



Department of Energy

Office of Scientific and Technical Information

Post Office Box 62

Oak Ridge, Tennessee 37831

August 10, 2016

Re: OSTI-2016-01064-F

Dear Mr. Ravnitzky:

This is in final response to the request for information you sent to the Department of Energy (DOE), Office of Scientific and Technical Information (OSTI) under the Freedom of Information Act (FOIA), 5 U.S.C. 552 on June 22, 2016.

You requested a "copy of records, electronic, or otherwise, of each letter TO and FROM universities, companies, and organizations, from the OSTI 'cold fusion' documents collection." On July 11, 2016, you were emailed an interim response letter informing you of the need for OSTI to obtain release authorization from the Department of Energy. OSTI received notification to release the letters to you in their entirety on August 8, 2016. As a result, OSTI is releasing 72 cold fusion letters in this mailing on a CD-ROM because of the volume and file size of the PDFs.

In addition, there are approximately 13 letters that are currently being reviewed by the DOE's General Counsel Office (GC) for release or redaction. Upon receipt of guidance from GC, OSTI will release in whole or in part.

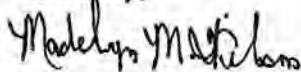
This decision, as well as the adequacy of the search, may be appealed within **90** calendar days from your receipt of this letter pursuant to 10 C.F.R. § 1004.8. Appeals should be addressed to Director, Office of Hearings and Appeals, HG-1, L'Enfant Plaza, U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, D.C. 20585-1615. The written appeal, including the envelope, must clearly indicate that a FOIA appeal is being made. You may also submit your appeal to OHA.filings@hq.doe.gov, including the phrase "Freedom of Information Appeal" in the subject line. The appeal must contain all of the elements required by 10 C.F.R. § 1004.8, including a copy of the determination letter. Thereafter, judicial review will be available to you in the Federal District Court either: 1) in the district where you reside; 2) where you have your principal place of business; 3) where DOE's records are situated; or 4) in the District of Columbia.

You may contact OSTI's FOIA Public Liaison, Charlene Luther, Office of Preservation and Technology at 865.576.1138 or by mail at the Department of Energy, Office of Scientific and Technical Information, 1 Science.gov Way, Oak Ridge, TN 37830 for any further assistance and to discuss any aspect of your request. Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer.

The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001, e-mail at ogis@nara.gov; telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

If you have any questions about the processing of the request or about this letter, please contact Madelyn M. Wilson at

Sincerely,



Madelyn M. Wilson
FOIA Officer
DOE OSTI
1 Science.gov Way
Oak Ridge, TN 37830

ER-16

Polansky
05/26/89

May 26, 1989

ER-16

Gajewski
05/26/89

Mr. D. A. Kelly
Technidyne Associates
P. O. Box 11422
Clearwater, FL 34616

Dear Mr. Kelly:

Your letter of May 17, 1989, with enclosures, to Admiral Watkins, Secretary of Energy, on the subjects of "cold" fusion and the Swiss M-L Converter has been referred to me for reply.

The Department of Energy is cautiously optimistic about recent disclosures regarding a possible breakthrough in nuclear fusion research. The benefits would be overwhelming if an unlimited and benign energy source results from this research. Even if these preliminary claims prove to be partially true, a new field of science will have emerged with potentially profound benefits for society. We also need to remain objective because, throughout history, science has been littered with enthusiastic claims of technical achievements which subsequently resulted in disappointment.

The Department is actively pursuing the validation of experiments reported to date and is keeping an open mind as to what the process of scientific discovery will reveal. We are committed to actively follow these developments with great interest, with an eye toward any implications for future energy technologies.

The information you provided on the M-L Converter is insufficient for me to offer an informed opinion on the technical merit of this device. However, the M-L Converter might be suitable for consideration under the Energy-Related Inventions Program, operated jointly by the Department of Energy and the National Institute of Standards and Technology (formerly the National Bureau of Standards). A brochure describing that program is enclosed for your review and consideration.

Thank you for sharing your ideas with us. I wish you well in your endeavors.

