

**SUPPORTING STATEMENT**  
**United States Patent and Trademark Office**  
**Patent Prosecution Highway (PPH) Program**  
**OMB CONTROL NUMBER 0651-0058**  
**(January 2015)**

**A. JUSTIFICATION**

**1. Necessity of Information Collection**

The Patent Prosecution Highway (PPH) is a framework in which an application whose claims have been determined to be patentable by an Office of Earlier Examination (OEE) is eligible to go through an accelerated examination in an Office of Later Examination with a simple procedure upon an applicant's request. By leveraging the search and examination work product of the OEE, PPH programs (1) deliver lower prosecution costs, (2) support applicants in their efforts to obtain stable patent rights efficiently around the world, and (3) reduce the search and examination burden, while improving the examination quality, of participating patent offices.

Originally, the PPH programs were limited to the utilization of search and examination results of national applications between cross filings under the Paris Convention. Later, the potential of the PPH was greatly expanded by PCT-PPH programs, which permit participating patent offices to draw upon the positive results of the PCT work product from another participating office. PCT-PPH programs use international written opinions and international preliminary examination reports developed within the framework of the PCT, thereby making the PPH available to a larger number of applicants. Information collected for the PCT is approved under OMB control number 0651-0021.

More recently, the USPTO and several other offices acted to consolidate and replace existing PPH programs, with the goal of streamlining the PPH process for both offices and applicants. To that end, the USPTO and other offices established the Global PPH pilot program and the IP5 PPH pilot program. The Global PPH and IP5 PPH pilot programs are running concurrently and are substantially identical, differing only with regard to their respective participating offices. The USPTO is participating in both the Global PPH pilot program and the IP5 PPH pilot program. For USPTO applications, the Global PPH and IP5 PPH pilot programs supersede any prior PPH program between the USPTO and each Global PPH and IP5 PPH participating office. Any existing PPH programs between the USPTO and offices that are not participating in either the Global PPH pilot program or the IP5 PPH pilot program remain in effect.

For more complete information on the PPH, including (1) a complete identification of participating countries and offices and the programs under which each country/office is participating, (2) the forms needed to request entry into the PPH, both at the USPTO and other participating offices, and (3) information as to which of the PPH programs

remain pilots and which have been made permanent, please visit [http://www.uspto.gov/patents/init\\_events/pph/index.jsp](http://www.uspto.gov/patents/init_events/pph/index.jsp).

The forms in this collection allow participants to file in a U.S. application a request to make the U.S. application special under a PPH or PCT-PPH program.

Table 1 provides the specific statutes and regulations authorizing the USPTO to collect the information discussed above:

**Table 1: Information Requirements for the PPH Program**

IC Number	Requirement	Statute	Rule
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
2-28	Request for Participation in the PPH Program Between the USPTO and the IPAU, APO, INPI, CIPO, SIPO, SIC, IPOCZ, DKPTO, EPO, NBPR, DPMA, HPO, IPO, Israeli Patent Office, JPO, KIPO, IMPI, NRIP, NIPO, IPOPH, UPRP, INPI-PT, ROSPATENT, IPOS, SPTO, TIPO, or UKIPO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
29	Request for Participation in the PCT-PPH Pilot Program in a U.S. Application Where the USPTO was the ISA or IPEA	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
30-42	Request for Participation in the PCT-PPH Pilot Program Between the USPTO and the IPAU, APO, CIPO, SIPO, EPO, NBPR, ILPO, JPO, KIPO, NPI, ROSPATENT, SPTO, or PRV	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)

## 2. Needs and Uses

This information collection is necessary so that patent applicants may participate in the PPH or PCT-PPH programs between the USPTO and other patent offices in order to receive the benefits of more efficient examination. The USPTO provides forms to assist the public with requesting participation and submitting the required information for each program.

The information collected, maintained, and used in this collection is based on OMB and USPTO guidelines. This includes the basic information quality standards established in the Paperwork Reduction Act (44 U.S.C. Chapter 35), in OMB Circular A-130 and in the OMB information quality guidelines.

