technology transfer agreements, has the possibility to request information on approved, rejected and registered contracts in order to find quickly answers to such questions as:

- What other contracts does that supplier have?
- Are there more contracts of that nature (by product; by industry)?
- Has the supplier previously presented a contract which has been rejected?

Annex VI, 1 to 8 provide with some more details on this type of outputs. In addition it is possible to obtain an abstract (at the TIES II level) of contracts registered in other countries through participation in TIES ^{3/} (annex VI, 9). In addition it is possible to consult the statistical tables (TIES I) (see annex VIII) to observe trends by industrial sector.

(e) Monitoring of the implementation of technology transfer agreements

Although monitoring is not always performed by the technology transfer registries, it has been incorporated in CORIS as it is expected that this function will receive increased attention at the registry level. Since monitoring can be divided into a macro and a micro levels (macro meaning aggregate statistical data and micro individual contracts) and since not all contracts can be monitored at the micro level, a mechanism has been introduced, which will enable the official in charge of monitoring to select those contracts which did not fulfill its expected implementation targets from the point of view of effective technology transfer (annex VII). Its principle is based on the assumption that every year a monitoring report is presented to the registry (macro monitoring) informing about production volume, net sales, exports, imports, R+D expenditure, employment, profit before tax, number of persons trained home and abroad, number of foreign personnel, yearly expected payments; and depending on its relative importance, each one of these items can be selected and a report produced which indicates which contracts, in a given period, did not fulfill a percentage of the forecasted value (presented at the time of contract approval).

3/ TIES information exchange on technology transfer contracts has the following levels of participation:

TIES I : The periodic exchange of a summary of terms and conditions of contracts by industrial sectors (ISIC, four digits).

TIES II A: A periodical exchange of non-financial data on a contract which involves a technology transfer through the licence of a patent, trademark, transfer of know-how, models, drawings either associated with a service or not.

(f) Statistics

Statistics have been prepared in accordance with TIES I tables when it concerned approved technology transfer contracts; economic effects of those approved contracts (estimated/real) based on forecasted data presented at the registration stage; and monitoring reports on registry intervention (annex VIII).

(g) Graphics

Several graphic displays of the earlier-mentioned statistics have been introduced (annex IX) for an early interpretation of the presented data.

Introducing CORIS by individual countries and the role of UNIDO

11. UNIDO secretariat is ready to provide to all interested countries, especially those participating in TIES co-operative framework, relevant data on CORIS including the software. UNIDO is also ready to assist in the adaptation and implementation of the system according to national requirements. For further information please write:

Mr. J.F. Cramwinckel
Development and Transfer of Technology Branch
UNIDO
P.O. Box 300
A-1400 Vienna
Austria

3/ (continuation)

TIES II B: The exchange of non-financial data (same as for TIES II A) and detailed information on the financial terms of the contracts which involve a technology transfer through the licence of a patent, trademark, transfer of know-how, models, drawings either associated with a service or not.

TIES Service: Information to be exchanged on contracts which involve the transfer of a service and which does not include the transfer of intellectual property such as studies, engineering services, one-shot technical assistance, routine technical assistance, assistance to equipment maintenance, training, etc.

ANNEX I

MODEL REGISTRY CONTRACT CARD

ANNEX 1

CONTRACT CARD

ANNEX II

DETAILED TECHNICAL DESCRIPTION OF
M20 OLIVETTI PERSONAL COMPUTER

Annex II

The CORIS system has been prepared at present only for use on the M20 Personal Computer manufactured by OLIVETTI, Italy.

Some technical specifications:

- 1/ CPU
 - Z8001 microprocessing with 16-bit technology; Random Access Memory /RAM/ based on 64-bit memory chips, 128-Kb basic capacity expanded to 192-Kb by adding two optional memory extension boards /including additional 32-Kb board for colour display;
- 2/ Mass Storage Devices
 - two 320 Kb minifloppy disc units, 5 1/4" double-sided disc average access time - 300 ms;
- 3/ Display
 - self-standing alphanumeric and graphic display with 4 out of 8-colour palette software definable display format, dimension of the grid for graphics: 512 x 256 pixels /dots/;
- 4/ Keyboard
 - alphanumeric buffered keyboard with user - programmable function keys;
- 5/ Printer
 - model PR2400 desk-top thermal dot-matrix printer with graphic capabilities, 240 lpm. 80 char /lone, graphic/ alphanumeric hard-copy of the display;
- 6/ Operating System
 - PCOS /Professional Computer Operating System/ version 3.0
- 7/ Programming language
 - all application programs have been written in BASIC-8000, which is an interpreted version of Microsoft BASIC /release 5.2/, extended to include graphics /as points, lines, boxes, area fill/.