Sincerely,

bcc: S
DS
US
MA-1.22
DO/4
ER-622, Fst1

Ryszard Gajewski, Director
Division of Advanced Energy Projects
Office of Basic Energy Sciences, ER-16

Enclosure

ES Ref#89-007409; ER Ref#89-218

PREPARED BY: WPolansky/lh:ER-16:5/26/89:3-5995

DISCLAIMER

Portions of this document may be illegible in electronic image products. Images are produced from the best available original document.

New Energy Times

FROM: Kelly, D A Technidyne Associates		DATE OF DOCUMENT: 5/17/89	DATE RECEIVED: 5/23/89	NO: 89-218
TO: James Watkins		LTR: X	MEMO:	REPORT: OTHER:
REG. NO:		DUE DATE: 6/2/89	FILE CODE:	DATE ANSWERED: BY:
DESCRIPTION (Must Be Unclassified) Regarding Cold Fusion And The Features Of The Swiss M-L Coverter		REFERRED TO:	DATE	RECEIVED BY:
		Gajewski-Action	5/23	
		I. Adler-Info	5/23	
ENCLOSURES:				
REMARKS: ES# 89-007409 Reply direct DUE 6/2/89		DESTRUCTION RECORD: COPY NUMBER(S) _____ PAGE COUNT _____ DATE: _____ DESTROYED BY: _____		

ACTION

New Energy Times



U.S. DEPARTMENT OF ENERGY
CORRESPONDENCE CONTROL FORM
OFFICE OF THE EXECUTIVE SECRETARIAT

ACTIVITY ADD DO NOT DETACH FROM ORIGINAL CORRESPONDENCE
SOURCE CODE PM PUBLIC MAIL

15159

SPEC INT: _____ CONTROL NO: ESB9-007409
DATE CORR: 05/17/89 DATE RECD: 05/22/89 DATE CNTRL: 05/22/89 DATE DUE: 06/06/89
LETTER: MEMO: TWX: OTHER: TO: SECY: DEP SEC: UN SEC: OTHER:

FROM: KELLY, D A FL 0
TECHNIDYNE ASSOCIATES

REMARKS:

SUBJ: NUCLEAR
FUSION
REGARDING COLD FUSION AND THE
FEATURES OF THE SWISS M-L
CONVERTER

FOR USE BY ACTION OFFICE ONLY

	ACTION REFERRED TO	DATE	RETURN TO	DUE DATE
1				
2				
3				

ACTION TO: ER

TYPE ACTION: Reply direct

SIG OF: ER

CONCURRENCE:

INFORMATION: S DS US MA1.22 DD4

FILE CODE: PMKELLY-ESB9007409

CONTROL ANALYST: B. ATCHERSON... 5075

ALL DOCUMENTS FOR THE OFFICE OF THE SECRETARY
MUST BE FORWARDED TO THE OFFICE OF THE EXECUTIVE SECRETARIAT FOR FINAL PROCESSING

New Energy Times

830218

TECHNIDYNE ASSOCIATES

Alternate Energy Systems

P. O. Box 11422
Clearwater, FL

34616
(813) 442-3923

U.S. Department of Energy (D.O.E.)
Office at Headquarters/Washington, D.C.
Washington, D.C., 20545

May 17, 1989

Secretary Watkins /D.O.E.

Dear Secretary Watkins:

We are enclosing some information relevant to an alternate energy source which has received little or no attention by the D.O.E.

The enclosed letter/copies to N.A.S.A. and "raum & zeit" in Germany describe the various features of the Swiss M-L Converter, or "Testitaka", as they call it. Most people in the various government agencies are now totally unaware of the fact that electrical "perpetual motion" is now an accomplished fact, and that therefore the U.S. is now slipping in certain technological areas, and generally unaware of the true nature of energy physics!!

While there is much current activity on the so-called "cold fusion" process with many claims and counter-claims being made for its validity, these researchers are also unaware that the over-unity operation (over 100% eff.) that they are seeking has already been achieved by the Swiss with their excellent "Testatike" technology.

Room temperature fusion, if proven valid, will be several decades away from market realization, while on the other hand the Swiss now have three of these "Testatikas" of various sizes in operation at this time!! You may ask about the o/u/o ratio of these M-L converters, and it is now estimated at about 10⁶ to 1, due to the fact that it is a self-propelled, self-sustained operating system, with no input power source required.