Table 2 outlines how this collection of information is used by the public and the USPTO:

**Table 2: Needs and Uses of Information Collection for the PPH Program**

IC Number	Form and Function	Form #	Needs and Uses
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO (PTO/SB/20GLBL)	PTO/SB/20GLBL	<ul style="list-style-type: none"> <li>Used by the public to request participation in the program and submit the required information.</li> <li>Used by the USPTO to determine whether the applicant is eligible for the program and to advance the examination of eligible applications.</li> </ul>
2	Intellectual Property Office of Australia (IPAU), Form PTO/SB/20AU	PTO/SB/20AU	<ul style="list-style-type: none"> <li>Used by the public to request participation in the PPH program and submit the required information.</li> <li>Used by the USPTO to determine whether the applicant is eligible for the PPH program and to advance the examination of eligible applications.</li> </ul>
3	Austrian Patent Office (APO), Form PTO/SB/20AT	PTO/SB/20AT	
4	Instituto Nacional da Propriedade Industrial (Brazil)(INPI), Form PTO/SB/20BR	PTO/SB/20BR	
5	Canadian Intellectual Property Office (CIPO), Form PTO/SB/20CA	PTO/SB/20CA	
6	State Intellectual Property Office of the P.R.C. (SIPO), Form PTO/SB/20CN	PTO/SB/20CN	
7	Colombian Superintendence of Industry and Commerce (SIC), Form PTO/SB/20CO	PTO/SB/20CO	
8	Industrial Property Office of the Czech Republic (IPOCZ), Form PTO/SB/20CZ	PTO/SB/20CZ	
9	Danish Patent and Trademark Office (DKPTO), Form PTO/SB/20DK	PTO/SB/20DK	
10	European Patent Office (EPO), Form PTO/SB/20EP	PTO/SB/20EP	
11	National Board of Patents and Registration of Finland (NBPR), Form PTO/SB/20FI	PTO/SB/20FI	
12	German Patent and Trade Mark Office (DPMA), Form PTO/SB/20DE	PTO/SB/20DE	
13	Hungarian Patent Office (HPO), Form PTO/SB/20HU	PTO/SB/20HU	
14	Icelandic Patent Office (IPO), Form PTO/SB/20IS	PTO/SB/20IS	
15	Israeli Patent Office (ILPO), Form PTO/SB/20IL	PTO/SB/20IL	
16	Japan Patent Office (JPO), Form PTO/SB/20JP	PTO/SB/20JP	
17	Korean Intellectual Property Office (KIPO), Form PTO/SB/20KR	PTO/SB/20KR	
18	Mexican Institute of Industrial Property (IMPI), Form PTO/SB/20MX	PTO/SB/20MX	
19	Nicaraguan Registry of Intellectual Property (NRIP), Form PTO/SB/20NI	PTO/SB/20NI	
20	Norwegian Industrial Property Office (NIPO), Form PTO/SB/20NO	PTO/SB/20NO	
21	Intellectual Property Office of the Philippines (IPOP), Form PTO/SB/PH	PTO/SB/20PH	
22	Intellectual Property Office of the Republic of Poland (UPRP) Form PTO/SB/20PL	PTO/SB/20PL	
23	Portuguese Institute of Industrial Property (INPI-PT), Form PTO/SB/PT	PTO/SB/20PT	

