

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

TITLE OF INFORMATION COLLECTION:

Outreach Sessions with Patent Applicants Regarding eFiling and Proposed Future Needs

PURPOSE:

To obtain qualitative feedback from the public on the current Patent 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)

- Customer Comment Card/Complaint Form
- Usability Testing (e.g., Website or Software)
- Focus Group

- Customer Satisfaction Survey
- Small Discussion Group
- 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: _____

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

Personally Identifiable Information:

- 1. Is personally identifiable information (PII) collected? Yes 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 Hours
External USPTO Stakeholders (Private Sector)	350	3 hrs	1,050
Totals	350		1,050

FEDERAL COST:

The estimated annual cost to the Federal government is \$2,611.84 (56 hours x \$46.64 per hour = \$2,611.84).

56 hours: The USPTO estimates that it takes a GS-12 step 1, 56 hours to collect and process the information. This is estimated at 3.0 hours to conduct the focus sessions and 1 hour to process. (3 hours x 14 sessions = 42 hours; 1 hour x 14 sessions = 14 hours; 42 + 14 = 56 hours).

\$46.64 per hour: 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?

A variety of forms of communication will be used to advertise the times and dates of the focus session which will request stakeholders to volunteer to participate in the sessions. A cross-sampling of volunteers will be selected to be representative of all stakeholders(i.e., large filers, small filers and independent inventors)

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

We are currently planning 14 sessions with a maximum of 25 attendees per session.

The focus sessions will be conducted live and in-person on the USPTO campus. Slides will be used to structure the focus group events. If attendance is unexpectedly low, the office may take the opportunity to conduct some focus sessions as webinars using the slides, if the on campus participation is low and there is a need to modify the method of collection.

2. Will interviewers or facilitators be used? Yes No

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

Instructions for completing Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback”

TITLE OF INFORMATION COLLECTION: Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

PURPOSE: Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

DESCRIPTION OF RESPONDENTS: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

TYPE OF COLLECTION: Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

CERTIFICATION: Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

Personally Identifiable Information: Provide answers to the questions.

Gifts or Payments: If you answer yes to the question, please describe the incentive and provide a justification for the amount.

BURDEN HOURS:

Category of Respondents: Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households; (2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected.

No. of Respondents: Provide an estimate of the Number of respondents.

Participation Time: Provide an estimate of the amount of time required for a respondent to participate (e.g. fill out a survey or participate in a focus group)

Burden: Provide the Annual burden hours: Multiply the Number of responses and the participation time and divide by 60.

FEDERAL COST: Provide an estimate of the annual cost to the Federal government.

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. Please provide a description of how you plan to identify your potential group of respondents and how you will select them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

Administration of the Instrument: Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.

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