We are now at the point where we now understand the physical theory behind this M-L Converter, but are still puzzled by some of the solid-state components which are now the subject of extensive study, at this time.

The various enclosed references will describe the general spec on this excellent energy system, for your review and consideration.

We are now attempting to find out if the multi-million dollar offer from N.A.S.A. to Methernitha is factual, or just a way of gaining some cheap attention to this system!

P.S. Let us hope that the other major nations don't catch onto the real value of this system, before we do!!

encl: (4)

Yours truly,
D.A. Kelly
D.A. Kelly

REFERENCE: U.S.-DOE % Sec. Watkins 5/17/89

TECHNIDYNE ASSOCIATES
Alternate Energy Systems

P. O. Box 11422
Clearwater, FL
34616
(813): 442-3923

National Aeronautics & Space Administration (NASA)
Office at Headquarters/ Washington, D.C.
400 Maryland Avenue, S.W.
Washington, D.C., 20545

May 17, 1989

Dr. James Fletcher
Administrator/ N.A.S.A.

Dear Dr. Fletcher:

We have recently been advised that N.A.S.A. has shown an interest in, and made an offer for the rights to the Swiss M-L Converter, also known as the "Testatika", which is the present property of the religious group "Methernitha" located in Linden, near Bern in Switzerland.

This is most interesting news to us, since we have been involved in trying to duplicate this remarkable free energy machine for several years, without much success. We have, however, reached the point where we believe that we understand most of the physical theory behind this excellent energy system, as noted in the letter/copy to Mr. Ehlers of "raum & zeit" (space & time) GR.

The actual operating components within the solid state portion still remain a mystery to most researchers, although we are now slowly beginning to sift through what they may, or may not be, on a trial and error basis.

This report also states that the group "Methernitha" has refused the N.A.S.A. multi million dollar offer for the plans and rights to their "Testatika", because they fear that this project work will find its way into the current "Stars Wars" R & D project work!

To us, such a statement is utter nonsense, since the power output of the various sizes (3) of "Testatikas" is miniscule compared to the requirements of the D.O.D. in the "Star Wars" R & D effort.

Even if a "scale factor" were applied to the building of a suitable "Testatika" system for the D.O.D.'s requirements it would have to be about a hundred feet in diameter to even approach their requirement for a suitable high wattage power source!!

Their whole argument seems to be "a straw man" approach to not releasing the plans and details to this remarkable new energy technology, which makes the present U.S. efforts (mostly non-existent) in the alternate energy field look like "tinker-toys"!!

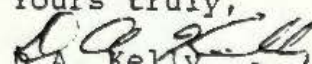
The point that we are trying to make here is that this excellent free energy system offers N.A.S.A. a remarkable benign space power source, within the useful wattage ranges required by most space vehicles.

It further, and probably more importantly, offers the general public a practical way towards energy decentralization, and relief from the intolerable dependence on foreign energy supplies!!!

We will appreciate your review of this information, at your convenience.

P.S. Unless we are advised otherwise,
we must assume that N.A.S.A. did
make this offer to Methernitha!

encl: (2)

Yours truly,


APPENDIX B - PROJECT SUMMARY
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

5/17/89

REFERENCE

SBIR 89-1 SOLICITATION
(Instructions on Reverse Side)

PROPOSAL NUMBER
(TO BE COMPLETED BY PROPOSER)

4 DIGIT SUBTOPIC NUMBER	LAST 4 DIGITS OF FIRM PHONE NO.	CHANGE LETTER
-------------------------------	---------------------------------------	------------------

COPY For D.O.E.

89-1

AMOUNT REQUESTED: \$

TITLE OF PROJECT

ELECTROSTATIC ENERGY CONVERSION SYSTEM

TECHNICAL ABSTRACT (LIMIT 200 WORDS)

The electrostatic energy conversion system, or E.E.C.S.) consists of a Wimshurst influence type of electrostatic generator in which the high voltage, low amperage E.M.F. is amplified in the solid state section of the system. The electrostatic (Wimshurst) discs produce an output of about 75KV at 2ma, for a wattage output of about 150 watts.

The solid state portion of this system provides an amplification factor of about 20:1, by the application of the Coler Effect, or (coils-over-magnet) The Coler Effect alone, does not account for the very large amplification factor, and it is most probable that the operation of this system at its own natural resonant frequency accounts for the full amplification value.

