

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Public Health Service

CHAPTER CC27--Recognition and Awards  
SUBCHAPTER CC27.1--Commissioned Officers' Recognition Program  
PERSONNEL INSTRUCTION 5 - Commissioned Officers' Incentive Awards Program; Cash  
Awards for Inventions, Suggestions, and Scientific  
Achievements

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Section A. Purpose and Scope

This INSTRUCTION prescribes the cash awards for inventions, suggestions, and scientific achievements established under the Public Health Service (PHS) Commissioned Officers' Incentive Awards Program (COIAP). The authorities and responsibilities for administering this program are also prescribed.

### Section B. Authority

The authority for cash awards to PHS commissioned officers for inventions, suggestions, and scientific achievements is set forth in Title 42 U.S.C. 213a(a)(15) and Title 10 U.S.C. 1124.

### Section C. General

1. The COIAP provides a means to encourage officers to take part fully in improving Government operations. The program recognizes officers for suggestions, inventions, and scientific achievements, above those normally expected, that contribute to the efficiency, economy, or other improvement of Government operation.
2. The COIAP will be administered by the Commissioned Personnel Operations Division (CPOD) and operated within the procedural framework of the civilian personnel program. The Commissioned Officer Awards Program (COAP) will continue to be administered as a separate program as provided in Chapter 27, Subchapter CC27.1, of this manual.
3. Awards under this INSTRUCTION will not be made to officers for superior performance of assigned duties or for contributions which reasonably may be considered to be within the scope of those duties. In determining whether an officer's contribution is eligible for an award, explicit assignments and responsibilities implicit in grade or organizational position shall be carefully considered by line management.
4. The COIAP is available to active-duty PHS commissioned officers, regular and reserve corps. A suggestion, invention, or scientific achievement award nomination submitted prior to the officer's retirement or release from active duty will remain eligible for consideration for a period of two years from the date of submittal.
5. Within PHS, Agency Heads and Regional Health Administrators, and major organizational heads may approve cash awards which are consistent with those granted under the civilian personnel program. Award recommendations above \$1500 shall be forwarded to the Assistant Secretary for Health.
6. Except those on leave without pay, officers detailed from PHS to other agencies may receive cash awards in accordance with this INSTRUCTION. All approved cash awards will be sent to PHS for concurrence and payment as outlined in this subchapter. Officers on leave without pay detail may participate in the awards program of the agency or institution to which detailed.
7. Awards records are maintained in officers' official personnel folders which are subject to the provisions of the Privacy Act of 1974. INSTRUCTION 7, Subchapter CC26.1, "Rights and Responsibilities of PHS Commissioned Officers Under the Privacy Act," of this manual, sets forth the procedures to be followed in the maintenance of these records. The applicable systems of

records are: 09-37-0002, PHS Commissioned Corps Personnel Records, HHS/OASH/OM; and 09-37-0008, PHS Commissioned Corps Unofficial Personnel Records and Other Station Files, HHS/OASH/OM. Any officer who wishes access to the employee suggestion, cash award, or scientific achievement record systems should contact the program coordinators of those systems.

#### Section D. Suggestions

##### 1. General

- a. A suggestion is an idea submitted in writing by one or more eligible persons intended to contribute directly to economy or efficiency, or to increase effectiveness of Government operations directly.
- b. Not acceptable as suggestions are ideas that deal with employee services, benefits, working conditions, housekeeping, routine safety practices, or maintenance of building and grounds.

##### 2. Procedures.

- a. Suggestions are to be submitted in accordance with established PHS, agency, and program procedures. These procedures normally include the following:
  - (1) The suggestion is to be submitted on Form HHS-170, "Employee Suggestion Form" (See Exhibit I). The suggester must:
    - (a) Describe a specific problem, offer a solution, and estimate the benefits or savings, if known.
    - (b) Sign the form to signify agreement that the United States may use the idea without incurring any further claims by the suggester or his/her heirs.
    - (c) Note on the form (item 10) if the suggester wishes to remain anonymous.
    - (d) For a group suggestion, submit one complete form, designating "Group Suggestions." Each suggester should complete the top (items 1-10) and sign the back (items 15-16) of a separate Form HHS-170, which will be retained by the suggestion coordinator. There is no limit to the number of cosuggesters who can be involved in the joint effort. Both commissioned officers and civil service employees may be members of the group.
  - (2) The suggestion should be submitted through the immediate supervisor; however, it may be submitted directly to the appropriate suggestion coordinator.

