

SUPPORTING STATEMENT
United States Patent and Trademark Office
Patent Cooperation Treaty
OMB CONTROL NUMBER 0651-0021
June 2016

A. JUSTIFICATION

1. Necessity of Information Collection

This collection of information is required by the provisions of the Patent Cooperation Treaty (PCT), which became operational in June 1978 and is administered by the International Bureau (IB) of the World Intellectual Property Organization (WIPO) in Geneva, Switzerland. The provisions of the PCT have been implemented by the United States in Part IV of Title 35 of the U.S. Code (Chapters 35-37) and Subpart C of Title 37 of the Code of Federal Regulations (37 CFR 1.401-1.499). The purpose of the PCT is to provide a standardized filing format and procedure that allows an applicant to seek protection for an invention in several countries by filing one international application in one location, in one language, and paying one initial set of fees.

The information in this collection is used by the public to submit a patent application under the PCT and by the United States Patent and Trademark Office (USPTO) to fulfill its obligation to process, search, and examine the application as directed by the treaty. The filing, search, written opinion, and publication procedures are provided for in Chapter I of the PCT. Additional procedures for a preliminary examination of PCT international applications are provided for in optional PCT Chapter II. Under Chapter I, an applicant can file an international application in the national or home office (Receiving Office (RO)) or the IB. The USPTO acts as the United States Receiving Office (RO/US) for international applications filed by residents and nationals of the United States. These applicants send most of their correspondence directly to the USPTO, but they may also file certain documents directly with the IB. The USPTO serves as an International Searching Authority (ISA) to perform searches and issues an international search report (ISR) and a written opinion on international applications. The USPTO also issues an international preliminary report on patentability (IPRP Chapter II) when acting as an International Preliminary Examining Authority (IPEA).

The RO reviews the application and, if it contains all of the necessary information, assigns a filing date to the application. The RO maintains the home copy of the international application and forwards the record copy of the application to the IB and the search copy to the ISA. The IB maintains the record copy of all international applications and publishes them 18 months after the earliest priority date, which is the earliest date for which a benefit is claimed. The ISA performs a search to determine whether there is any prior art relevant to the claims of the international application and will issue an international search report and written opinion as to whether each claim is novel, involves an inventive step, and is industrially applicable. The ISA then forwards the international search report and written opinion to the applicant and the IB. The IB

will normally publish the application and search report 18 months after the priority date, unless early publication is requested by the applicant. Until international publication, no third person or national or regional office is allowed access to the international patent application unless so requested or authorized by the applicant. If the applicant wishes to withdraw the application (and does so before international publication), international publication does not take place.

Under Chapter II of the Treaty, an applicant who has filed an international application in an RO can demand an international preliminary examination of the application by an IPEA, such as the USPTO. The Demand is made separately from the international application and contains prescribed particulars, language, and form. The International preliminary examination is a second evaluation of the potential patentability of the claimed invention, using the same standards on which the written opinion of the ISA was based. A copy of the examination report is sent to the applicant and to the IB. The IB then forwards a copy of the examination report to each Office elected by the applicant.

Table 1 provides the specific sections of the PCT along with the associated U.S. statutes and USPTO rules requiring the USPTO to collect the information discussed above:

Table 1: Information Requirements

IC Number	Information Collection Item	Statute	Rule
1	Request and Fee Calculation	PCT Articles 3 and 4, 35 U.S.C. §§ 361 and 376	PCT Rules 3, 4, 14-16, 37 CFR 1.431-1.434, 1.445
2	Description/claims/drawings/abstracts	PCT Articles 3.2, 5-7	PCT Rules 5-12, 37 CFR 1.431(a), 1.435-1.438
3	Application Data Sheet (35 U.S.C. § 371 applications)	PCT Article 8, 35 U.S.C. § 371	PCT Rule 26 ^{bis} , 37 CFR 1.76, 1.497(g)
4	Transmittal Letter to the RO/US	35 U.S.C. §§ 184 and 361	37 CFR 1.10, 1.412
5	Transmittal Letter to the DO/EO/US	35 U.S.C. §§ 363 and 371	37 CFR 1.414, 1.491-1.492
6	PCT/Model of Power of Attorney	PCT Article 49	PCT Rules 90.4 and 90.5, 37 CFR 1.455
7	PCT/Model of General Power of Attorney	PCT Article 49	PCT Rules 90.4 and 90.5, 37 CFR 1.455
8	Indications Relating to a Deposited Microorganism	None	PCT Rule 13 ^{bis}
9	Response to invitation to correct defects	PCT Article 14	PCT Rules 26, 53 and 60
10	Response for rectification of obvious errors	None	PCT Rule 91
11	Demand and Fee Calculation	PCT Article 31, 35 U.S.C. §§ 362 and 376	PCT Rules 53-61, 37 CFR 1.480-1.482

IC Number	Information Collection Item	Statute	Rule
12	Amendments (Article 34)	PCT Articles 14, 19, 34(2)(b) and 41, 35 U.S.C. § 371(c)(3)	PCT Rules 10, 11, 46 and 66, 37 CFR 1.471-1.472, 1.485, 1.495
13	Fee Authorization	35 U.S.C. § 376	37 CFR 1.25
14	Requests to transmit copies of international application	None	PCT Rule 22
15	Withdrawal of international application	PCT Administrative Sections 326 and 414, PCT Article 37, 35 U.S.C. § 366	PCT Rules 90 ^{bis} .1-.4
16	Translations	PCT Articles 36 and 46, 35 U.S.C. § 371(c)	PCT Rule 72, 37 CFR 1.484, 1.492(f), 1.495
17	Petition for Revival of an International Application for Patent Designating the U.S. Abandoned Unintentionally	35 U.S.C. § 371(c)-(d)	37 CFR 1.137(b), 37 CFR 1.17(m)
18	Petitions to the Commissioner for international applications	35 U.S.C. § 371	37 CFR 1.10, 37 CFR 1.181, 37 CFR 1.182
19	Petitions to the Commissioner in national stage examination	35 U.S.C. §§ 111, 116-118, and 371	37 CFR 1.42, 37 CFR 1.47, 37 CFR 1.181, 37 CFR 1.182
20	Acceptance of an unintentionally delayed claim for priority (37 CFR 1.78(a)(3))	35 U.S.C. §§ 119(e) and 120	37 CFR 1.78
21	Request for the restoration of the right of priority	PCT Article 8	PCT Rule 26 ^{bis} .3

2. Needs and Uses

The information requested in this collection is necessary for respondents to file an international patent application and for the USPTO to process, search, and examine international applications and related correspondence under the PCT. If this information were not collected, the USPTO would not be able to fulfill its obligations under the PCT as an RO, ISA, or IPEA. The IB also uses this information to administer international applications as required by the PCT.

Some of the information in this collection has associated forms as indicated in Table 2 below. Use of the forms is not mandatory, but the USPTO advises applicants to use these forms to ensure that all of the necessary information is provided and to assist the USPTO in processing the international applications quickly and efficiently. The Request and Demand forms include Annexes (Fee Calculation Sheets) and Notes with instructions on completing these forms. The WIPO also furnishes the *PCT Applicant's Guide* and other documents to give the public additional guidance on preparing the international application.