The D.C. output of this E.E.C.S. is therefore in the range of from 2600 to a maximum of 3000 watts/D.C.

This system has been built and proven successful, and there are now 3 operating models of it constructed in various sizes and output ranges.

The E.E.C.S. is presently the property of a group in a foreign nation, and the patent rights are uncertain, or not established, to the best of our knowledge.

The E.E.C.S. by its basic nature is a self-propelling, self-sustained electromechanical arrangement and due to its advanced technology is proof of the reality of electrical "perpetual motion" and if this is doubted, - then it may be best kept in its own nation, as proof of our backwardness!!

POTENTIAL APPLICATIONS OF THE RESEARCH

The present existence and reality of this E.E.C.S. make the possibility of decentralized energy for homes, factories, businesses closer to eventual commercial acceptance. The system runs slowly at about 1rps, is silent, and at the low speed of operation nearly maintenance free, or at greatly reduced levels.

KEY WORDS
(LIMIT 8)

A proven and useful over-unity-output system!

NAME AND ADDRESS OF OFFEROR

Technidyne Associates
P.O. Box 11422
Clearwater, FL, 34616

PRINCIPAL INVESTIGATOR

D.A. Kelly, Director

TECHNIDYNE ASSOCIATES

Alternate Energy Systems

REFERENCE:

Ehlers Verlag GmbH / "raum & zeit"
Hohenzollernstrasse 60
8000 Munchen 40 , West Germany

P. O. Box 114
Clearwater, FL
34616
(813): 442-3923

May 11, 1989

Mr. Hans Joachim Ehlers
Chief Editor

Dear Mr. Ehlers:

In response to your letter of May 3, I wish to thank you very much for your projected publishing of my article on the Swiss M-L Converter as first presented in "Magnets" magazine. (Dec./88 issue)

I have been aware of "raum & zeit" through a colleague, Rolf Schaffranke of Young Harris, GA, and from time to time he has given me news items of European free energy activity through r & z.

In regard to this "Magnets" article, we have now reached some conclusions about the M-L Converter (Testatika) which were not apparent to us at the time of its release for publication.

Since I do not wish to complicate nor confuse your projected M-L article, I would like to provide these additional opinions in an itemized commentary form, so that it may be kept separate from the article itself, if you may wish to consider adding these views.

- ✓ 1) The only person who knows exactly how the M-L Converter work is its inventor, Paul Baumann, and possibly a few close associates. Neither I, nor Albert Hauser, nor Stefan Marinov, or any other researcher to my knowledge knows the complete functioning of this excellent free energy system.
- ✓ 2) The M-L Converter, or Testatika is definitely a D.C. output system, which is verified by the several loads applied to it such as resistance heaters and electric light bulbs!
- ✓ 3) It is possible that there may be an intermediate A.C. circuit within the M-L system, since the electrostatic discs may be arranged in a 50% out-of-phase relationship to provide a sinusoidal wave form. The inclusion of the crystal diode module would indicate that half or full wave rectification may take place within the final stage of the Converter.
- ✓ 4) One way to approach a resolution to the functioning of the M-L Converter is to enumerate what we do know about it, and then see what puzzle pieces fit into the overall puzzle of We do know that various electrostatic generators such as the Wimshurst, Holtz machines can produce up to about 75KV, at about 2ma, for a wattage output of 150 watts, or thereabouts. The stated output of the M-L system is 220-300 volts D.C., at 10 amperes, or between 2200 and 3000 watts, presumably at no load! From these rough numbers we can then see that a watt amplification factor of approximately 20:1 must be accounted for within this excellent free energy system!