IC Number	Form and Function	Form #	Needs and Uses
24	Russian Federal Service for Intellectual Property (ROSPATENT), Form PTO/SB/20RU	PTO/SB/20RU	<ul style="list-style-type: none"> <li>Used by the public to request participation in the PPH program and submit the required information.</li> <li>Used by the USPTO to determine whether the applicant is eligible for the PPH program and to advance the examination of eligible applications.</li> </ul>
25	Intellectual Property Office of Singapore (IPOS), Form PTO/SB/20SG	PTO/SB/20SG	
26	Spanish Patent and Trademark Office (SPTO), Form PTO/SB/20ES	PTO/SB/20ES	
27	Taiwan Intellectual Property Office (TIPO), Form PTO/SB/20TW	PTO/SB/20TW	
28	United Kingdom Intellectual Property Office (UKIPO), Form PTO/SB/20UK	PTO/SB/20UK	
29	U.S. Applications Where the USPTO was the ISA or IPEA, Form PTO/SB/20PCT-US	PTO/SB/20PCT-US	<ul style="list-style-type: none"> <li>Used by the public to request participation in the PCT program and submit the required information.</li> <li>Used by the USPTO to determine whether the applicant is eligible for the program and to advance the examination of eligible applications.</li> </ul>
30	Intellectual Property Office of Australia (IPAU), Form PTO/SB/20PCT-AU	PTO/SB/20PCT-AU	
31	Austrian Patent Office (APO), Form PTO/SB/20PCT-AT	PTO/SB/20PCT-AT	<ul style="list-style-type: none"> <li>Used by the public to request participation in the PCT program and submit the required information.</li> <li>Used by the USPTO to determine whether the applicant is eligible for the PCT program and to advance the examination of eligible applications.</li> </ul>
32	Canadian Intellectual Property Office (CIPO), Form PTO/SB/20PCT-CA	PTO/SB/20PCT-CA	
33	State Intellectual Property Office of the P.R.C. (SIPO), Form PTO/SB/20PCT-CN	PTO/SB/20PCT-CN	
34	European Patent Office (EPO), Form PTO/SB/20PCT-EP	PTO/SB/20PCT-EP	
35	National Board of Patents and Registration of Finland (NBPR), Form PTO/SB/20PCT-FI	PTO/SB/20PCT-FI	
36	Israeli Patent Office (ILPO), Form PTO/SB/20PCT-IL	PTO/SB/20PCT-IL	
37	Japan Patent Office (JPO), Form PTO/SB/20PCT-JP	PTO/SB/20PCT-JP	
38	Korean Intellectual Property Office (KIPO), Form PTO/SB/20PCT-KR	PTO/SB/20PCT-KR	
39	Nordic Patent Institute (NPI), Form PTO/SB/20PCT-NPI	PTO/SB/20PCT-NPI	
40	Russian Federal Service for Intellectual Property (ROSPATENT), Form PTO/SB/20PCT-RU	PTO/SB/20PCT-RU	
41	Spanish Patent and Trademark Office (SPTO), Form PTO/SB/20PCT-ES	PTO/SB/20PCT-ES	
42	Swedish Patent and Registration Office (PRV), Form PTO/SB/20PCT-SE	PTO/SB/20PCT-SE	

### 3. Use of Information Technology

The forms associated with this collection may be downloaded from the USPTO Web site in Portable Document Format (PDF) and filled out electronically. Requests to participate in the PPH and PCT-PPH programs must be submitted online using EFS-Web, the USPTO's Web-based electronic filing system.

EFS-Web allows customers to file patent applications and associated documents electronically through their standard Web browser without downloading special software, changing their document preparation tools, or altering their workflow processes. Typically, the customer will prepare the forms or documents as standard PDF files and then upload them to the USPTO servers using the secure EFS-Web interface. EFS-Web offers many benefits to filers, including immediate notification that a submission has been received by the USPTO, automated processing of requests, and avoidance of postage or other paper delivery costs.

#### **4. Efforts to Identify Duplication**

The information collected is required to process requests to participate in the PPH or PCT-PPH programs and enable fast-track examination. This information is not collected elsewhere and does not result in a duplication of effort. If any of the documents required for participation in the programs have already been filed in the U.S. application, the applicant will not need to resubmit those documents and may simply indicate in the request for participation when the documents were previously filed.

#### **5. Minimizing the Burden to Small Entities**

This collection does not impose a significant economic burden on small entities or small businesses. The information required by this collection provides the USPTO with the necessary materials for expediting the examination of applications that are eligible for the programs. The same information is required from every applicant and is not available from any other source.

#### **6. Consequences of Less Frequent Collection**

This information is collected only when the public submits a request to participate in the PPH or PCT-PPH program. This information could not be collected less frequently. If this information were not collected, the USPTO would not be able to fulfill its obligations under these programs and provide the ensuing examination benefits to eligible applicants.