### 3. Evaluation.

- a. The evaluation of a suggestion is to be done promptly within established agency timeframes. Normally, the office having responsibility for the area described in the suggestion has primary responsibility for evaluating the suggestion.
- b. The evaluator should forward the completed evaluation report, along with the suggestion package, to the appropriate suggestion coordinator. If the suggestion is adopted, the suggestion will be considered for a cash award if the benefits to the Government have a value of at least \$250.
- c. If the criteria for a cash award are met, Form HHS-171, "Recommendation for Cash Award," shall be prepared (See Exhibit II). The amount of the cash award will be determined by the tangible and intangible benefits that can be assigned to the suggestion (See Exhibit III).

### 4. Process

- a. The award recommendation shall be forwarded through established award channels to the official to whom approval authority has been delegated.
- b. The organization's fiscal officer shall certify on the approved Form HHS-171 that funds are available and have been obligated to pay the award.
- c. The appropriate suggestion coordinator shall review the award recommendation for conformity with the requirements and will forward the completed Form HHS-171 for commissioned officer(s) to:

Officer Services Branch  
Commissioned Personnel Operations Division/OPM/OM  
Parklawn Building, Room 4-35  
Rockville, Maryland 20857

- d. The Officer Services Branch (OSB) shall issue a personnel order authorizing payment through the commissioned officer payroll system.

## Section E. Inventions

### 1. General

- a. Monetary awards are granted for inventions that are of interest to PHS and for which patent coverage is sought or granted. The purpose of granting such awards is to gain maximum value for the research and development expenditures of the Government.

- b. Statutory authority and policy guidance are contained in 35 U.S.C. and 37 CFR 100.

## 2. Procedures

- a. Inventions shall be submitted in accordance with established PHS, agency, and program procedures. To report an invention, employees shall submit a Form HHS-570, "Employee Invention Report," in triplicate (See Exhibit IV). The report is submitted to the Patents Branch, Office of the General Counsel (OGC), HHS, Room 5A-03, Westwood Building, NIH, Bethesda, Maryland 20892.
- b. In general, an initial award should be granted in all cases where a reported invention has been favorably evaluated and a patent application has been filed. It is suggested that this award be \$100.
- c. When a patent application is granted and the Federal Government either owns or has a license for the invention, further monetary recognition should be provided upon notification that the U.S. Patent and Trademark Office has issued a patent. It is suggested that this added award be \$300.
- d. An additional award of up to \$35,000 may be granted on an invention owned by the U.S. Government as referenced in the Federal Personnel Manual, Chapter 451, Subchapter 9, whenever:
  - (1) The invention benefits the public as evidenced by the number of patent licenses granted, reports on commercializations from patent licenses, and other information pertaining to the commercial use of the invention; or
  - (2) Whenever such inventions provide benefit to the Government as evidenced by Government use.

## 3. Process

- a. After HHS, OGC Patents Branch receives notification of a filed patent application or patent issuance, they will request the inventor's organization to prepare an award recommendation.
- b. The organization shall prepare a Form HHS-171 and forward it through established channels to the official to whom approval authority has been delegated.
- c. The organization's fiscal officer shall certify on the approved Form HHS-171 that funds are available and have been obligated to pay the award.

- d. The awards/suggestion coordinator shall review the award recommendation for conformity with requirements and forward the completed Form HHS-171 to the OSB at the address given in D.4.c., above.
- e. OSB shall issue a personnel order authorizing payment through the commissioned officer payroll system.