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

USPTO 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 Collected

IC Number	Information Collection Item	Form #	Needs and Uses
1	Request and Fee Calculation Sheet (Annex and Notes)	PCT/RO/101	<ul style="list-style-type: none"> Used by the public to supply the information required for an international patent application. The optional Fee Calculation Sheet may be used by the public to indicate the amount of money being submitted and how the money is to be applied. The public uses the Fee Calculation Sheet or Annex as an attachment to the PCT Request. Used by the USPTO to process the international application according to the PCT. Used by the USPTO to verify the calculations and to identify any errors in them.
2	Description/claims/drawings/abstracts	No Form Associated	<ul style="list-style-type: none"> Used by the public as part of the international application. In most instances, the description, claims, drawings, and abstract are identical to the corresponding elements in the previously filed U.S. application, and the papers submitted for the international application are a photocopy of the papers in the national application. Used by the USPTO to process the international application according to the PCT.
3	Application Data Sheet	No Form Associated	<ul style="list-style-type: none"> Used by the public as an optional way to submit bibliographic data with identifying information for an application, including information about each applicant, correspondence address, application contents, representatives, priority, and assignees. Used by the USPTO to process applications and to correctly identify applications for which priority is claimed.
4	Transmittal Letter to the United States Receiving Office (RO/US)	PTO-1382	<ul style="list-style-type: none"> Used by the public as a cover letter to supply a certification if the application was submitted via Express Mail and entitles an applicant to obtain a filing date as of the date of deposit with the postal authorities. Used by the public for security clearance purposes to supply information concerning the similarity or differences between the subject matter disclosed in the international application and any national application filed earlier in the USPTO. Used by the public as a transmittal letter for extensions of time, power of attorney, general power of attorney, substitute sheets, priority documents, fee payments, obvious error rectification, and other items. Used by the USPTO to screen and certify the accompanying international application for the purpose of determining whether a license for foreign transmittal should and could be granted and for other purposes.
5	Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371	PTO-1390	<ul style="list-style-type: none"> Used by the public to submit the required materials and fees for examination of an international application to the USPTO as the U.S. Designated Office or Elected Office. Used by the USPTO to fulfill its role as the U.S. Designated Office or Elected Office to process and examine international patent applications entering the national stage.

IC Number	Information Collection Item	Form #	Needs and Uses
6-7	PCT/Model of Power of Attorney PCT/Model of General Power of Attorney	No Form Number	<ul style="list-style-type: none"> Used by the public to allow for the appointment of an agent to represent an applicant for a given international application or multiple international applications filed under the PCT. Used by the public to provide the information needed to permit attorneys or agents registered to practice before the USPTO to represent an applicant filing an international application with the US/RO and to prosecute an international application on behalf of the applicant. Used by the USPTO to accept the appointment of an attorney or agent to represent an applicant for a given international application filed under the PCT.
8	Indications Relating to a Deposited Microorganism	PCT/RO/134	<ul style="list-style-type: none"> Used by the public to provide a sample of the microorganism to a recognized depository institution and notify the US/RO of this action in writing. Used by the USPTO to confirm that a sample of the microorganism was provided to a recognized depository institution.
9	Response to invitation to correct defects	No Form Associated	<ul style="list-style-type: none"> Used by the public to correct defects noted by the RO. There is no required form for supplying the corrections. Used by the USPTO to determine if noted defects have been corrected.
10	Request for rectification of obvious errors	No Form Associated	<ul style="list-style-type: none"> Used by the public to request that the appropriate RO, ISA, IPEA, or the IB correct obvious errors in the international application, as filed. Used by the USPTO to grant the request that the appropriate RO, ISA, IPEA, or the IB correct obvious errors in the international application, as filed.
11	Demand and Fee Calculation Sheet (Annex and Notes)	PCT/IPEA/401	<ul style="list-style-type: none"> Used by the public to request examination of the international application under Chapter II of the PCT. The PCT Fee Calculation Sheet or Annex is used by the public to calculate the fees that are due and being submitted. Used by the USPTO to conduct an international preliminary examination of an international application under Chapter II of the PCT. The PCT Fee Calculation Sheet is used by the USPTO to properly credit the fees that are due and submitted.
12	Amendments	No Form Associated	<ul style="list-style-type: none"> Used by the public to modify the international application in response to the findings in the international search report or in the written report. Used by the USPTO to approve the modification of the international application in response to the findings in the international search report or in the written report.
13	Fee Authorization	No Form Associated	<ul style="list-style-type: none"> Used by the public to charge the applicant's deposit account along with instructions concerning how much to charge and for what purpose. Used by the USPTO Finance Branch to apply the charged fees to the applicant's deposit account.
14	Requests to transmit copies of international application	No Form Associated	<ul style="list-style-type: none"> Used by the public to pay for the cost of preparing and mailing copies of the international application where at 14 months the RO has failed to transmit the record copy to the IB. Used by the USPTO to ensure that the transmittal of the international application is identical to the application filed with the RO.
15	Withdrawal of international application	PCT/IB/372	<ul style="list-style-type: none"> Used by the public to request withdrawal of the international application, designations of the state, demands, elections, and priority claims by a notice addressed to the IB or the RO. Used by the USPTO to withdraw the international application, designations of the state, demands, elections, and priority claims by accepting a notice addressed to the RO.