#### **7. Special Circumstances in the Conduct of Information Collection**

There are no special circumstances associated with this collection of information.

#### **8. Consultations Outside the Agency**

The 60-Day Notice was published in the *Federal Register* on October 30, 2014 (79 Fed. Reg. 64574). The comment period ended on December 29, 2014. No public comments were received.

The USPTO has long-standing relationships with groups from whom patent application data is collected, such as the American Intellectual Property Law Association (AIPLA), as well as patent bar associations, independent inventor groups, and users of our public facilities. Views expressed by these groups are considered in developing proposals for information collection requirements and during the renewal of an information collection. No views have been expressed regarding the present renewal.

## **9. Payment or Gifts to Respondents**

This information collection does not involve a payment or gift to any respondent.

## **10. Assurance of Confidentiality**

Confidentiality of patent applications is governed by statute (35 U.S.C. § 122) and regulation (37 CFR 1.11 and 1.14). The USPTO has a legal obligation to maintain the confidentiality of the contents of unpublished patent applications and related documents. The USPTO employs digital certificates and Public Key Infrastructure (PKI) technology to permit only authorized individuals to access private patent application information and to maintain the confidentiality and integrity of the information as it is transmitted over the Internet. Upon publication of an application or issuance of a patent, the patent application file is made available to the public, subject to the provisions for providing only a redacted copy of the file contents.

## **11. Justification of Sensitive Questions**

None of the required information in this collection is considered to be sensitive.

## **12. Estimate of Hour and Cost Burden to Respondents**

Table 3 calculates the burden hours and costs of this information collection to the public, based on the following factors:

- **Respondent Calculation Factors**

The USPTO estimates that it will receive approximately 8,210 responses per year for this collection, with approximately 10% of these responses submitted by small entities. All requests for participation in the PPH or PCT-PPH program, which account for 100% of the total responses for this collection, will be submitted electronically via EFS-Web.

- **Burden Hour Calculation Factors**

The USPTO estimates that it will take the public approximately two hours to gather the necessary information, prepare the appropriate form, and submit a completed request to the USPTO.

- **Cost Burden Calculation Factors**

The USPTO uses a professional rate of \$389 per hour for respondent cost burden calculations, which is the median rate for attorneys in private firms as shown in the 2013 *Report of the Economic Survey* published by the American Intellectual Property Law Association (AIPLA).

**Table 3: Burden Hours/Burden Costs to Respondents for the PPH Program**

IC Number	Item/Form No.	Hours (a)	Responses (yr) (b)	Burden (hrs/yr) (c) (a x b)	Rate (\$/hr) (d)	Total Cost (\$/yr) (e) (c x d)
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO (PTO/SB/20GLBL)	2 hours	5000	10,000	\$389.00	\$3,890,000
2	Intellectual Property Office of Australia (IPAU), Form PTO/SB/20AU	2 hours	30	60	\$389.00	\$23,340
3	Austrian Patent Office (APO), Form PTO/SB/20AT	2 hours	10	20	\$389.00	\$7,780
4	Instituto Nacional da Propriedade Industrial (Brazil)(INPI), Form PTO/SB/20BR	2 hours	10	20	\$389.00	\$7,780
5	Canadian Intellectual Property Office (CIPO), Form PTO/SB/20CA	2 hours	30	60	\$389.00	\$23,340
6	State Intellectual Property Office of the P.R.C. (SIPO), Form PTO/SB/20CN	2 hours	80	160	\$389.00	\$62,240
7	Colombian Superintendence of Industry and Commerce (SIC), Form PTO/SB/20CO	2 hours	10	20	\$389.00	\$7,780
8	Industrial Property Office of the Czech Republic (IPOCZ), Form PTO/SB/20CZ	2 hours	10	20	\$389.00	\$7,780
9	Danish Patent and Trademark Office (DKPTO), Form PTO/SB/20DK	2 hours	20	40	\$389.00	\$15,560
10	European Patent Office (EPO), Form PTO/SB/20EP	2 hours	150	300	\$389.00	\$116,700
11	National Board of Patents and Registration of Finland (NBPR), Form PTO/SB/20FI	2 hours	10	20	\$389.00	\$7,780
12	German Patent and Trade Mark Office (DPMA), Form PTO/SB/20DE	2 hours	40	80	\$389.00	\$31,120
13	Hungarian Patent Office (HPO), Form PTO/SB/20HU	2 hours	10	20	\$389.00	\$7,780
14	Icelandic Patent Office (IPO), Form PTO/SB/20IS	2 hours	10	20	\$389.00	\$7,780
15	Israeli Patent Office (ILPO), Form PTO/SB/20IL	2 hours	10	20	\$389.00	\$7,780
16	Japan Patent Office (JPO), Form PTO/SB/20JP	2 hours	850	1700	\$389.00	\$661,300
17	Korean Intellectual Property Office (KIPO), Form PTO/SB/20KR	2 hours	150	300	\$389.00	\$116,700
18	Mexican Institute of Industrial Property (IMPI), Form PTO/SB/20MX	2 hours	10	20	\$389.00	\$7,780
19	Nicaraguan Registry of Intellectual Property (NRIP), Form PTO/SB/20NI	2 hours	10	20	\$389.00	\$7,780
20	Norwegian Industrial Property Office (NIPO), Form PTO/SB/20NO	2 hours	10	20	\$389.00	\$7,780