Section F. Special Act Award for Scientific Achievement

1. General

- a. Scientific achievement is defined as:
  - (1) An act, deed, or accomplishment that establishes a scientific or technological basis for later technical improvements of PHS function or that has national significance.
  - (2) A scientific or technical accomplishment of such quality and effectiveness as to have materially advanced the research and development achievements of an activity, group, or project.
  - (3) A significant scientific or technological achievement that contributes materially to the welfare of PHS and the Nation.
  - (4) A technical paper presented to professional societies that constitutes a substantial contribution to scientific knowledge.
- b. This award shall not be used to recognize superior performance. Superior performance shall be recognized through the Commissioned Officer Awards Program as contained in Chapter 27, Subchapter CC27.1 of this manual.
- c. A monetary award shall not be granted for an act that reasonably would be considered to be within the scope of the officer's assigned duties. Further, the act must contribute significantly to the efficiency, economy, or other improvement of Government operations or otherwise be in the public interest.
- d. The scientific achievement may or may not involve measurable monetary benefits and may involve more than one employee.
- e. The cash award shall depend upon the scientific achievement being recognized. The amount of the award is determined according to the cash award criteria for tangible or intangible benefits for suggestions awards.

2. Procedures

- a. Nomination of an officer for a Special Act Award shall be done in compliance with PHS, agency, and program procedures.

- b. A supervisor or any official having direct knowledge of the scientific achievement may initiate the nomination. Nominations shall be submitted through line management within agency and PHS timeframes.
- c. A nomination shall be submitted on Form HHS-171. The recommendation must clearly define the extent of the scientific achievement and its contribution to PHS and the Nation. The recommendation must include information regarding the officer's assignment and responsibilities implicit in grade or organizational position. When the recommendation for this award is based on measurable tangible benefits, the supporting data will show in detail how these benefits were computed. Recommendations based on intangible benefits will identify the value of benefits and extent of application appropriate for the achievement to be recognized.

### 3. Process

- a. The award recommendation shall be forwarded through established award channels to the official to whom approval authority has been delegated.
- b. The organization's fiscal officer shall certify on the approved Form HHS-171 that funds are available and have been obligated to pay the award.
- c. An award recommendation requiring approval by ASH shall be forwarded from the agency head to the Executive Secretary, Scientific Achievement Review Board. The Board shall consist of the Assistant General Counsel for Public Health, the Surgeon General, and two agency heads not party to the recommendation. The Board shall meet in formal session with the Director, Office of Personnel Management, serving as Executive Secretary. The board shall forward its recommendation to the Assistant Secretary for Health for approval.
- d. The appropriate suggestion coordinator shall review the approved nomination for conformity with the requirements and will forward the completed Form HHS-171 to OSB at the address given in D.4.c, above.
- e. OSB shall issue a personnel order authorizing payment through the commissioned officer payroll system.

EXHIBIT I

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES



# Employee Suggestion Form

INSTRUCTIONS TO SUGGESTER				SUGGESTION NUMBER	DATE RECEIVED
<ul style="list-style-type: none"> <li>• Read information below before preparing this form.</li> <li>• Describe your idea on this form, filling in all numbered items.</li> <li>• Use additional sheets of paper and include drawings or sketches as necessary.</li> <li>• Submit this form to your immediate supervisor or suggestion officer.</li> <li>• May be submitted directly to Department Suggestion Officer (245-1704).</li> </ul>					
1. NAME OF SUGGESTER (First, middle initial, last) MR. MRS. MISS MS.		2. POSITION TITLE		3. GRADE	
4. SOCIAL SECURITY NO.	5. TIMEKEEPER NO.	6. PAYROLL NO.	7. ORGANIZATION (Bureau, Division, etc.)		
8. OFFICE ADDRESS				9. OFFICE PHONE	
10. MAY YOUR NAME BE USED DURING THE PROCESSING OF THIS SUGGESTION?      YES <input type="checkbox"/> NO <input type="checkbox"/>					
11. THIS SUGGESTION CONCERNS				SUGGESTION NUMBER	
12. THE SITUATION AS IT NOW EXISTS (Briefly describe the present practice, condition, etc. which you believe should be changed.)					
13. IDEA FOR IMPROVEMENT (State your idea as clearly as possible. Tell how and where it may be used and what it will accomplish.)					

(CONTINUE ON OTHER SIDE)



EXHIBIT I (Continued)

13. IDEA FOR IMPROVEMENT (Continued)

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14. SAVINGS AND/OR OTHER BENEFITS WHICH WILL RESULT FROM YOUR IDEA

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I hereby agree that acceptance of a cash award constitutes an agreement that the use of this suggestion by the United States shall not form the basis of a further claim of any nature in the United States by me, my heirs, and assigns.