IC Number	Information Collection Item	Form #	Needs and Uses
16	Translations	No Form Associated	<ul style="list-style-type: none"> Used by the public in the event any Elected Office requires a translation of annexes to the international preliminary examination report. Used by the public to make written observations on any errors of translation in the international preliminary examination report and send such copies to the interested parties. Used by the USPTO to transmit a copy of the translation of the international preliminary examination report to the applicant at the same time it is transmitted to the interested Elected Office(s). Used by the USPTO to cancel the final international preliminary examination report and the annexes if they are not in English.
17	Petition for Revival of an International Application for Patent Designating the U.S. Abandoned Unintentionally Under 37 CFR 1.137(a)	PTO/SB/64/PCT	<ul style="list-style-type: none"> Used by the public to request revival of an application that was abandoned unintentionally. Used by the USPTO to consider requests for revival of an unintentionally abandoned application and ensure all the proper documentation and fees are included.
18	Petitions to the Commissioner for international applications	No Form Associated	<ul style="list-style-type: none"> Used by the public to petition or "appeal" for relief in exceptional circumstances. Used by the USPTO to grant relief in exceptional circumstances.
19	Petitions to the Commissioner in national stage examination	No Form Associated	<ul style="list-style-type: none"> Used by the public to petition or "appeal" for relief in exceptional circumstances. Used by the USPTO to grant relief in exceptional circumstances.
20	Acceptance of an unintentionally delayed claim for priority (37 CFR 1.78(a)(3))	No Form Associated	<ul style="list-style-type: none"> Used by the public to claim benefit of the filing date of a prior filed application which has at least one common inventor if filed outside the time period. Used by the USPTO to grant relief if the conditions are met.
21	Request for the restoration of the right of priority	No Form Associated	<ul style="list-style-type: none"> Used by the public to allow a priority claim to an earlier application even if the international application is filed outside the priority period. Used by the USPTO to grant relief if the conditions are met.

3. Use of Information Technology

The PCT provides for electronic filing of international applications, as long as the confidentiality requirements are met. Customers may submit PCT materials to the USPTO electronically through EFS-Web, the USPTO's online filing system for patent applications and related documents. EFS-Web allows customers to file applications and associated documents through their standard web browser without downloading special software, changing their documentation preparation tools, or altering their workflow processes. Customers may create their patent applications and associated documents using the tools and processes that they already use and then convert those documents into standard PDF files that are submitted through EFS-Web to the USPTO. The fillable PDF forms that can be submitted through EFS-Web may be downloaded from the USPTO Web site and do not require special PDF creation software.

Registered and unregistered users can file documents through EFS-Web. The documents of registered users are protected using a Public Key Infrastructure (PKI)

system and digital certificates which provide authentication and encryption security. For filers who are not registered, the documents are submitted to EFS-Web using Transport Layer Security (TLS) or Secure Socket Layer (SSL) protocol.