IC Number	Item/Form No.	Hours (a)	Responses (yr) (b)	Burden (hrs/yr) (c) (a x b)	Rate (\$/hr) (d)	Total Cost (\$/yr) (e) (c x d)
21	Intellectual Property Office of the Philippines (IPOP), Form PTO/SB/20PH	2 hours	10	20	\$389.00	\$7,780
22	Intellectual Property Office of the Republic of Poland (UPRP) Form PTO/SB/20PL	2 hours	10	20	\$389.00	\$7,780
23	Portuguese Institute of Industrial Property (INPI-PT), Form PTO/SB/20PT	2 hours	10	20	\$389.00	\$7,780
24	Russian Federal Service for Intellectual Property (ROSPATENT), Form PTO/SB/20RU	2 hours	10	20	\$389.00	\$7,780
25	Intellectual Property Office of Singapore (IPOS), Form PTO/SB/20SG	2 hours	10	20	\$389.00	\$7,780
26	Spanish Patent and Trademark Office (SPTO), Form PTO/SB/20ES	2 hours	10	20	\$389.00	\$7,780
27	Taiwan Intellectual Property Office (TIPO), Form PTO/SB/20TW	2 hours	10	20	\$389.00	\$7,780
28	United Kingdom Intellectual Property Office (UKIPO), Form PTO/SB/20UK	2 hours	40	80	\$389.00	\$31,120
29	U.S. Applications Where the USPTO was the ISA or IPEA, Form PTO/SB/20PCT-US	2 hours	200	400	\$389.00	\$155,600
30	Intellectual Property Office of Australia (IPAU), Form PTO/SB/20PCT-AU	2 hours	30	60	\$389.00	\$23,340
31	Austrian Patent Office (APO), Form PTO/SB/20PCT-AT	2 hours	10	20	\$389.00	\$7,780
32	Canadian Intellectual Property Office (CIPO), Form PTO/SB/20PCT-CA	2 hours	10	20	\$389.00	\$7,780
33	State Intellectual Property Office of the P.R.C. (SIPO), Form PTO/SB/20PCT-CN	2 hours	80	160	\$389.00	\$62,240
34	European Patent Office (EPO), Form PTO/SB/20PCT-EP	2 hours	550	1100	\$389.00	\$427,900
35	National Board of Patents and Registration of Finland (NBPR), Form PTO/SB/20PCT-FI	2 hours	10	20	\$389.00	\$7,780
36	Israeli Patent Office (ILPO), Form PTO/SB/20PCT-IL	2 hours	10	20	\$389.00	\$7,780
37	Japan Patent Office (JPO), Form PTO/SB/20PCT-JP	2 hours	150	300	\$389.00	\$116,700
38	Korean Intellectual Property Office (KIPO), Form PTO/SB/20PCT-KR	2 hours	550	1100	\$389.00	\$427,900
39	Nordic Patent Institute (NPI), Form PTO/SB/20PCT-NPI	2 hours	10	20	\$389.00	\$7,780
40	Russian Federal Service for Intellectual Property (ROSPATENT), Form PTO/SB/20PCT-RU	2 hours	10	20	\$389.00	\$7,780
41	Spanish Patent and Trademark Office (SPTO), Form PTO/SB/20PCT-ES	2 hours	10	20	\$389.00	\$7,780
42	Swedish Patent and Registration Office (PRV), Form PTO/SB/20PCT-SE	2 hours	10	20	\$389.00	\$7,780
	<b>Totals</b>	-----	<b>8,210</b>	<b>16,420</b>	-----	<b>\$6,387,380</b>