ANNEX III

INPUT FORMAT OF CONTRACT DATA
(NINE SCREENS)

CONTRACT CARD

3. CONTRACT

0.1. file no : AB-135
0.2. register no : 21/84

3.5. national industrial code : _____
3.6. industrial code/isic : _____
3.7. national product code 1 : _____
3.8. national product code 2 : _____
3.8. product code 1 /site/ : _____
3.9. product code 2 /site/ : _____
3.9. validity : starting date ____ expiring date ____ approval date ____

3.10. collaboration type :

leasing	franchising	<input type="checkbox"/>	know-how	<input type="checkbox"/>	trade mark	<input type="checkbox"/>
patent		<input type="checkbox"/>	preinvestment		turn key	<input type="checkbox"/>
construction		<input type="checkbox"/>	consulting	<input type="checkbox"/>	basic engineering	<input type="checkbox"/>
or set-up		<input type="checkbox"/>	detailed engineering	<input type="checkbox"/>	management of	
start-up supervision		<input type="checkbox"/>	production	<input type="checkbox"/>	construction set-up	<input type="checkbox"/>
equipment repair		<input type="checkbox"/>	supervision	<input type="checkbox"/>	administrative	
and maintenance		<input type="checkbox"/>	marketing	<input type="checkbox"/>	supervision	<input type="checkbox"/>
training		<input type="checkbox"/>	others			

CONTRACT CARD

3. CONTRACT

0.1. file no : AB-135
0.2. register no : 21/84

3.11. TERMS

3.11.1. royalty

royalty % A : ____ royalty % B : ____ royalty B : ____

/net sales/ /net sales/ level

description royalty base /comments/ : _____

3.11.2. lump sum lump sum payment : _____ exchange rate : _____
comments : _____

3.11.3. reimbursable fees

project manager	<input type="checkbox"/>	month	<input type="checkbox"/>	day	<input type="checkbox"/>	hour	<input type="checkbox"/>	fee	: _____
senior professional	<input type="checkbox"/>	month	<input type="checkbox"/>	day	<input type="checkbox"/>	hour	<input type="checkbox"/>	fee	: _____
professional	<input type="checkbox"/>	month	<input type="checkbox"/>	day	<input type="checkbox"/>	hour	<input type="checkbox"/>	fee	: _____
junior professional	<input type="checkbox"/>	month	<input type="checkbox"/>	day	<input type="checkbox"/>	hour	<input type="checkbox"/>	fee	: _____
technician	<input type="checkbox"/>	month	<input type="checkbox"/>	day	<input type="checkbox"/>	hour	<input type="checkbox"/>	fee	: _____

comments : _____

3.11.4 personnel expenses covered by recipient: travel accommodation
paid leave family travel/expenses insurance

CONTRACT CARD

4. DATA

N. 1. file no : AB-135

8.2.register no : 21/84

all financial data in currency code : __

-- year -- year -- year -- year -- year

4.1. production volume: EST. _____
unit : ACT. _____

4.2. net sales : EST. _____
ACT. _____

4.3. exports : EST. _____
ACT. _____

4.4. imports : EST. _____
ACT. _____

4.5. R+D expenditures: EST. _____
ACT. _____

4.6. employment : EST. _____
ACT. _____

4.7. profit before tax: EST. _____
ACT. _____

CONTRACT CARD

4. PROJECT DATA

Q.1. file no : AB-135

8.2. register no : 21/84

4.8.no of persons trained	year	year	year	year	year
4.8.1. home : EST.	-----	-----	-----	-----	-----
	ACT.	-----	-----	-----	-----
4.8.2. abroad : EST.	-----	-----	-----	-----	-----
	ACT.	-----	-----	-----	-----
4.9.no of foreign personnel	EST.	-----	-----	-----	-----
	ACT.	-----	-----	-----	-----
4.10.yearly expected payments :	EST.	-----	-----	-----	-----
	ACT.	-----	-----	-----	-----

5. CONTRACT EVALUATION

5.1. total expected technology payments* : -----
5.2. total expected imports* : -----

5.1. total expected technology payments*: -----
5.2. total expected imports*: -----

5.2. total expected imports* : _____
5.3. total expected exports* : _____

* over approved period

CONTRACT CARD

0.1.file no : AB-135
0.2.register no : 21/84

5. CONTRACT EVALUATION

5.4.net foreign exchange balance* : S : _____ A : _____
5.5.licensor share in expected profits : S : ... % A : ... %
5.6.performance guarantees
5.6.1.volume : S H 5.6.2.quality : S H 5.6.3.yield : S H
5.6.4.economy : S H 5.7.training : S H 5.7.1.training schedule : S H
5.7.3.right to sublicense : S H 5.8.1.volume : S H 5.8.2.quality : S H 5.8.3.yield : S H
5.8.4.economy : S H 5.8.5.time : S H
5.9.restrictive clauses
5.9.1.non exclusive : S H 5.9.2.export restrictions : S H
5.9.3.right to sublicense : S H 5.9.4.price restrictions : S H
5.9.5.tie-in clauses : S H 5.9.6.ban on alt. technolog. : S H
5.9.7.excessive quality control : S H 5.9.8.restrictions on recipient's R+D : S H
S - as submitted A - as approved

CONTRACT CARD

0.1.file no : AB-135
0.2.register no : 21/84

5. CONTRACT EVALUATION

5.9. 9.right to use technology in other local comp. : S H 5.9.10.restrictions on volume and structure of output : S H
5.9.11.obligatory employment of foreign employment : S H 5.9.12.post contractual restrictions : S H
5.9.13.foreign jurisdiction : S H 5.9.14.provisions on payments for unexploited tech. : S H
5.9.15.obligation to transfer improv. to supplier : S H 5.9.16.obligation to transfer improv. from supplier : S H
5.9.17.exclusive sales arrangements : S H
6. FINAL DECISION
approved : conditionally approved : rejected :
comments : _____

7. MONITORING

comments : _____

CONTRACT CARD

0.1.file no : AB-135
0.2.register no : 24/64

8. EVALUATION OFFICER

name : _____

title/rank : _____

department : _____

date : ____/____/____

signature



ANNEX IV

EXAMPLE OF PRINTED CONTRACT CARD

CONTRACT CARD

1. RECIPIENT

1.1. country code : POL

0.1. file no : ME-007
 0.2. register no : 1481
 0.3. id key : 989991

1.2. company name : MERA INSTITUTE

1.3. company address : AI. NIEPODLEGLOSCI 187
WARSAW1.4. description of principal economical activity : RESEARCH AND PRODUCTION
OF COMPONENTS, PARTS AND ELECTRICAL EQUIPMENT