15. SIGNATURE \_\_\_\_\_ 16. DATE \_\_\_\_\_

**SUGGESTION ACKNOWLEDGMENT**

17. SUBJECT OF SUGGESTION \_\_\_\_\_ SUGGESTION NUMBER \_\_\_\_\_

Thank you for submitting your suggestion which has been assigned the above number. As soon as it is evaluated and a final decision is made, you will be notified of the action taken. Your interest in improving Government operations is appreciated.

\_\_\_\_\_  
Suggestion Officer Date

18. TO: \_\_\_\_\_

Print your name and the address to which you want this acknowledgment sent. Your Office address is preferred.

DETACHEE DE PERFORMANCE (FORM 100-1)

Exhibit II

RECOMMENDATION FOR CASH AWARD

Prepare original and as many copies as your organization needs. Send original only to the Division of Central Payroll and Reports Processing, Office of the Secretary.

For an employee to be considered for a special achievement award for sustained superior performance the following criteria must be met: During the period of service to be recognized (a) one or more of the most important job elements must have been performed in a manner substantially exceeding normal requirements and (b) the employee's total performance must be of sufficient level to merit a regular within-grade increase. Since a special achievement award for sustained superior performance is a one-time, lump-sum cash award and is based solely on past performance. The employee's level of future performance is not a major consideration. Individuals or groups may be considered for a cash award for a special act or service when performance exceeds job requirements as a one time occurrence. Cash awards may also be given to an individual or a group for an adopted suggestion, whether adopted as submitted or in part, that directly contributes to economy or efficiency, or directly increases effectiveness of Government operations.

I. IDENTIFICATION OF EMPLOYEE (OR GROUP)

INSTRUCTIONS: FOR AN INDIVIDUAL, COMPLETE ITEMS 1 THRU 7 BELOW. FOR A GROUP, ENTER "GROUP AWARD" IN ITEM 1, COMPLETE ITEM 4 AND ATTACH LIST SHOWING NAME, POSITION, GRADE AND SALARY, SOCIAL SECURITY NO., PAYROLL ACCOUNT NO., AND TIMEKEEPER NO. FOR EACH MEMBER OF THE GROUP.

1. NAME (First, middle initial, and last) Mr. Mrs. Ms.		2. POSITION TITLE		3. GRADE AND SALARY	
4. ORGANIZATION AND LOCATION			5. SOC. SECURITY NO.	6. PAYROLL NO.	7. TIMEKEEPER NO.
8. IF CHECK IS TO BE SENT TO OTHER THAN ABOVE, GIVE COMPLETE MAILING ADDRESS					

II. DESCRIPTION OF EMPLOYEE CONTRIBUTION

Type of Contribution	<input type="checkbox"/> Suggestion	SUGGESTION NO.	DATE SUBMITTED	DATE ADOPTED
	<input type="checkbox"/> Work Performance	PERIOD PERFORMANCE EXCEEDS REQUIREMENTS	PERIOD OF LAST AWARD	
		Attach summary of job description; list the function or functions which the employee has performed in a manner substantially exceeding normal requirements and provide answers for each to: a. Standard of performance b. How performance exceeded standard c. How performance increased productivity, economy, or effectiveness of Government operations (identify dollar benefits where possible).		
<input type="checkbox"/> Special Act or Service	Attach a description of the special act or service for which award is recommended			

III. COMPUTATION OF BENEFITS AND CASH AWARD

INSTRUCTIONS: REFER TO GENERAL ADMINISTRATION MANUAL, SECTION 8-90-100, FOR COMPUTING SUGGESTION AWARDS AND FPM 451, SUBCHAPTER 3.3.b.(3) FOR COMPUTING SUPERIOR PERFORMANCE AWARDS.

10. TANGIBLE BENEFITS		11. INTANGIBLE BENEFITS		12. RECOMMENDED AWARD
AMOUNT	BASIS: <input type="checkbox"/> EXPERIENCE <input type="checkbox"/> ESTIMATE	DEGREE OF BENEFIT	EXTENT OF APPLICATION	
				\$

PHS-171 (Rev. 10/80)

EXHIBIT II (Continued)

**IV. ACTION ON RECOMMENDATION**

INSTRUCTIONS: THE SUPERVISOR OR OFFICIAL WHO PREPARES THIS FORM SHOULD COMPLETE THE FIRST LINE, RECOMMENDING OR CONCURRING OFFICIALS, THE INTERMEDIATE LINES, AND THE OFFICIAL WITH AUTHORITY TO APPROVE THE AWARD THE LAST LINE.