### 13. Total Annual (Non-hour) Cost Burden

There are no annual (non-hour) costs associated with this information collection.

### 14. Annual Cost to the Federal Government

The USPTO estimates that it takes a GS-15, step 1 employee approximately one hour on average to process a request for participation in the PPH or PCT-PPH program. The USPTO estimates that the cost of a GS-15, step 1 employee is \$78.64 per hour (GS hourly rate of \$60.49 with 30% (\$18.15) added for benefits and overhead).

Table 4 calculates the burden hours and costs to the Federal Government for processing this information collection:

**Table 4: Burden Hours/Burden Costs to the Federal Government for the PPH Program**

IC Number	Item/Form No.	Hours (a)	Responses (yr) (b)	Burden (hrs/yr) (c) (a x b)	Rate (\$/hr) (d)	Total Cost (\$/yr) (e) (c x d)
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO	1.0	5,000	5,000	\$78.64	\$393,200.00
2-28	Request for Participation in the PPH Program Between the USPTO and the IPAU, APO, INPI, CIPO, SIPO, SIC, IPOCZ, DKPTO, EPO, NBPR, DPMA, HPO, IPO, Israeli Patent Office, JPO, KIPO, IMPI, NRIP, NIPO, IPOPH, UPRP, INPI-PT, ROSPATENT, IPOS, SPTO, TIPO, or UKIPO	1.0	1,570	1,570	\$78.64	\$123,464.80
29	Request for Participation in the PCT-PPH Pilot Program in a U.S. Application Where the USPTO was the ISA or IPEA	1.0	200	200	\$78.64	\$15,728.00
30-42	Request for Participation in the PCT-PPH Pilot Program Between the USPTO and the IPAU, APO, CIPO, SIPO, EPO, NBPR, ILPO, JPO, KIPO, NPI, ROSPATENT, SPTO, or PRV	1.0	1,440	1,440	\$78.64	\$113,241.60
	<b>Totals</b>	-----	<b>8,210</b>	<b>8,210</b>	-----	<b>\$645,634.40</b>

### 15. Summary of Changes in Burden Since the Previous Renewal

#### Interim Approvals

- Notice of Action, August 2012: Addition of two forms, one for a new participant in the PCT-PPH pilot program (the Israeli Patent Office, or ILPO) and one for a new participant in the PPH pilot program (the Colombian Superintendence of Industry and Commerce, or SIC). Increased burden by 200 responses and 400 burden hours. No increase in annual (non-hour) costs.
- Notice of Action, October 2012: Addition of one form for a new participant in the PPH pilot program (the Industrial Property Office of the Czech Republic, or IPOCZ). Increased burden by 100 responses and 200 burden hours. No increase in annual (non-hour) costs.
- Notice of Action, February 2013: Addition of two forms for new participants in the PPH program (the Portugal National Institute of Industrial Property, or INPI-PT; and the Intellectual Property Office of the Philippines, or IPOPH). Increased burden by 200 responses and 400 burden hours. No increase in annual (non-hour) costs.
- Notice of Action, September 2013: Addition of one form for a new participant in the PPH program (the Nicaraguan Registry of Intellectual Property, or NRIP). Increased burden by 100 responses and 200 burden hours. No increase in annual (non-hour) costs.
- Notice of Action, February 2014: Addition of one form to support the Global/IP5 PPH Pilot Program. Increased burden by 5,000 responses and 10,000 burden hours. No increase in annual (non-hour) costs.