1.5. national industrial code : 1152

1.6. industrial code/sector : 3831

1.7. national company code : 0837575

1.8. un ctc company code :

1.9. type of company :

X state or government private mixed

1.10. level of foreign holding : 0 %

1.11. equity holding by supplier company : 0 %

1.12. number of employees : 1986*

1.13. total sales : 1925538*

1.14. R+D of total sales : 27%*

* at application year

2. SUPPLIER

2.1. country code : ITA

2.2. company name : ING. C. OLIVETTI & CO. S.P.A.

2.3. company address : VIA JERUIS 77
10015 IVREA

2.4. un ctc company code : OLI0010

3. CONTRACT

3.1. type :

new renewal extension annex/amendment other

3.2. contract class :

X X licence to management software joint venture turn key other

3.3. object : RIGHTS AND TECHNICAL ASSISTANCE IN INDUSTRIAL ROBOTS
MANUFACTURING

3.4. process :

3.5. national industrial code : 1152

3.6. industrial code/sector : 3831

3.7. national product code 1 : 9741143

national product code 2 : 9741144

3.8. product code 1 /sector/ : 736.12

product code 2 /sector/ : 736.15

3.9. validity : starting date 81/01 expiring date 85/12 approval date 81/01

3.10. collaboration type :

leasing franchising	X	know-how	X	trade mark
patent	X	preinvestment		turn key
construction		consulting		basic engineering
or set-up		detailed engineering		management of
start-up supervision		production		construction set-up
equipment repair		supervision		administrative
and maintenance		marketing	X	supervision
training	X	others		

3.11. TERMS

3.11.1. royalty

royalty % A : 0.0 net sales : 0.0 royalty B : 0 net sales : 0

description royalty base comments/

3.11.2. lump sum : lump sum payment : 100000 exchange rate : 0.091
comments

3.11.3. reimbursable fees

	month	day	hour	fee	
project manager	X				0
senior professional	X				0
professional	X				115
junior professional	X				105
technician	X				80
comments					

3.11.4. personnel expenses covered by recipient : travel accommodation
paid leave family travel expenses insurance

C O N T R A C T C A R D

4. P R O J E C T D A T A

0.1. file no : ME-007
 0.2. register no : 1481
 0.3. id key : 0000001

all financial data in currency code : PDL

81 year 82 year 83 year 84 year 85 year

4.1. production volume: EST.	1200	2600	3800	4000	4800
unit : PCS's	ACT.	1180	2602	3851	0
4.2. net sales :	EST.	320800	710000	860000	900000
	ACT.	313650	712600	893200	0
4.3. exports :	EST.	320800	70000	90000	95000
	ACT.	308000	70000	91200	0
4.4. imports :	EST.	41200	27200	25300	20000
	ACT.	40800	25700	25500	0
4.5. R+D expenditures:	EST.	56800	79500	100500	105000
	ACT.	56720	79800	101325	0
4.6. employment :	EST.	280	285	300	300
	ACT.	280	286	300	0
4.7. profit before tax:EST.	52500	116200	141900	148500	148500
	ACT.	52000	119100	145200	0
4.8. no of persons trained					
4.8.1. home :	EST.	100	0	0	0
	ACT.	100	0	0	0
4.8.2. abroad :	EST.	10	10	10	0
	ACT.	10	10	10	0
4.9. no of foreign personnel :	EST.	3	0	0	0
	ACT.	3	0	0	0
4.10. yearly expected payments :	EST.	110000	5000	5000	0
	ACT.	110000	5000	5000	0

5. C O N T R A C T E V A L U A T I O N

as submitted as approved

15.1. total expected technology payments* :	140000	120000
15.2. total expected imports* :	223575	133700
15.3. total expected exports* :	397000	387000
15.4. net foreign exchange balance* :	23584	133360
15.5. licensor share in expected profits :	18.7 %	16.5 %

* over approved period

15.6. performance guarantees

15.6.1. volume : S x A x	5.6.2. quality : S x A x	5.6.3. yield : S A x
15.6.4. economy: S A		5.7.1. training schedule : S x A x
15.7. training : S x A x		
15.8. performance penalties		
15.8.1. volume : S x A x	5.8.2. quality : S x A x	5.8.3. yield : S A
15.8.4. economy: S A	5.8.5. time : S x A x	
15.9. restrictive clauses		
15.9.1. non exclusive :	S A	5.9.2. export restrictions : S x A x
15.9.7. right to sublicence:	S A	5.9.4. price restrictions : S x A
15.9.3. tie-in clauses :	S x A x	5.9.6. ban on alt. technolog. : S x A x
15.9.7. excessive quality control	S x A	5.9.8. restrictions on recipient's R+D : S x A
15.9.9. right to use technology in other local comp. :	S A x	5.9.10. restrictions on volume and structure of output : S A
15.9.11. obligatory employment of foreign employment:	S x A x	5.9.12. post contractual restrictions : S x A
15.9.13. foreign jurisdiction :	S A	5.9.14. provisions on payments for unexploited tech. : S x A
15.9.15. obligation to transfer improv. to supplier :	S x A x	5.9.16. obligation to transfer improv. from supplier : S x A x
15.9.17. exclusive sales arrangements :	S A	