THIS AWARD IS RECOMMENDED AND MADE IN CONFORMANCE WITH THE PROVISIONS OF TITLE III OF PUBLIC LAW 93-763 AND THE REGULATIONS ISSUED THEREUNDER

13. ACTION	SIGNATURE	TITLE	DATE	AMOUNT
INITIATE AWARD RECOMMENDATION				
RECOMMENDED APPROVAL OF AWARD				
APPROVE AWARD				

**V. OBLIGATION OF FUNDS**

14. FUNDS OBLIGATED FOR PAYMENT	15. SIGNATURE OF FISCAL OFFICER	16. DATE
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## EXHIBIT III

Table 2-1. Contributions With Tangible Benefits

<i>Estimated First-Year Benefits to Government</i>	<i>Amount of Award</i>
Up to \$10,000 .....	10 percent of benefits
\$10,001-\$100,000 .....	\$1,000 for the first \$10,000, plus 3 percent of benefits over \$10,000
★ \$100,001 or more .....	\$3,700 for the first \$100,000 plus .5 percent of benefits over \$100,000

Quick Guide for Calculating Awards Based on Tangible Benefits

<i>Benefit</i>	<i>Award</i>	<i>Benefit</i>	<i>Award</i>	<i>Benefit</i>	<i>Award</i>	<i>Benefit</i>	<i>Award</i>	<i>Benefit</i>	<i>Award</i>
Up to \$10,000	10%	50,000	2,200	90,000	3,400	170,000	4,050	1,800,000	12,200
11,000	1,030	51,000	2,230	91,000	3,430	175,000	4,075	1,900,000	12,700
12,000	1,060	52,000	2,260	92,000	3,460	180,000	4,100	2,000,000	13,200
13,000	1,090	53,000	2,290	93,000	3,490	185,000	4,125	2,100,000	13,700
14,000	1,120	54,000	2,320	94,000	3,520	190,000	4,150	2,200,000	14,200
15,000	1,150	55,000	2,350	95,000	3,550	195,000	4,175	2,300,000	14,700
16,000	1,180	56,000	2,380	96,000	3,580	200,000	4,200	2,400,000	15,200
17,000	1,210	57,000	2,410	97,000	3,610	225,000	4,325	2,500,000	15,700
18,000	1,240	58,000	2,440	98,000	3,640	250,000	4,450	2,600,000	16,200
19,000	1,270	59,000	2,470	99,000	3,670	275,000	4,575	2,700,000	16,700
20,000	1,300	60,000	2,500	100,000	3,700	300,000	4,700	2,800,000	17,200
21,000	1,330	61,000	2,530	101,000	3,705	325,000	4,825	2,900,000	17,700
22,000	1,360	62,000	2,560	102,000	3,710	350,000	4,950	3,000,000	18,200
23,000	1,390	63,000	2,590	103,000	3,715	375,000	5,075	3,100,000	18,700
24,000	1,420	64,000	2,620	104,000	3,720	400,000	5,200	3,200,000	19,200
25,000	1,450	65,000	2,650	105,000	3,725	425,000	5,325	3,300,000	19,700
26,000	1,480	66,000	2,680	106,000	3,730	450,000	5,450	3,400,000	20,200
27,000	1,510	67,000	2,710	107,000	3,735	475,000	5,575	3,500,000	20,700
28,000	1,540	68,000	2,740	108,000	3,740	500,000	5,700	3,600,000	21,200
29,000	1,570	69,000	2,770	109,000	3,745	550,000	5,950	3,700,000	21,700
30,000	1,600	70,000	2,800	110,000	3,750	600,000	6,200	3,800,000	22,200
31,000	1,630	71,000	2,830	111,000	3,755	650,000	6,450	3,900,000	22,700
32,000	1,660	72,000	2,860	112,000	3,760	700,000	6,700	4,000,000	23,200
33,000	1,690	73,000	2,890	113,000	3,765	750,000	6,950	4,100,000	23,700
34,000	1,720	74,000	2,920	114,000	3,770	800,000	7,200	4,200,000	24,200
35,000	1,750	75,000	2,950	115,000	3,775	850,000	7,450	4,300,000	24,700
36,000	1,780	76,000	2,980	116,000	3,780	900,000	7,700	4,360,000	25,000**
37,000	1,810	77,000	3,010	117,000	3,785	950,000	7,950		
38,000	1,840	78,000	3,040	118,000	3,790	1,000,000	8,200		
39,000	1,870	79,000	3,070	119,000	3,795	1,050,000	8,450		
40,000	1,900	80,000	3,100	120,000	3,800	1,100,000	8,700		
41,000	1,930	81,000	3,130	125,000	3,825	1,150,000	8,950		
42,000	1,960	82,000	3,160	130,000	3,850	1,200,000	9,200		
43,000	1,990	83,000	3,190	135,000	3,875	1,250,000	9,450		
44,000	2,020	84,000	3,220	140,000	3,900	1,300,000	9,700		
45,000	2,050	85,000	3,250	145,000	3,925	1,350,000	9,950		
46,000	2,080	86,000	3,280	150,000	3,950	1,400,000	10,200*		
47,000	2,110	87,000	3,310	155,000	3,975	1,500,000	10,700		
48,000	2,140	88,000	3,340	160,000	4,000	1,600,000	11,200		
49,000	2,170	89,000	3,370	165,000	4,025	1,700,000	11,700		