TECHNIDYNE ASSOCIATES

Alternate Energy Systems

P. O. Box 11422
Clearwater, FL
34616
(813): 442-3923

May 11, 1989

- 5) What, then are the possible physical effects that can meet this wattage amplification factor of about 20:1? (U.K.)
- We must start out with the fact that Sir Oliver Lodge has taught us that lightning flashes/spark discharges consist of oscillatory currents rather than simple direct current in one direction. This may, or may not have a bearing on the operation of the M-L Converter, and this factor must be weighed, along with some other effects.
 - Augustus A. Rowland, American physicist (1848-1901) who studied under Helmholtz in Berlin, teaches us that: "an electrostatic charge(s) carried at a high rate of speed has the same magnetic action as an electric current!!"
 - So, now we have a connection between electrostatic and electrical current in having a magnetic action, and hence, we can now consider the work of Hans Coler (Germany, 1945) who has taught us that electrical coils wound over permanent magnets can produce such an electrical amplification factor, but the magnitude of this effect is uncertain to date.
 - We see clear evidence of the existence of "coils over magnets" in this M-L Converter in at least four places, i.e.: within both of the large side capacitors, and over both "horseshoe magnets" in the foreground of the system! It remains unlikely that the Coler Effect, alone, can account for the extremely large amplification factor in this system but when coupled the probability that the entire M-L system operates at its own natural resonant frequency, we do have a possible explanation for how this system may function.
 - The great Nikola TESLA has taught us that that electrical coils operating at their resonant frequency can produce phenomenal outputs compared to the same coil operating outside of its discrete resonant frequency!

While this explanation of a possible solution for the operation of the M-L Converter may not be entirely correct, or may leave out some other factors, it may provide "food-for-thought" for other researchers who may be attempting to resolve the puzzle of the Testatika, at this time.

I wonder if that laughing that we hear may be that of GOD, who must wonder why mankind does not learn to work together to solve our mutually pressing Worldwide environmental problems and the true nature of HIS - physical universe??

The Swiss M-L Converter, or TESTATIKA, is a clear example of the combined wisdom from all the Western nations, Switzerland, Germany, the U.K. the U.S. and some others, and as such should serve as a guideline for a further international cooperation in solving our various environmental dilemmas!

Sincerely,

Don Kelly
Don Kelly

Samstag, den 2. Juli 1988

Blatt -2-

- 251 -

5/17/87

Der Besuch in Linden b. Oberdiessbach bei der Genossenschaft "Methernitha" :

Wir waren heute in Linden bei Oberdiessbach bei der religiösen Genossenschaft "Methernitha" zu Gast. Am Sonnrain besuchten wir unsere bekannte Frau Dr. med. Hanni Mürger, die neben uns in Aeschi ein Chalet sass. Frau Dr. Mürger ist 1900 geboren und ist Mitglied dieser tätigen Grossvereinigung. Im Hause nebenan am Sonnrain betreibt die "Methernitha" eine mechanische Werkstatt, die von Herrn Lutzius Cathomen in-Mechaniker, betreut wird. Wir besuchten diese Werkstätte, die mit modernsten Werkzeugmaschinen "Oerlikon" installiert war. Herr Lutzius Cathomen erzählten wir von unserem Buch, das wir geschrieben haben, mit dem Titel : "Aether-Energie, unsere neue, unerschöpfliche Energiequelle", das in einer Auflage von 10'000 Exemplaren Ende Juli 88 Selbst-Verlag Kaspar & Karlen, Aeschi, zu einem Preise von Fr.20.-- erscheint. Zudem berichteten wir ihm von dem besuchten Kongress für Energie-Technologie, der am 14./15. Mai in Berlin stattfand.

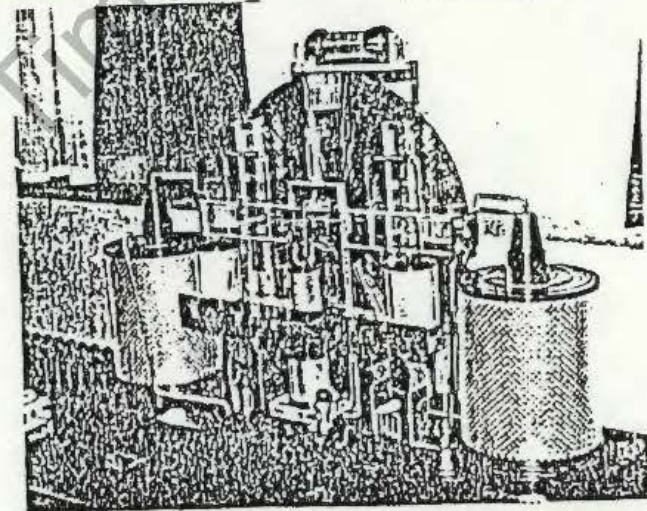
Herr Cathomen sagte uns, Professor Malinov aus Graz, den wir am Kongress in Berlin kannten, wo dieser als Referent auftrat, sei ebenfalls gegenwärtig auch in Linden in Begleitung von ihrem Mitglied Herrn Heinrich Steinemann, der in CH-8165 Wassen-Schleinikon /ZH ein Büro für Energie-Technik & Biophysik betreibt.