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 and other paper delivery costs. Users can access EFS-Web from any computer with an Internet connection. Since EFS-Web is hosted on the USPTO's secure servers and not on the individual's personal computer, USPTO staff can update EFS-Web without requiring any action from the user. Customers can submit fee payments and other requests in real time. The PDF forms can be passed around to multiple users for collaboration.

EFS-Web integrates with the Patent Application Information Retrieval (PAIR) system, the USPTO's online database that provides authorized individuals with immediate and secure access to non-published patent application information. PAIR uses digital certificates to permit only applicants and their designated representatives to access information about their pending patent applications and to maintain the confidentiality and integrity of the information as it is transmitted over the Internet. The USPTO does not intend to disseminate any confidential application information to the general public electronically through PAIR or any other means. However, the general public may use PAIR to access public information regarding granted patents, published applications, and reexamination proceedings. PAIR is available through the USPTO Web site.

4. Efforts to Identify Duplication

This information is collected only when an applicant or representative submits an international application and is not collected elsewhere. Duplication of identifying information is required on subsequent correspondence to ensure that the correspondence can be associated with the correct application. In general, the PCT is designed to minimize the need for duplication by allowing an applicant to file a single application that has the effect of a national application filed in multiple countries.

5. Minimizing Burden to Small Entities

The information in this collection is necessary in order to process requests related to PCT applications. The same information is required from every applicant and is not available from any other source.

Pursuant to 35 U.S.C. § 41(h) and section 10(b) of the Leahy-Smith America Invents Act (AIA), the USPTO provides a 50% reduction in both (i) the fees charged under 35 U.S.C. § 41(a)-(b) and (d)(1) and (ii) the fees set or adjusted under section 10(a) of the Act for filing, searching, examining, issuing, appealing, and maintaining patent applications and patents for small entity applicants, such as independent inventors, small businesses, and nonprofit organizations who meet the definition of a small entity

provided at 37 CFR 1.27. Also pursuant to section 10(b) of the AIA, the USPTO provides a 75% reduction in the fees set or adjusted under section 10(a) of the Act for filing, searching, examining, issuing, appealing, and maintaining patent applications and patents for applicants who meet the definition of a micro entity provided at 35 U.S.C. § 123 and 37 CFR 1.29.

The USPTO's regulations concerning the payment of reduced patent fees by small and micro entities are at 37 CFR 1.27-1.29, and reduced patent fees for small and micro entity applicants are shown in 37 CFR 1.16-1.18, 1.20, 1.445, 1.482, 1.492, and 41.20. No significant burden is placed on small or micro entities, in that small entities must only identify themselves as such in order to obtain these benefits, and micro entities must only provide a certification of micro entity status. An assertion or certification of small or micro entity status, respectively, only needs to be filed once in an application or patent (although a fee may be paid in the micro entity amount only if the applicant or patentee is still entitled to micro entity status on the date the fee is paid).

6. Consequences of Less Frequent Collection

This information is collected only when an applicant or representative submits an international application. This collection of information is necessary to process an international application under the PCT and could not be conducted less frequently. If this information were not collected, the USPTO would not be able to process the application as required by 35 U.S.C. § 364(a).

7. Special Circumstances in the Conduct of Information Collection

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

8. Consultation Outside the Agency

The 60-Day Notice was published in the *Federal Register* on April 19, 2016 (81 Fed. Reg. 22967). The comment period ended on June 20, 2016. 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, as well as patent bar associations, independent inventor groups, and users of our public facilities. Views expressed by these groups are considered both in developing proposals for information collection requirements and when renewing an existing information collection.

9. Payments or Gifts to Respondents

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

10. Assurance of Confidentiality

The confidentiality of international patent applications is governed by PCT Article 30, 35 U.S.C. § 122, and 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. Until international publication (18 months after the priority date), no third party or authority is allowed access to the international patent application unless such access is requested or authorized by the applicant. If the applicant withdraws the application before international publication, such publication does not take place. 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 for 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 423,970 responses per year for this collection, with approximately 12,390 (2%) of these responses submitted by small entities. Approximately 98% of the total responses for this collection will be submitted electronically.