\* Awards over \$10,000 require the approval of the Office of Personnel Management.

\*\* Maximum award authorized by the Office of Personnel Management. A presidential Award of up to \$10,000 may be paid in addition to the \$25,000.

EXHIBIT III (Continued)

Table 2-2. Scale of Awards Based on Intangible Benefits

Value of Benefit	Extent of Application			
	Limited	Extended	Broad	General
	Affects functions, mission, or personnel of one office, facility, institution, or an organizational element of a headquarters.  Affects a small area of science or technology.	Affects functions, mission, or personnel of several offices, facilities, or institutions.  Affects an important area of science or technology.	Affects functions, mission, or personnel of an entire regional area of command. May be applicable to all of an independent agency or a large bureau.  Affects a broad area of science or technology.	Affects functions, mission, or personnel of several regional areas or commands, or an entire department or large independent agency, or is in the public interest throughout the Nation or beyond.
<b>MODERATE VALUE</b> — Change or modification of an operating principle or procedure which has moderate value sufficient to meet the minimum standard for a cash award; an improvement of rather limited value of a product, activity, program, or service to the public.	\$5,000 (maximum of \$200,000 payable benefits)	\$100,000 (maximum of \$1,000,000 payable benefits)	\$250,000	\$500,000
<b>SUBSTANTIAL VALUE</b> — Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.	\$100,000 (maximum of \$1,000,000 payable benefits)	\$250,000 (maximum of \$2,500,000 payable benefits)	\$500,000 (maximum of \$5,000,000 payable benefits)	\$1,000,000
<b>HIGH VALUE</b> —Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, major activity, or program, or service to the public.	\$250,000	\$500,000 (maximum of \$5,000,000 payable benefits)	\$1,000,000 (maximum of \$10,000,000 payable benefits)	\$2,500,000 (maximum of \$25,000,000 payable benefits)
<b>EXCEPTIONAL VALUE</b> — Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.	\$500,000	\$1,000,000	\$2,500,000 (maximum of \$25,000,000 payable benefits)	\$5,000,000 (maximum of \$50,000,000 payable benefits)