#### Change in Responses, Burden Hours, and Respondent Cost Burden

The total respondent cost burden has increased by \$3,735,380 from \$2,652,000 to \$6,387,380, from the previous renewal of this collection in December 2011, due to:

- **Increases in estimated hourly rates.** The 2011 renewal used an estimated rate of \$340 per hour for attorneys to prepare the Request for Participation in the PCT-PPH Pilot Program. For the current renewal, the USPTO is using updated rates of \$389 per hour for attorneys.
- **Increases in estimated responses.** The total estimated burden hours have increased from 7,800 in the 2011 renewal to 16,420 for the current renewal due to increases in the number of estimated responses, up from 3,900 in the 2011 renewal to 8,210 in the current renewal.
- **Addition of a new participant, Poland, to the PPH program (PTO/SB/20PL).** This renewal includes the Request for Participation in the PPH Program Between the Intellectual Property Office of the Republic of Poland (UPRP) and the USPTO (PTO/SB/20PL), which included Poland in the PPH program and its respective

burden and cost calculations. This new participant added 10 responses and 20 burden hours to this renewal's overall totals.

For this renewal, the USPTO estimates that the total annual responses will increase by 4,310 (from 3,900 to 8,210) and the total burden hours will increase by 8,620 (from 7,800 to 16,420) from the currently approved burden for this collection. The increase in estimated total annual responses is primarily the result of the new Global/IP5 program. This program includes respondents that previously may have filed country specific forms, which results in a decrease in the respondent totals for of those specific countries. In addition, the number of participating patent offices continues to increase, which has expanded the pool of eligible applicants and, consequently, the number of requests received. Changes in responses are as follows:

**Table 5: Changes to the PPH Program respondents numbers for 2015 renewal**

IC Number	Item/Form No.	Responses in Previous Renewal (a)	Responses in Current Renewal (b)	(In/De)crease in Responses From Previous to Current Renewal (b) - (a)
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO (PTO/SB/20GLBL)	0*	5000	5,000
2	Intellectual Property Office of Australia (IPAU), Form PTO/SB/20AU	100	30	(-70)
3	Austrian Patent Office (APO), Form PTO/SB/20AT	100	10	(-90)
4	Instituto Nacional da Propriedade Industrial (Brazil)(INPI), Form PTO/SB/20BR	100	10	(-90)
5	Canadian Intellectual Property Office (CIPO), Form PTO/SB/20CA	100	30	(-70)
6	State Intellectual Property Office of the P.R.C. (SIPO), Form PTO/SB/20CN	100	80	(-20)
7	Colombian Superintendence of Industry and Commerce (SIC), Form PTO/SB/20CO	0*	10	10
8	Industrial Property Office of the Czech Republic (IPOCZ), Form PTO/SB/20CZ	0*	10	10
9	Danish Patent and Trademark Office (DKPTO), Form PTO/SB/20DK	100	20	(-80)
10	European Patent Office (EPO), Form PTO/SB/20EP	100	150	50
11	National Board of Patents and Registration of Finland (NBPR), Form PTO/SB/20FI	100	10	(-90)
12	German Patent and Trade Mark Office (DPMA), Form PTO/SB/20DE	100	40	(-60)
13	Hungarian Patent Office (HPO), Form PTO/SB/20HU	100	10	(-90)
14	Icelandic Patent Office (IPO), Form PTO/SB/20IS	100	10	(-90)
15	Israeli Patent Office (ILPO), Form PTO/SB/20IL	100	10	(-90)
16	Japan Patent Office (JPO), Form PTO/SB/20JP	500	850	350
17	Korean Intellectual Property Office (KIPO), Form PTO/SB/20KR	200	150	(-50)
18	Mexican Institute of Industrial Property (IMPI), Form PTO/SB/20MX	100	10	(-90)