These estimates are based on the Agency's long-standing institutional knowledge of and experience with the type of information collected by these items.

- **Burden Hour Calculation Factors**

The USPTO estimates that it will take the public from 15 minutes (0.25 hours) to 8 hours to gather the necessary information, prepare the appropriate form or documents, and submit the information to the USPTO.

These estimates are based on the Agency's long-standing institutional knowledge of and experience with the type of information collected and the length of time necessary to complete responses containing similar or like information.

- **Cost Burden Calculation Factors**

The USPTO uses a professional rate of \$410 per hour for respondent cost burden calculations, which is the mean rate for attorneys in private firms as

shown in the 2015 Report of the Economic Survey, published by the Committee on Economics of Legal Practice of the American Intellectual Property Law Association (AIPLA).

Table 3: Burden Hour/Burden Cost to Respondents

IC Number	Item	Estimated time for response (a) (hr)	Estimated annual responses (b)	Estimated annual burden hours (a) x (b) = (c)	Rate (\$/hr) (d)	Total Cost Burden (\$/hr) (c) x (d) = (e)
1	Request and Fee Calculation Sheet (Annex and Notes) (PCT/RO/101)	1	56,480	56,480	\$410.00	\$23,156,800.00
2	Description/claims/drawings/abstracts	3	56,480	169,480	\$410.00	\$69,470,400.00
3	Application Data Sheet (35 U.S.C. § 371 applications)	0.38 (23 minutes)	91,477	34,761	\$410.00	\$14,252,010.00
4	Transmittal Letter to the United States Receiving Office (RO/US) (PTO-1382)	0.25 (15 minutes)	50,832	12,708	\$410.00	\$5,210,280.00
5	Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. 371 (PTO-1390)	0.25 (15 minutes)	85,387	21,347	\$410.00	\$8,752,270.00
6	PCT/Model of Power of Attorney	0.25 (15 minutes)	2,824	706	\$410.00	\$289,460.00
7	PCT/Model of General Power of Attorney	0.25 (15 minutes)	282	71	\$410.00	\$29,110.00
8	Indications Relating to a Deposited Microorganism (PCT/RO/134)	0.25 (15 minutes)	1	0	\$410.00	\$0.00
9	Response to invitation to correct defects	2	15,117	30,234	\$410.00	\$12,395,940.00
10	Request for rectification of obvious errors	0.50 (30 minutes)	867	434	\$410.00	\$177,940.00
11	Demand and Fee Calculation Sheet (Annex and Notes) (PCT/IPEA/401)	1	1,406	1,406	\$410.00	\$576,460.00
12	Amendments (Article 34)	1	1,406	1,406	\$410.00	\$576,460.00
13	Fee Authorization	0.25 (15 minutes)	50,832	12,708	\$410.00	\$5,210,280.00

14	Requests to transmit copies of international application	0.25 (15 minutes)	1,081	270	\$410.00	\$110,700.00
15	Withdrawal of international application (PCT/IB/372)	0.25 (15 minutes)	1,580	395	\$410.00	\$161,950.00
16	Translations	2	2,298	4,596	\$410.00	\$1,884,360.00
17	Petition for Revival of an International Application for Patent Designating the U.S. Abandoned Unintentionally Under 37 CFR 1.137(a) (PTO/SB/64/PCT)	1	887	887	\$410.00	\$363,670.00
18	Petitions to the Commissioner for international applications	4	133	532	\$410.00	\$218,120.00
19	Petitions to the Commissioner in national stage examination	4	3,191	12,764	\$410.00	\$5,233,240.00
20	Acceptance of an unintentionally delayed claim for priority (37 CFR 1.78(a)(3))	2	542	1,084	\$410.00	\$444,440.00
21	Request for the restoration of the right of priority	3	867	2,601	\$410.00	\$1,066,410.00
	Totals		423,970	364,830		\$149,580,300.00

13. Total Annual (Non-hour) Cost Burden

There are no capital start-up, maintenance, or recordkeeping costs associated with this information collection. However, this collection does have annual (non-hour) costs in the form of fees and postage costs.