EXHIBIT IV

DEPARTMENT OF HEALTH AND HUMAN SERVICES EMPLOYEE INVENTION REPORT		(See Chapt. 6-10 General Admin. Manual)
<p><b>INSTRUCTIONS:</b> HHS employees shall use this form to submit invention disclosures to the Department. Type or print the original and 2 copies and forward through appropriate channels to the Patent Branch, Office of the General Counsel, DHHS. If additional space is needed, enter "see attached page" and refer to item(s) by number. When completed, this form becomes an important legal document useful in establishing priority of invention.</p>		<p><b>DHHS PATENT BRANCH USE</b></p> <p>DATE DISCLOSURE RECEIVED _____</p> <p>CASE NUMBER _____</p>
1. NAME & TITLE OF INVENTOR _____		2. CITIZENSHIP <input type="checkbox"/> U.S.
3. HOME ADDRESS OF INVENTOR (Street, City, State, ZIP Code, Area Code and Telephone Number) _____		<input type="checkbox"/> OTHER _____
4. NAME, TITLE, CITIZENSHIP, HOME ADDRESS OF JOINT INVENTOR(S), IF ANY: _____		
5. TITLE AND ADDRESS OF THE FACILITY WHERE THE INVENTION WAS DEVELOPED _____		
6. DESCRIPTIVE TITLE OF INVENTION _____		
<b>7. DOCUMENTARY RECORDS - List notebooks, drawings, reports, etc., documenting the invention</b>		
TYPE OF DOCUMENT	DATE	PRESENT LOCATION
<b>8. PUBLICATION</b>		
A. PRIOR PUBLICATION - List any descriptions of the invention you may have published which would enable someone skilled in the art to make and use the invention without experimentation. Identify publication by title and date, and attach copy, if available.		
B. PLANNED PUBLICATION - Is publication contemplated? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, cite approximate date publication is expected:		
<b>9. PUBLIC USE</b>		
a. Is, or was, the invention in use in the United States? <input type="checkbox"/> Yes <input type="checkbox"/> No		
b. Type of Use? <input type="checkbox"/> operational <input type="checkbox"/> feasibility determination		
c. Date of first operational use: _____		
d. Was any effort made to maintain the invention in secrecy after operational use? <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>10. PATENT APPLICATIONS</b>		
If any patent application has been filed by or for you on the subject matter of this invention, identify the application by date of filing, serial number, title and name of parties representing you.		

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EXHIBIT IV (Continued)

2

1. CITE ANY PREVIOUS WORK PERTINENT TO THIS INVENTION OF WHICH YOU ARE AWARE (Patents, articles, books, etc.)

12. UTILIZATION

A. Indicate any action taken to ensure availability of a marketable product to science and/or the public.

B. Indicate research and development needed before invention could be successfully marketed.

C. List names and organizational affiliation of those familiar with this invention.

D. List names and addresses of potential manufacturers or others who might agree to promote the invention.

E. List names and addresses of manufacturers of comparable equipment.

F. Commercial possibilities, including quantity and estimated price.

13. DETERMINATION

This report is submitted pursuant to Executive Order 10096 and 10930, and/or Department regulations in order that formal determination may be made as to the Government's rights and interests in the invention and as to whether domestic or foreign patent protection thereof should be sought. (Check one or more)

I agree to abide by the results of such determination and to execute assignments, licenses and applications for patent, without cost to me with respect to such invention as may be required pursuant to such determination.

I wish to dedicate the invention to the public.  
 I claim specific rights to the invention. (attach statement on the nature and extent of your claim).  
 I have received an employee incentive award for this invention.

SIGNATURE OF INVENTOR(S):	DATE	DISCLOSED TO AND UNDERSTOOD BY (Witness Signature(s)):	DATE

HHS-570 (Rev. 1/81)

## EXHIBIT IV (Continued)

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**PART II - DISCLOSURE OF INVENTION**

Describe the invention completely, using the outline given below. Sketches, prints, photos, and any pertinent manuscript should be attached to this disclosure. Manuscripts generally following the outline are acceptable substitutes. If additional space is needed, continue on separate sheet(s), referring to items in the outline by alphabetical letter.

A. State in general terms the purpose and object of the invention:

B. Describe prior art (by patent number or journal citation, if possible) and indicate how the invention overcomes its disadvantages.

C. Describe the construction of the invention. Use reference numbers to identify components in attached illustrations. Give a description of one complete operational cycle. If the invention relates to the synthesis or identification of a new composition of matter, describe the product in structural form, if possible, and the process of making it. Include all available information regarding its physical characteristics and all test data evidencing its utility.

**PATENT BRANCH USE ONLY**

NAME OF INVENTOR(S)	DATE RECEIVED	CASE NUMBER

HHS-670 (Rev. 1/81)