S - as submitted A - as approved

6. F I N A L D E C I S I O N S

approved : X conditionally approved : rejected :
Comments :

7. M O N I T O R I N G

Comments : slight underfulfillment of production,sales and export targets,since 1982 -better then planned performance

8. E V A L U A T I O N O F F I C E R

Name : MARY HENDRIX
Title/rank : ANALYST
Department : MACHINERY & EQUIPMENT
Date : 02-01-81

Signature X

ANNEX V

INTERNAL MONITORING OUTPUT FORMATS

- V, 1 List of contract registered being in the evaluation process
- V, 2 Summary of officers intervention for period period 1983-1984

Model RIS

Date- 16/10/1984

LIST OF CONTRACTS REGISTERED
BEING IN THE EVALUATION PROCESS
PERIOD : 1984-1984

page 2
to be continued

Register No : 17 /84
File No : 01-245
Recipient co. name: MOTARPLAST CO. LTD.
Supplier co. name : BADISCHE-ANILIN UND Soda-FABRIK AG
Supplier country : GFR
Object : LICENCE FOR POLYMER EXTRUSION MANUFACTURING

Evaluation officer: VIOLETTA O'BRIEN
Department : OTHER INDUSTRIES
Aplication date : 15/09/84

Model RIS

Date 16/10/1984

SUMMARY TABLE OF EFFECTS
OF OFFICERS INTERVENTION FOR THE PERIOD 1983 - 1983 YEARS

Name : VIOLETTA O'BRIEN
Department : OTHER INDUSTRIES

Total number of contracts in 1983	3
- approved	2
- conditionally approved	1
- rejected	0
Estimated net foreign exchange earnings due to reduction of payments	279358
Number of contracts where undesirable clauses have been eliminated	2
Total number of undesirable clauses have been eliminated ...	3
Number of contracts where desirable clauses have been included	2
Total number of desirable clauses have been included	2

ANNEX VI

EVALUATION OUTPUT FORMATS

List of contracts registered with the same supplier
List of contracts registered with the same recipient
List of contracts approved with a given product (SITC)
List of contracts approved with a given industry (ISIC)

List of contracts approved with the same supplier
List of contracts approved with the same recipient
List of contracts rejected with a given supplier
List of contracts rejected with a given recipient

Model RIS

Date-10/10/1984

LIST OF CONTRACTS REGISTERED
WITH THE SAME SUPPLIER
PERIOD : 1981-1984

SUPPLIER NAME : NESTLE ALIMENTARIA AG.

page 2

COUNTRY : SWI

to be continued

Register No : 15 /83

File No : AB-892

ISIC code : 3119

Recipient co. name : ZAKLADY PRZEMYSLU CUKIERNICZEGO Co. LTD.

Object : RIGHTS AND DOCUMENTATION FOR PRODUCTION OF CHOCOLATE

Status : approved

Model RIS

Date-10/10/1984

LIST OF CONTRACTS REGISTERED
WITH THE SAME RECIPIENT
PERIOD : 1981-1984

RECIPIENT NAME : ZAKLADY RADIONE KASPRZAKA P.P.

page 2

to be continued

Register No : 14 /82

File No : 01-066

ISIC code : 3832

Supplier co. name : LABORATOIRES COUPIL S.A.

Supplier country : FRA

Object : DOLBY SYSTEM OF NOISE REDUCTION

Status : rejected

Reasons for reject : excessive LSEP plus to high content of restrictive provisions

Model RIS

Date 18/10/1984

LIST OF CONTRACTS APPROVED FOR A GIVEN PRODUCT
PERIOD: 1981 - 1984

Product code /site/: 784.9

Product name: OTHER PARTS AND ACCESSORIES N.E.S. OF THE MOTOR VEHICLES...

Page 1

Register number: 2/81 File number:ME-154
Recipient name: PRECISE MECHANICS Co. LTD.

Supplier name: FIAT S.P.A.

Country code: ITA

Object: THERMOSTAT FOR COOLING SYSTEM IN VEHICLE'S ENGINES

Contract duration: from 06/82 to 06/92

Total expected payments: 37810

Model RIS

Date 18/10/1984

LIST OF CONTRACTS APPROVED IN A GIVEN INDUSTRY
PERIOD: 1981 - 1984

Industry code: 3829

Division name: MANUFACTURE OF FABRICATED METAL PRODUCTS, MACHINERY AND EQUIPMENT

Group name: MANUFACTURE OF MACHINERY AND EQUIPMENT EXCEPT ELECTRICAL NOT ELSE WHERE CLASSIFIED

Page 2

Register number: 12/81 File number:ME-154

Recipient name: POLSKIE SAMOCHODY ELEKTRYCZNE S.A.

Product code /site/: 784.9

Product name: OTHER PARTS AND ACCESSORIES N.E.S. OF THE MOTOR VEHICLES...

Model RIS

Date-10/10/1984

LIST OF CONTRACTS APPROVED
WITH THE SAME RECIPIENT
PERIOD : 1981-1981

RECIPIENT NAME : ZAKLADY SPRZETU MOTORYZACYJNEGO "UNICAR" page 1
to be continued

Register No : 8 /81
File No : ME-333
ISIC code : 3829
Supplier co. name : MOTOR-COLUMBUS AG.