Fees

The estimated filing fees for this collection are calculated in the accompanying table (Table 4) below:

Table 4: Fees for Respondents

IC Number	Item	Responses (a)	Fees (b)	Total Fee Amount (a) x (b) = (c)
1	Request and Fee Calculation Sheet (Annex and Notes) (PCT/RO/101)	56,480	\$1,254.00	\$70,825,920.00
2	Demand and Fee Calculation Sheet (Annex and Notes) (PCT/IPEA/401)	1,406	\$213.00	\$299,478.00

IC Number	Item	Responses (a)	Fees (b)	Total Fee Amount (a) x (b) = (c)
2	[PCT National Stage] Claims – extra independent (over three) (Large entity)	7,565	\$460.00	\$3,479,900.00
2	[PCT National Stage] Claims – extra independent (over three) (Small entity)	2,650	\$230.00	\$609,500.00
2	[PCT National Stage] Claims – extra independent (over three) (Micro entity)	122	\$115.00	\$14,030.00
2	[PCT National Stage] Claims – extra total (over 20) (Large entity)	10,797	\$100.00	\$1,079,700.00
2	[PCT National Stage] Claims – extra total (over 20) (Small entity)	5,574	\$50.00	\$278,700.00
2	[PCT National Stage] Claims – extra total (over 20) (Micro entity)	241	\$25.00	\$60,250.00
2	[PCT National Stage] Claim – multiple dependent (Large entity)	986	\$820.00	\$808,520.00
2	[PCT National Stage] Claim – multiple dependent (Small entity)	522	\$410.00	\$214,020.00
2	[PCT National Stage] Claim – multiple dependent (Large entity)	42	\$205.00	\$8,610.00
3	National Stage Application Size Fee – for each additional 50 sheets that exceed 100 sheets (Large entity)	2,325	\$400.00	\$930,000.00
3	National Stage Application Size Fee – for each additional 50 sheets that exceed 100 sheets (Small entity)	1,181	\$200.00	\$236,200.00
3	National Stage Application Size Fee – for each additional 50 sheets that exceed 100 sheets (Micro entity)	36	\$100.00	\$3,600.00
4, 5, 14	Transmittal fee (Large entity)	39,370	\$240.00	\$9,448,800.00
4, 5, 14	Transmittal fee (Small entity)	16,017	\$120.00	\$1,922,040.00
4, 5, 14	Transmittal fee (Micro entity)	1,240	\$60.00	\$74,400.00
14	Transmitting application to Intl. Bureau to act as receiving office (Large entity)	313	\$240.00	\$75,120.00
14	Transmitting application to Intl. Bureau to act as receiving office (Small entity)	191	\$120.00	\$22,920.00
14	Transmitting application to Intl. Bureau to act as receiving office (Micro entity)	21	\$60.00	\$1,260.00
16	English translation after thirty months from priority date (Large entity)	1,467	\$140.00	\$205,380.00
16	English translation after thirty months from priority date (Small entity)	782	\$70.00	\$54,740.00
16	English translation after thirty months from priority date (Micro entity)	49	\$35.00	\$1,715.00