Herr Lutzius Cathomen arbeitete an diesem Samstag -Nachmittag an der 11. Testatika - Energie-Maschine, die alle in Linden mit eigenen Leuten und mit selber fabriziertem Kunststoff-Material konstruiert sind. Mit so einer Testatika, auch Konverter genannt, werden in Linden je nach Grösse der 2 Schwungräder, die gegeneinander laufen und Hand in Hand in Lauf gebracht werden, ca. 3 Kilowatt elektr. Energie aus der Sonne erzeugt. Bei Sonnenschein steigert sich die Energiemenge auf 4 KW. Wenn alle 10 Konverter eingesetzt werden und dazu noch die Windmühlen laufen, so haben die 180 Personen und Betriebe der Genossenschaft "Methernitha" genügend elektr. Strom für ihre verschiedenen Bedürfnisse. Wenn dazu noch ein starker Wind weht, so erzeugen die Windmühlen, die direkt auf der Wasserscheide Aars / Emme in Linden installiert sind, genügend Strom, dass noch überschüssige Energie in das Netz der Bernischen-Kraftwerke (BKW) eingespeisen werden können. In solchen Fällen vergüten die BKW pro Kilowatt einen Preis von 2 Cts. Haushalt-Kunden der BKW bezahlen bis anhin pro KW. 17,3 Rappen. In den nächsten Jahren haben die BKW wieder 1 Rappen aufgeschlagen, neu 18,3 Rp. pro Kilowatt, das heisst haben die BKW im 1987 einen Gewinn von über

100 Millionen Franken erwirtschaftet. Ein Preisaufschlag ist daher gar nicht gerechtfertigt.

Die N A S A soll der "Methernitha" 600 Millionen Dollar, geschrieben sechshundert Millionen Dollars, offeriert haben für die Pläne und Patente dieser Testatikas (Konverter). Die "Methernitha" hat diese Offerte dankend abgelehnt, sagte uns Lutzius Cathomen.

Herr Lutzius Cathomen setzte nun einen Konverter in Gang. Dieser lief nach einem Ankick von Hand lautlos. Das interessanteste an diesen Energie-Maschinen ist, dass diese Energie gratis ist, dass diese Energie aus dem All unerschöpflich ist und unsere Umwelt in keiner Weise schädigt. (Siehe Photo)



M-L Converter

Die im Bilde sichtbaren runden Scheibenräder haben einen Durchmesser von je einem Meter. Diese werden von Hand gegeneinander rotierend in Bewegung gesetzt. Sie bleiben danach in Bewegung und "sortieren" den ionisierten Luftanteil nach Plus und Minus. Durch die Rotation kommt es zu zyklischen Aufladungen und Entladungen, wobei "kosmische Energie" in Nutz-Energie umgewandelt wird. Das hier im Bilde wiedergegebene Gerät leistet etwa 3 - 4 Kilowatt an elektrischer Energie, arbeitet absolut rückwirkungsfrei und wiegt ca. 20 Kilogramm. Bei seiner Funktion wirken 3 Frequenzen aufeinander ein. Schon im Jahre 1916 hat Rudolf Steiner vorausgesagt, dass es auf "ineinanderklingende Schwingungen" ankommen werde.

* REFERENCE from Stefan M...

back to TWT - 5th Edition

port is by award, but assistance has included contracts and testing of the invention at one of the DOE facilities. Many of the inventions that NBS has recommended to DOE are beyond the development stage and require assistance in market surveys or the preparation of financial or business plans. DOE may provide this type of support by a grant or through arrangements with non-profit technology innovation centers.

DOE cannot provide funds for what is normally considered capital costs, such as for production tooling. DOE has an agreement with the Small Business Administration (SBA) that provides for the SBA to give particular attention to loan requests from inventors recommended under this program in order to meet such capital needs.

How can I be sure the Government will respect my rights as an inventor?

