

**Request for Approval under the "Generic Clearance for the Collection of Routine Customer Feedback" (OMB Control Number: 0690-0030)**

**TITLE OF INFORMATION COLLECTION:**

Survey of Patent Applicants' Filing Software Usage and Tools

**PURPOSE:**

To obtain qualitative feedback from the public on the current Electronic Filing System (EFS-WEB) and to inventory the various software tools our external stakeholders (e-Patent Filers) use when filing electronically. This information will be used to aid the U.S. Patent and Trademark Office's (USPTO) efforts in modernizing the electronic system.

Information collected from customers will assist the USPTO in designing a system that comprehensively considers all customer concerns and will support efforts to enhance customer delivery and performance cycle time.

**DESCRIPTION OF RESPONDENTS:**

Any stakeholder who has an interest in the patent process and/or the filing of an electronic patent application.

**TYPE OF COLLECTION:** (Check one)

- |  |  |
|--|--|
| <input type="checkbox"/> Customer Comment Card/Complaint Form          | <input checked="" type="checkbox"/> Customer Satisfaction Survey |
| <input type="checkbox"/> Usability Testing (e.g., Website or Software) | <input type="checkbox"/> Small Discussion Group                  |
| <input type="checkbox"/> Focus Group                                   | <input type="checkbox"/> Other: _____                            |

**CERTIFICATION:**

I certify the following to be true:

1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does not raise issues of concern to other federal agencies.
4. The results are not intended to be disseminated to the public.
5. Information gathered will not be used for the purpose of substantially informing influential policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name: *Nelly Kizyris*

To assist review, please provide answers to the following question:

**Personally Identifiable Information:**

1. Is personally identifiable information (PII) collected? [ ] Yes [ x ] No

2. If Yes, is the information that will be collected included in records that are subject to the Privacy Act of 1974?  Yes  No
3. If Applicable, has a System or Records Notice been published?  Yes  No

**Gifts or Payments:**

Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants?  Yes  No

**BURDEN HOURS**

Category of Respondent	No. of Respondents	Participation Time	Burden
External USPTO Stakeholders	2500	12 min (.2 hrs)	500 hrs
<b>Totals</b>	<b>2500</b>		<b>500 hrs</b>

**FEDERAL COST:** The estimated annual cost to the Federal Government is \$23,320 (2500 responses x 0.2 hrs = 500 hrs; 500 hrs x \$46.64 = \$23,320).

The USPTO estimates that it takes a GS-12 step 1, 12 minutes (0.2 hours) to process the information from the survey. The hourly rate for a GS-12 step 1 is currently \$35.88 according to the U.S. Office of Personnel Management wage chart including locality pay for the Washington, D.C. area. When 30% is added to account for a fully loaded hourly rate (benefits and overhead), the rate per hour for a GS-12, step 1 is \$46.64. ( $\$35.88 + \$10.76 = \$46.64$ )

**If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:**

**The selection of your targeted respondents**

1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?  
 Yes  No

If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

An email list will be used to select the targeted respondents. The individuals on the email list have chosen to receive electronic communication from the USPTO for system-related information and announcements.

**Administration of the Instrument**

1. How will you collect the information? (Check all that apply)  
 Web-based or other forms of Social Media

- Telephone
- In-person
- Mail
- Other, Explain

2. Will interviewers or facilitators be used?  Yes  No

**Please make sure that all instruments, instructions, and scripts are submitted with the request.**

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The instrument used to deliver and administer the survey will be Survey Monkey. A hyperlink to the survey will be made available to the group of respondents via the USPTO e-Commerce Alert email.