Supplier country : SWI
Object : BRAKE COMPLEXES FOR BUSES AND TRAILERS MANUFACTURING

Model RIS

Date-10/10/1984

LIST OF CONTRACTS APPROVED
WITH THE SAME SUPPLIER
PERIOD : 1981-1984

SUPPLIER NAME : NESTLE ALIMENTANA AG. page 1
COUNTRY : SWI to be continued

Register No : 15 /83
File No : AP-092
ISIC code : 3119
Recipient co. name : ZAKLADY PRZEMYSLU CUKIERNICZEGO Co. LTD.

Object : RIGHTS AND DOCUMENTATION FOR PRODUCTION OF CHOCOLATE

Model RIS

Date-10/10/1984

LIST OF CONTRACTS REJECTED
WITH A GIVEN SUPPLIER
PERIOD : 1981-1984

SUPPLIER COMPANY :	LABORATOIRES GOUPIL S.A.		page 1 end of list
COUNTRY :	FRA		
File no	Reg. No	Recipient Company Name	Rejection date and reasons for rejection
ME-047	14/81	MERAPOLEX S.A.	12/01/81 excessive royalty rate and negative net foreign exchange balance
OI-066	14/82	ZAKLADY RADIONE KASPRZAKA P.P.	03/02/82 excessive LSEP plus to high content of restrictive provision

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Date-10/10/1984

LIST OF CONTRACTS REJECTED
WITH A GIVEN RECIPIENT
PERIOD : 1981-1984

RECIPIENT COMPANY :	ZAKLADY CUKIERNICZE "KRAKUS" S.A.		page 1 to be continued
File no	Reg. No	Supplier Company Name and Country	Rejection date and reasons for rejection
OI-066	14/82	LABORATOIRES GOUPIL S.A. FRA	03/02/82 excessive LSEP plus to high content of restrictive provision
AB-772	5/83	NESTLE ALIMENTANA AG. SWI	08/02/83 high content of restrictive provisions and excessive royalty rate

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REPORT ON APPROVED LICENCE AND SERVICE AGREEMENTS
TIES II 8

Register no: 1/81

Page 1

I D E N T I F I C A T I O N

id key: 000001 recipient country code: POL

R E C I P I E N T

country code: POL industrial code: 3831 foreign holding: 0 %

type: state or government: X private: mixed:

company name: MERA INSTITUTE

company address: RI. NIEPODLEGLOSCI 187
WARSAW

S U P P L I E R

company name: ING. C. OLIVETTI & Co. S.P.A.

company address: VIA JERVIS 77
10015 IVREA

company code: CLI0010 country code: ITA

C O N T R A C T

object: RIGHTS AND TECHNICAL ASSISTANCE IN INDUSTRIAL ROBOTS
MANUFACTURING

industrial code: 3831 product code 1: 736.12 product code 2: 736.15

contract class:

licence X tax management software joint venture turn key
others

C O M M E N T S

product:

industry:

process:

others:

contract date: 81/01 contract duration: 5

C O L L A B O R A T I O N T Y P E

leasing franchising	know-how	X
detailed engineering	trade mark	
management of construction set-up	patent	X
start up supervision	basic engineering	
equipment repair and maintenance	turn key	
production supervision	marketing	X
preinvestment consulting	training	X
construction or set-up	others	
administrative supervision		

Model RIS

Date 10/10/1984

REPORT ON APPROVED LICENCE AND SERVICE AGREEMENTS
TIES II 8

Register no: 1/81

Page 2

TERMS

royalty royalty %A /net sales/: 0.0 royalty %B /net sales/: 0.0
 royalty B level: 0 royalty /others/

description royalty base/comments/:

IUMP SUM X IUMP SUM PAYMENT: 100000 exchange rate: .0091

COMMENTS:

REIMBURSEABLE FEES X exchange rate: .0091

Project Manager	month	day	hour	fee:
senior professional	X	X		115
professional	X	X		105
junior professional	X	X		80
technician	X	X		

COMMENTS:

PERSONNEL EXPENSES COVERED BY RECIPIENT

travel ACCOMMODATION PAID LEAVE FAMILY TRAVEL/EXPENSES
insurance

PERFORMANCE GUARANTEES

VOLUME: X
QUALITY: X
YIELD: X
ECONOMY:

PERFORMANCE PENALTIES

VOLUME: X
QUALITY: X
YIELD:
ECONOMY:
TIME: X

ANNEX VII

MORNITORING OUTPUT FORMATS

- (1) List of contracts registered in years where projected targets were not reached (less than percent), target ;
- (2) List of contracts registered in years where projected targets were exceeded, target

Date 10/10/1984

Model RIS

LIST OF CONTRACTS REGISTERED IN 1981 - 1983 YEARS
WHERE PROJECTED TARGETS WERE NOT REACHED IN 1983 YEAR
(less than 95.0 %)

target : employment

Page 1
and of list -

Register No : 3/82 File No : SE-099
Recipient
-name ORBIS PRZEDSIEBIORSTWO PANSTWOWE
-address ul. BRACKA Nr. 196 WARSZAWA WOJ. STOLECZNE
Supplier
-name HILTON HOTELS INC.
-address 245 AVENUE OF THE AMERICA 100-17 NEW YORK N.Y.
-country USA
Object of
contract FRANCHISE AND MANAGEMENT AGREEMENT FOR THE HILTON HOTEL IN WARSZAWA
Projected figure : 888 Achieved figure : 758 Per cent : 83.75 %