Government procedures for handling invention disclosures have been established to safeguard the proprietary rights of the inventors. During NBS evaluation, the disclosures are kept under strict control with access restricted to personnel of the Office of Energy-Related Inventions (OERI) and to those selected by the Office to assist in evaluation of the disclosures. All personnel of the OERI and other government evaluators are required to sign statements that advise them of the procedures and 18 U.S.C. 1905, which provides for criminal penalties that may be imposed on a government employee for unauthorized release of confidential information, including trade secrets. Special provisions are included in evaluation contracts that require evaluators to adhere to security provisions established by OERI. These provisions provide safeguards against evaluators participating in an evaluation where there is or may be a conflict of interest.

The government, however, cannot withhold information in a disclosure when a request is made under the Freedom of Information Act, 5 U.S.C. 552, unless the information comes within one of the exemp-

tions specified in the Act. For example, a disclosure contains information that is identified as a trade secret, the information does come within the exemption set out in Section (b) (4) of the Act and the request will be denied.

Submission to NBS for evaluation does not constitute public disclosure. The inventor does not lose any rights to his invention in the evaluation process.

What is the DOE's patent policy regarding the rights to inventions?

The DOE patent policy is geared to provide patent incentives to individual inventors and small businesses under the inventors' program. One way of supporting this policy is by DOE waiving the Government's right to title in grants for the development of NBS-evaluated inventions. A special class waiver has been established for the program to apply where individual inventors or small companies receive grants under \$100,000. Requests for waivers from other support recipients will be considered individually. When waivers are granted, the patent provisions do not normally include any background patent rights provisions.

How do I submit my invention to be evaluated?

To submit an energy-related invention to NBS for evaluation, write to:

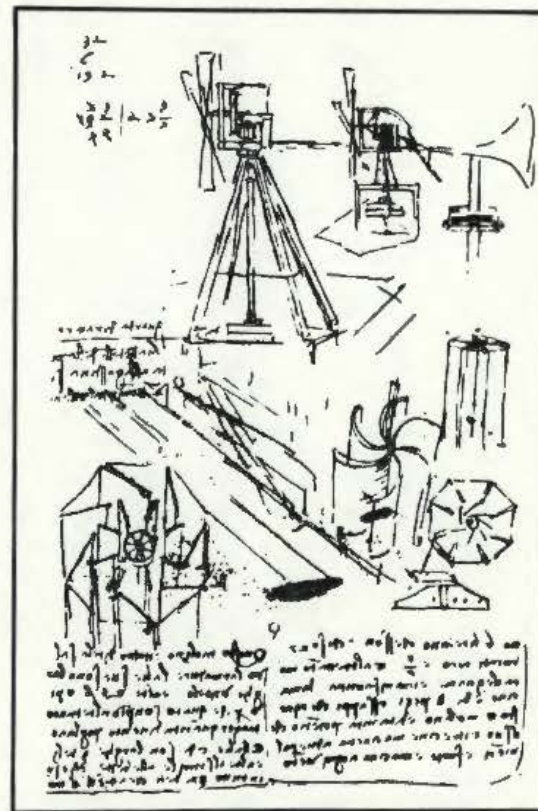
Office of Energy-Related Inventions
National Bureau of Standards
Gaithersburg, MD 20899

Ask for an Evaluation Request Form (NBS-1019). Fill out the form and return it with a description of your invention and the material needed to support your claims. Anyone may submit an invention to NBS and have it evaluated. There is no fee, and no obligation—financial or otherwise—is incurred by the inventor.



The NBS/DOE Energy-Related Inventions Program

What it is and how it works



U.S. DEPARTMENT OF COMMERCE
National Bureau of Standards
National Engineering Laboratory
U.S. DEPARTMENT OF ENERGY

March 1987

The Federal Nonnuclear Energy Research and Development Act of 1974 (Public Law 93-577) established a comprehensive national program for research and development of all potentially beneficial energy sources and utilization technologies. This program is conducted by the U.S. Department of Energy (DOE).

An important part of this program is encouraging innovation in the development of energy technology. To help DOE carry out this responsibility, the Act directs the National Bureau of Standards (NBS) to evaluate all promising nonnuclear energy-related inventions, particularly those submitted by independent inventors and small companies for the purpose of obtaining direct grants for their development from DOE. NBS has established an Office of Energy-Related Inventions (OERI) to do these evaluations.