IC Number	Item/Form No.	Responses in Previous Renewal (a)	Responses in Current Renewal (b)	(In/De)crease in Responses From Previous to Current Renewal (b) – (a)
19	Nicaraguan Registry of Intellectual Property (NRIP), Form PTO/SB/20NI	0*	10	10
20	Norwegian Industrial Property Office (NIPO), Form PTO/SB/20NO	100	10	10
21	Intellectual Property Office of the Philippines (IPOP), Form PTO/SB/20PH	0*	10	10
22	Intellectual Property Office of the Republic of Poland (UPRP) Form PTO/SB/20PL	0*	10	10
23	Portuguese Institute of Industrial Property (INPI-PT), Form PTO/SB/20PT	0*	10	10
24	Russian Federal Service for Intellectual Property (ROSPATENT), Form PTO/SB/20RU	100	10	(-90)
25	Intellectual Property Office of Singapore (IPOS), Form PTO/SB/20SG	100	10	(-90)
26	Spanish Patent and Trademark Office (SPTO), Form PTO/SB/20ES	100	10	(-90)
27	Taiwan Intellectual Property Office (TIPO), Form PTO/SB/20TW	100	10	(-90)
28	United Kingdom Intellectual Property Office (UKIPO), Form PTO/SB/20UK	100	40	(-60)
29	U.S. Applications Where the USPTO was the ISA or IPEA, Form PTO/SB/20PCT-US	100	200	100
30	Intellectual Property Office of Australia (IPAU), Form PTO/SB/20PCT-AU	100	30	(-70)
31	Austrian Patent Office (APO), Form PTO/SB/20PCT-AT	100	10	(-90)
32	Canadian Intellectual Property Office (CIPO), Form PTO/SB/20PCT-CA	100	10	(-90)
33	State Intellectual Property Office of the P.R.C. (SIPO), Form PTO/SB/20PCT-CN	100	80	(-20)
34	European Patent Office (EPO), Form PTO/SB/20PCT-EP	100	550	450
35	National Board of Patents and Registration of Finland (NBPR), Form PTO/SB/20PCT-FI	100	10	(-90)
36	Israeli Patent Office (ILPO), Form PTO/SB/20PCT-IL	0*	10	10
37	Japan Patent Office (JPO), Form PTO/SB/20PCT-JP	100	150	50
38	Korean Intellectual Property Office (KIPO), Form PTO/SB/20PCT-KR	100	550	450
39	Nordic Patent Institute (NPI), Form PTO/SB/20PCT-NPI	100	10	(-90)
40	Russian Federal Service for Intellectual Property (ROSPATENT), Form PTO/SB/20PCT-RU	100	10	(-90)
41	Spanish Patent and Trademark Office (SPTO), Form PTO/SB/20PCT-ES	100	10	(-90)
42	Swedish Patent and Registration Office (PRV), Form PTO/SB/20PCT-SE	100	10	(-90)
	<b>Totals</b>	<b>3,900</b>	<b>8,210</b>	<b>4,310</b>

\* - This PTO/SB/#### request, between the program or foreign patent trade office described, was not present in the 2011 renewal

### Change in Federal Government Cost Burden

The total federal government cost burden has increased by \$9,477, from \$300,651 to \$310,128, from the previous renewal of this collection in December 2011, due to:

- **Increases in estimated hourly rates.** The 2011 renewal used an estimated rate of \$77.09 per hour (GS hourly rate of \$59.30 with 30% [\$17.79] added for benefits and overhead) for GS-15, step 1 employees who would be processing requests for participation in the PPH or PCT-PPH program. For the current renewal, the USPTO is using the updated 2015 rate of \$78.64 per hour (GS hourly rate of \$60.49 with 30% [\$18.15] added for benefits and overhead).

#### Changes in Annual (Non-hour) Costs

There are no annual (non-hour) costs associated with this information collection.

#### **16. Project Schedule**

The USPTO does not plan to publish this information for statistical use.

#### **17. Display of Expiration Date of OMB Approval**

The forms in this information collection will display the OMB Control Number and the expiration date of OMB approval.

#### **18. Exceptions to the Certificate Statement**

This collection of information does not include any exceptions to the certificate statement.

### **B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS**

This collection of information does not employ statistical methods.