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Date 10/10/1984

LIST OF CONTRACTS REGISTERED IN 1981 - 1982 YEARS
WHERE PROJECTED TARGETS WERE EXCEEDED IN 1982 YEAR

target : R+D expenditures

Page 3
to be continued-

Register No : 4/81 File No : ME-099
Recipient
-name NAUPRO-CENTRE Co. LTD.
-address UL. ZAKRZEWSKA Nr. 3 MIELNO WOJ. KOSZALIN
Supplier
-name MICRO-CIRCUITOS
-address SAPASEO DE LA REFORMA No. 90, MEXICALI, BAJA CALIFORNIA
-country MEX
Object of
contract TECHNICAL DOCUMENTATION, KNOW-HOW AND EQUIPMENT FOR POWER TRANSISTORS AND TYRISTORS MANUFACTURING
Projected figure : 888 Achieved figure : 948 Per cent : 104.44 %

ANNEX VIII

STATISTICS ON APPROVED TECHNOLOGY TRANSFER CONTRACTS

1. Table 1 - Company list
2. Table 2 - Number of contracts by collaboration type
3. Table 3 - Number of contracts by supplier country
4. Table 4 - Number of contracts by level of foreign holdings
5. Table 5 - Number of contracts by duration
6. Table 6 - Number of contracts by payment type
7. Table 7 - Number of contracts by royalty rate
8. Table 8 - Total contractual payments

STATISTICS ON ECONOMIC EFFECTS OF APPROVED TECHNOLOGY TRANSFER CONTRACTS

1. Estimated economic and financial effects for the next five years
2. Achieved economic and financial effects over last five years
3. Estimated and achieved economic and financial effects in one given year

STATISTICS ON REGISTRY INTERVENTION

Summary table of effects of registry intervention for period years.

Model RIS

Date 10/10/1984

TABLE 1 - COMPANY LIST

COUNTRY : POL		PERIOD : 01-06/1984
ISIC	SITC	Recipient & Supplier Names Supplier Country Code
3119	873.0	R: SPOLEM CO., LTD. S: NESTLE ALIMENTARIA AG. SWI
3240	851.92	R: POLSKI BATA S.A. S: BATA LTD. CRN
3511	522.21	R: INDOMAX CO., LTD. S: BADISCHE-ANILIN UND Soda-FABRIK AG GFR
3560	893.1	R: POLMATIC CO., LTD. S: IRISH GLASS BOTTLE CO., LTD. IRE
3720	682.13	R: STOCZNIA POLUDNIOWA SP. O.O. S: CONTINENTAL COPPER & STEEL INDUSTRIES INC. USA
3824	744.28	R: FABRYKA MASZYN GORNICZYCH "FAMURGOR" S.A. S: LACANA MINING CORP. CRN
3825	752.5	R: ZAKLAD SYSTEMOW MIKROKOMPUTEROWYCH S.A. S: MIXDORF COMPUTER AG. GFR
3841	793.21	R: ROPEX-YACHT CO., LTD. S: NORCONSULT A.S. NOR
3843	784.9	R: PRECISE MECHANICS CO., LTD. S: MOTOR-COLUMBUS AG. SWI
3903	894.72	R: FABRYKA SPRZETU TENISOWEGO S.A. S: NOKIA AB, OY FIN

Model RIS

Date 10/10/1984

TABLE 2 - NUMBER OF CONTRACTS BY COLLABORATION TYPE

COUNTRY : POL		PERIOD : 01-06/1984																	
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	TOTAL
3119	0	1	1	0	0.	0	0	0	0	0	1	0	0	0	1	0	1	0	5
3240	0	1	1	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	4
3511	0	1	1	0	0	1	0	0	0	1	0	0	0	0	0	0	1	0	5
3560	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	2
3720	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	3
3824	0	1	1	1	0	0	0	0	0	0	1	0	0	0	0	0	1	0	5
3825	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	3
3841	0	0	0	0	0	1	1	1	0	0	0	0	0	0	0	0	0	0	0
3843	0	1	1	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	5
3993	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
TOTAL	0	9	6	3	0	2	1	1	0	4	0	0	0	0	3	0	2	0	37
%	0	24	16	8	0	5	3	3	0	11	0	0	0	0	0	22	0	100,0	

Collaboration types :

1. Leasing & franchising
2. Know-how
3. Trade mark
4. Patent
5. Preinvestment consulting
6. Turn key
7. Construction or set-up
8. Basic engineering
9. Detailed engineering
10. Management or construction set-up
11. Start-up supervision
12. Production supervision
13. Equipment repair and maintenance
14. Administrative supervision
15. Marketing
16. Training
17. Others

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Date 18/10/1984

TABLE 3 - NUMBER OF CONTRACTS BY SUPPLIER COUNTRY

COUNTRY : POL										PERIOD : 01-06/1984					
	ISIC	SWI	CAN	LTR	IRE	USA	NOR	FIN							0TH TOTAL
															ERSI
3119	1	0	0	0	0	0	0	0							1
3248	0	1	0	0	0	0	0	0							1
3511	0	0	1	0	0	0	0	0							1
3568	0	0	0	1	0	0	0	0							1
3728	0	0	0	0	1	0	0	0							1
3824	0	1	0	0	0	0	0	0							1
3825	0	0	1	0	0	0	0	0							1
3841	0	0	0	0	0	0	1	0							1
3843	1	0	0	0	0	0	0	0							1
3903	0	0	0	0	0	0	0	1							1
TOTAL	2	2	2	1	1	1	1	1							10
%	20	20	20	10	10	10	10	10							100.0