This leaflet contains answers to questions most frequently asked about the program.

What is the purpose of the Energy-Related Inventions Program?

The purpose of the program is to provide an opportunity for independent inventors and small businesses with promising energy-related inventions to obtain Federal assistance in developing and commercializing their inventions. NBS evaluates the inventions and recommends those considered sufficiently promising to DOE for support. DOE determines whether and how the recommended inventions should be supported and takes the necessary support action. DOE expects to support almost all NBS-recommended inventions. Although individual grant or contract awards have exceeded \$100,000, the average award is for \$70,000.

What qualifies as an invention?

A description of any new concept device, product, material, or industrial process may be submitted. The invention need not be patented.

The invention should be well described on paper; drawings are encouraged but need not be done professionally. Claims should be set forth clearly, pointing out how the invention is unique, how perform-

ance and costs are advantages over similar items on the market or in development, and how the invention will affect national energy objectives. The basis for the claims (for example, calculations or test data) must be included.

No models or samples of materials should be submitted unless specifically requested during the evaluation. NBS will not test your invention.

How do I know if my invention qualifies as energy-related?

If use of the invention would result in saving energy, more efficient use of energy, or increasing energy supplies from nonnuclear sources, the invention would be considered energy-related under this program; inventions concerned with the production or use of nuclear energy are **not**. If you have any doubts, submit the invention for evaluation and let NBS decide.

How will my invention be evaluated?

First, the submission will be reviewed to determine whether it is acceptable for evaluation. It will not be acceptable, for example, if it is not energy-related; if it deals with the production or use of nuclear energy; if the description and basis for claims are not clear and complete; or if there are obvious technical flaws as in the case of perpetual motion machines.

If the submission is acceptable, First-Stage evaluation is conducted in which brief technical opinions are obtained, usually independently, from OERI staff evaluators, other Government scientists or engineers, or consultants or contractors outside Government. The opinions are reviewed and integrated by an OERI staff engineer and a decision made as to the invention's potential. If the invention is rated as "promising," the Second-Stage evaluation is initiated. ("Promising" means the invention seems to be technically feasible, to have significant energy conservation or supply potential, and to be economically and commercially practical.)

In the Second-Stage evaluation a more in-depth analysis is conducted, and a formal report prepared. If, during the Second-Stage evaluation, the finding of "promising" is confirmed, the disclosure and evaluation results are forwarded with a recommendation of Government support to the Office of Invention and Innovative Programs. No testing is performed either in First- or Second-Stage evaluation.

How long does evaluation take?

The time will vary depending upon the subject area, the adequacy of the disclosure, as well as the volume of requests under consideration. Target processing times, however, are as follows:

- You should be notified by letter that your disclosure is acceptable or not acceptable within 4 weeks after submission.
- First-Stage evaluation should take from 8-16 weeks after submission. If your invention is not accepted for Second-Stage evaluation, you will receive a letter discussing the evaluation results.
- Second-Stage evaluation should require an additional 8-16 weeks. Whether or not a recommendation is made to DOE, you will receive a letter enclosing a copy of the Second-Stage report.

What occurs within DOE if my invention is recommended?

Within DOE the invention is assigned to an invention coordinator within the Office of Invention and Innovative Programs. The coordinator will ask you to submit a preliminary proposal describing the support you are seeking, including the work to be done. You will also be asked who will perform the work, how much it will cost, and what you hope to achieve as a result.

The invention description and your preliminary proposal will be reviewed by those in the DOE technical program most closely related to your invention. Their review will consider whether your preliminary proposal is a technically valid way of developing your invention and if the costs are reasonable and commensurate with the potential benefits.

The invention coordinator will weigh the NBS conclusions, your preliminary proposal, the review by the DOE technical program, and the availability of funds in arriving at feasible options for supporting your invention. The coordinator will discuss these options with you, and if the decision is made to support the development of your invention, will develop a statement of work in collaboration with you that describes what will be done with support provided under the program.

What type of assistance may be provided by DOE?

DOE is prepared to offer one-time-only assistance. Support in each case is decided on the basis of individual merit and need. The primary method of sup-