

GENERAL

This form is for use in submitting INTERIM and FINAL invention reports to the Contracting Officer and for use in reporting the award of subcontracts containing a "Patent Rights" clause. If the form does not afford sufficient space, multiple forms may be used or plain sheets of paper with proper identification of information by item number may be attached.

An INTERIM report is due at least every 12 months from the date of contract award and shall include (a) a listing of "Subject Inventions" during the reporting period, (b) a certification of compliance with required invention identification and disclosure procedures together with a certification of reporting of all "Subject Inventions," and (c) any required information not previously reported on subcontracts containing a "Patent Rights" clause.

A FINAL report is due within 6 months if contractor is a small business firm or domestic non profit organization and within 3 months for all others after completion of the contract work and shall include (a) a listing of all "Subject Inventions" required by the contract to be reported, and (b) any required information not previously reported on subcontracts awarded during the course of or under the contract and containing a "Patent Rights" clause.

While the form may be used for simultaneously reporting inventions and subcontracts, it may also be used for reporting, promptly after award, subcontracts containing a "Patent Rights" clause.

Dates shall be entered where indicated in certain items on this form and shall be entered in six or eight digit number in the order of year and month (YYYYMM) or year, month, and day (YYYYMMDD). Example: April 1999 should be entered as 199904 and April 15, 1999 should be entered as 19990415.

1a. Self-explanatory.

1b. Self-explanatory.

1c. If "same" as Item 2c., so state.

1d. Self-explanatory.

2a. If "same" as Item 1a., so state.

2b. Self-explanatory.

2c. Procurement Instrument Identification PII.

2d. through 5e. Self-explanatory.

5f. The name and address of the employer of each inventor not employed by the contractor or subcontractor is needed because the Government's rights in a reported invention may not be determined solely by the terms of the "Patent Rights" clause in the contract.

Example 1: If an invention is made by a Government employee assigned to work with a contractor, the Government rights in such an invention will be determined under Executive Order 10096.

Example 2: If an invention is made under a contract by joint inventors and one of the inventors is a Government employee, the Government's rights in such an inventor's interest in the invention will also be determined under Executive Order 10096, except where the contractor is a small business or nonprofit organization, in which case the provisions of 35 U.S.C. 202(e) will apply.

5g(1) Self-explanatory.

5g(2) Self-explanatory with the exception that the contractor or subcontractor shall indicate, if know at the time of this report, whether applications will be filed under either the Patent Cooperation Treaty (PCT) or the European Patent convention (EPC). If such is known, the letters PCT or EPC shall be entered after each listed country.

6a. Self-explanatory.

6b Self-explanatory.

6c. Self-explanatory.

6d. Patent Rights Clauses.

6e. Self-explanatory.

6f. Self-explanatory.

7. Certification not required by small business firms and domestic nonprofit organizations.

7a. through 7d. Self-explanatory.

Paperwork Reduction Act Public Burden Statement: A federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number. The OMB Control Number for this information collection is 2120-0595. Public reporting for this collection of information is estimated to be approximately 60 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Aviation Administration, 10101 Hillwood Parkway, Fort Worth, TX 76177-1524.

REPORT OF INVENTIONS AND SUBCONTRACTS						OMB Control No. 2120-0595			
1a. Name of Contractor/Subcontractor		1c. Contract Number	2a. Name of Government Prime Contractor		2c. Contract Number		3. Type of Report		
							a. Interim	b. Final	
1b. Address (Include ZIP Code)		1d. Award Date	2b. Address (Including Zip Code)		2d. Award Date		4. Reporting Period		
							4a. From		
							4b. To		
SECTION I – SUBJECT INVENTIONS									
5. "SUBJECT INVENTIONS" REQUIRED TO BE REPORTED BY CONTRACTOR/SUBCONTRACTOR (if "None," so state)									
5a. Name(s) of Inventor(s) <i>(Last, First, Middle Initial)</i>		5b. Title of Invention(s)		5c. Disclosure Number, Patent Application Serial Number or Patent Number		5d. Election to File Patent Applications (X)		5e. Confirmatory Instrument or Assignment Forwarded to Contracting Officer (X)	
						United States		Foreign	
						Yes	No	Yes	No
5f. Employer of Inventor(s) not Employed by Contractor/Subcontractor				5g. Elected Foreign Countries in Which a Patent Application will be filed					
5f(1). Name of Inventor		5f(2). Name of Inventor		5g(1) Title of Invention		5g(2) Foreign Countries of Patent Application			
5f(1). Name of Employer		5f(2). Name of Employer							
5f(1). Address of Employer (Including ZIP Code)		5f(2). Address of Employer (Including ZIP Code)							
SECTION II – SUBCONTRACTS (Containing a "Patent Rights" clause)									
6. SUBCONTRACTS AWARDED BY CONTRACTOR/SUBCONTRACTOR (if "None," so state)									
6a. Name of Subcontractor(s)	6b. Address (Including ZIP Code)	6c. Subcontract Number(s)	6d. "Patent Rights"		6e. Description of work to be performed under Subcontract(s)		6f. Subcontract Dates (YYYYMM)		
			Clause Number	Date (YYYYMM)			Award	Estimated Completion	
SECTION III - CERTIFICATION									
7. CERTIFICATION OF REPORT BY CONTRACTOR/SUBCONTRACTOR (Not required if: (X as appropriate))						SMALL BUSINESS or		NONPROFIT ORGANIZATION	
I certify that the reporting party has procedures for prompt identification and timely disclosure of "Subject Inventions," that such procedures have been followed and that all "Subject Inventions" have been reported.									
7a. Name of Authorized Contractor/Subcontractor Official <i>(Last, First, Middle Initial)</i>		7b. Title			7c. Signature			7d. Date Signed	