Model RIS

Date 18/10/1984

TABLE 4 - NUMBER OF CONTRACTS BY LEVEL OF FOREIGN HOLDINGS

COUNTRY : POL		PERIOD : 01-06/1984						
ISIC	%	1-25%	26-49%	50-66%	67-99%	100%	OTHERS	TOTAL
3119	0	0	1	0	0	0	0	1
3240	0	0	1	0	0	0	0	1
3511	0	1	0	0	0	0	0	1
3560	0	1	0	0	0	0	0	1
3720	1	0	0	0	0	0	0	1
3824	1	0	0	0	0	0	0	1
3825	0	0	1	0	0	0	0	1
3841	1	0	0	0	0	0	0	1
3843	0	0	1	0	0	0	0	1
3993	0	0	1	0	0	0	0	1
TOTAL	3	2	5	0	0	0	0	10
%	30.0	20.0	50.0	0.0	0.0	0.0	0.0	100.0

Model RIS

Date 18/10/1984

TABLE 5 - NUMBER OF CONTRACTS BY DURATION

COUNTRY : POL							PERIOD : 01-06/1984		
ISIC	< 1 YEARS	1-2.99 YEARS	3-4.99 YEARS	5-9.99 YEARS	10-14.99 YEARS	>=15 YEARS	OPEN CONTRACTS	COMMITTED	TOTAL
3119	0	0	0	1	0	0	0	0	1
3249	0	1	0	0	0	0	0	0	1
3511	0	0	0	1	0	0	0	0	1
3569	0	1	0	0	0	0	0	0	1
3729	0	1	0	0	0	0	0	0	1
3824	0	0	0	1	0	0	0	0	1
3825	0	0	0	1	0	0	0	0	1
3841	0	1	0	0	0	0	0	0	1
3843	0	0	0	0	1	0	0	0	1
3903	0	0	0	1	0	0	0	0	1
TOTAL	0	4	0	5	1	0	0	0	10
%	0.0	40.0	0.0	50.0	10.0	0.0	0.0	0.0	100.0

Model RIS

Date 18/10/1984

TABLE 6 - NUMBER OF CONTRACTS BY PAYMENT TYPE

COUNTRY : POL				PERIOD : 01-06/1984			
ISIC	FIXED ROYALTY	VARIABLE ROYALTY	MINIMUM ROYALTY	LUMPSUM PAYMENT	REIMBUR- -SEMENT PAYMENT	OTHER	TOTAL
3119	1	0	0	1	1	1	4
3240	1	0	0	1	1	1	4
3511	1	0	0	1	1	1	4
3560	0	0	0	1	1	1	3
3720	0	0	0	1	1	1	3
3824	1	0	0	0	1	1	3
3825	1	0	0	1	1	1	4
3841	0	0	0	1	1	1	3
3843	0	0	0	1	1	1	3
3903	1	0	0	0	0	0	1
TOTAL	6	0	0	8	9	9	32
%	18.8	0.0	0.0	25.0	28.1	28.1	100.0

Model RIS

Date 19/10/1984

TABLE 7 - NUMBER OF CONTRACTS BY ROYALTY RATE BASED ON NET SALES

COUNTRY : POL	PERIOD : 01-06/1984										AVERAGE ROYALTY RATE
	ISIC	<1%	1-1.9	2-2.9	3-3.9	4-4.9	5-5.9	6-6.9	7-7.9	8-8.9	
3119	0	0	0	0	1	0	0	0	0	0	4.38
3240	0	0	1	0	0	0	0	0	0	0	2.98
3511	0	0	0	1	0	0	0	0	0	0	3.48
3824	0	0	0	1	0	0	0	0	0	0	3.88
3825	0	0	0	0	1	0	0	0	0	0	4.18
3903	0	0	0	1	0	0	0	0	0	0	3.78
TOTAL	0	0	1	3	2	0	0	0	0	0	3.63

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Date 18/10/1984

TABLE 8 - TOTAL CONTRACTUAL PAYMENTS

COUNTRY : POL		PERIOD : 01-06/1984	
ISIC	ANNUAL APPROVED PAYMENTS	TOTAL APPROVED PAYMENTS	
3119	11818		1390000
3240	33333		1000000
3511	150000		1200000
3560	1125		4500
3722	83333		2500000
3824	124670		997360
3825	110548		995834
3841	5000		20000
3843	14236		200000
3903	16667		150000
TOTAL	550000		4047594

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Date 18/10/1984

ESTIMATED ECONOMIC AND FINANCIAL EFFECTS
OF THE CONTRACTS APPROVED IN 1983 FOR THE NEXT 5 YEARS

	<u>1984</u>	<u>1985</u>	<u>1986</u>	<u>1987</u>	<u>1988</u>	<u>TOTAL</u>
1.Total yearly payments	26165565	2988245	5066231	568126	411458	35199517
2.Net sales	17612625	65825875	119707025	20742025	15420000	239307550
3.Profit before tax	5460075	22566175	43261675	3472300	23953800	77156525
4.Employment	2927	3775	4363	4310	2610	17385
5.Exports	9562000	39757500	82960000	12555000	94800000	152414500
6.Imports	809000	1886500	1569500	1565000	1000000	6750000
7.No of persons trained						
7.1 Home	410	240	30	0	0	680
7.2 Abroad	106	73	15	0	0	194
8.R+D expenditures	148386	216500	340050	290007	210000	1215123

Model RIS

Date 18/10/1984

ACHIEVED ECONOMIC AND FINANCIAL EFFECTS
OVER LAST 5 YEARS

	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>TOTAL</u>
1.Total yearly payments	0	0	223612	35527312	46641734	82392658
2.Net sales	0	0	692950	4197820	22414710	27305480
3.Profit before tax	0	0	134000	875099	4460333	5469432
4.Employment	0	0	740	2449	5480	8669
5.Exports	0	0	374800	1544900	4232541	6152241
6.Imports	0	0	200660	235498	645616	1081774
7.No of persons trained						
7.1 Home	0	0	140	270	672	1082
7.2 Abroad	0	0	42	106	181	329
8.R+D expenditures	0	0	38630	181709	251382	531721

Model RIS

Date 10/10/1984

ESTIMATED AND ACHIEVED
ECONOMIC AND FINANCIAL EFFECTS IN 1983

Total

	ESTIMATED	ACTUAL	PERCENTAGE
1. Total yearly payments	46656343	46641734	99.97
2. Net sales	22980639	22414719	97.54
3. Profit before tax	4566096	4460333	97.68
4. Number of employment	5482	5469	99.96
5. Exports	4621000	4232541	91.59
6. Imports	640533	645616	100.73
7. No. of persons trained			
7.1 Home	672	672	100.00
7.2 Abroad	179	181	101.12
8. Research and development	243790	251382	103.11
9. Total number of contracts being implemented	27		

Model RIS

Date 10/10/1984

SUMMARY TABLE OF EFFECTS
OF REGISTRY INTERVENTIONS FOR THE PERIOD 1981 - 1983 YEARS

Total number of contracts in 1981 - 1983	51
- approved	38
- conditionally approved	10
- rejected	11
Estimated net foreign exchange earnings due to reduction of payments	5709874
Number of contracts where undesirable clauses have been eliminated	34
Total number of undesirable clauses have been eliminated ...	70
Number of contracts where desirable clauses have been included	25
Total number of desirable clauses have been included	69

ANNEX IX

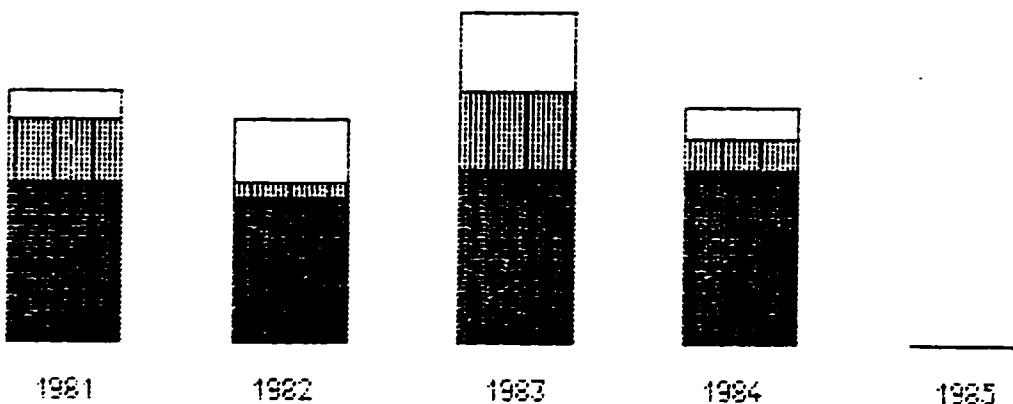
GRAPHICS

1. Numbers of contracts by final decision
2. Project data for contract reg.

NUMBER OF CONTRACTS BY TYPE OF FINAL DECISION

Number of contracts in 1981 - 1985: (T)otal (A)pproved (C)ond.approved (R)ejected

(T)	16	14	21	15	0
(A)	10	9	11	11	0
(C)	4	1	5	2	0
(R)	2	4	5	2	0



■ approved

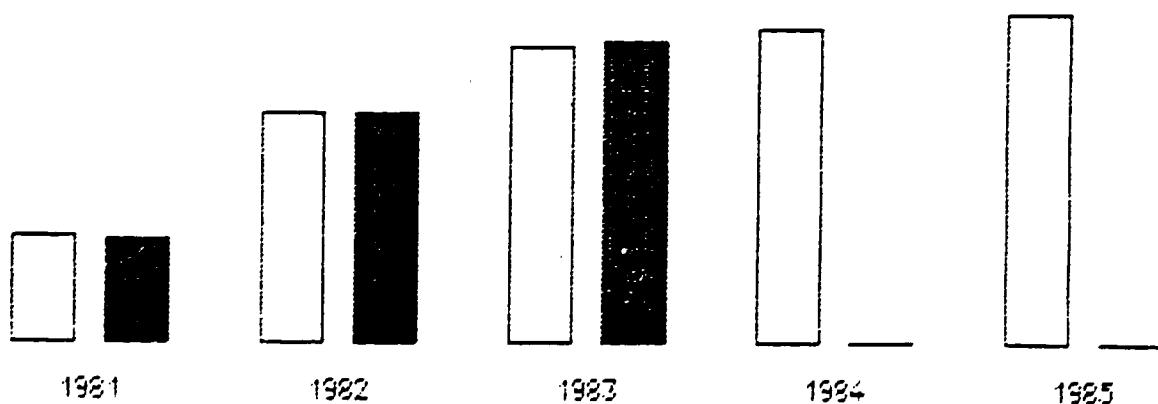
■ conditionally approved

■ ejected

PROJECT DATA FOR THE CONTRACT REG.NO. 1/81

Value of monitored target: exports-(E)stimated (A)ctual

(E)	32680	76000	98000	95800	100000
(A)	30000	70000	91296	0	0
(C)	95.01	100.00	101.33	0.00	0.00



1981

1982

1983

1984

1985

■ estimated

■ actual