IC Number	Item	Responses (a)	Fees (b)	Total Fee Amount (a) x (b) = (c)
19	Basic National Stage Fee (Large entity)	65,948	\$300.00	\$19,784,400.00
19	Basic National Stage Fee (Small entity)	19,893	\$150.00	\$2,983,950.00
19	Basic National Stage Fee (Micro entity)	1,197	\$75.00	\$89,775.00
19	National Stage Search Fee – U.S. was the ISA or IPEA and all claims satisfy PCT Article 33(1)-(4)	452	\$0	\$0.00
19	National Stage Search Fee –U.S. was the ISA (Large entity)	2,728	\$140.00	\$381,920.00
19	National Stage Search Fee – U.S. was the ISA (Small entity)	2,918	\$70.00	\$204,260.00
19	National Stage Search Fee – U.S. was the ISA (Micro entity)	206	\$35.00	\$7,210.00
19	National Stage Search Fee – search report prepared and provided to USPTO (Large entity)	60,196	\$520.00	\$31,301,920.00
19	National Stage Search Fee – search report prepared and provided to USPTO (Small entity)	15,917	\$260.00	\$4,138,420.00
19	National Stage Search Fee – search report prepared and provided to USPTO (Micro entity)	866	\$130.00	\$112,580.00
19	National Stage Examination Fee – U.S. was the ISA or IPEA and all claims satisfy PCT Article 33(1)-(4)	452	\$0	\$0.00
19	National Stage Search Fee – all other situations (Large entity)	2,864	\$660.00	\$1,890,240.00
19	National Stage Search Fee – all other situations (Small entity)	908	\$330.00	\$299,640.00
19	National Stage Search Fee – all other situations (Micro entity)	118	\$165.00	\$19,470
19	National Stage Examination Fee – all other situations (Large entity)	65,701	\$760.00	\$49,932,760.00
19	National Stage Examination Fee – all other situations (Small entity)	19,653	\$380.00	\$7,468,140.00
19	National Stage Examination Fee – all other situations (Micro entity)	1,171	\$190.00	\$222,490.00
19	Search fee, examination fee or oath of declaration after thirty months from priority date (Large entity)	23,193	\$140.00	\$3,247,020.00
19	Search fee, examination fee or oath of declaration after thirty months from priority date (Small entity)	10,149	\$70.00	\$710,430.00

IC Number	Item	Responses (a)	Fees (b)	Total Fee Amount (a) x (b) = (c)
19	Search fee, examination fee or oath of declaration after thirty months from priority date (Micro entity)	304	\$35.00	\$10,640.00
19	Search fee – regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) (Large entity)	8,227	\$2,080.00	\$17,112,160.00
19	Search fee – regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) (Small entity)	10,929	\$1,040.00	\$11,366,160.00
19	Search fee – regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) (Micro entity)	1,129	\$520.00	\$587,080.00
19	Supplemental search fee when required, per additional invention (Large entity)	1	\$2,080.00	\$2,080.00
19	Supplemental search fee when required, per additional invention (Small entity)	0	\$1,040.00	\$0.00
19	Supplemental search fee when required, per additional invention (Micro entity)	0	\$520.00	\$0.00
19	Preliminary examination fee – U.S. was the ISA (Large entity)	346	\$600.00	\$207,600.00
19	Preliminary examination fee – U.S. was the ISA (Small entity)	257	\$300.00	\$77,100.00
19	Preliminary examination fee – U.S. was the ISA (Micro entity)	54	\$150.00	\$8,100.00
19	Preliminary examination fee – U.S. was not the ISA (Large entity)	143	\$760.00	\$108,680.00
19	Preliminary examination fee – U.S. was not the ISA (Small entity)	31	\$380.00	\$11,780.00
19	Preliminary examination fee – U.S. was not the ISA (Micro entity)	1	\$190.00	\$190.00
19	Supplemental examination fee per additional invention (Large entity)	0	\$600.00	\$0.00
19	Supplemental examination fee per additional invention (Small entity)	4	\$300.00	\$1,200.00
19	Supplemental examination fee per additional invention (Micro entity)	0	\$150.00	\$0.00
20	Acceptance of an unintentionally delayed claim for priority, or for filing a request for the restoration of the right of priority	1,409	\$2,000.00	\$2,818,000.00
	Totals	466,522		\$245,700,473.00

Translations and Drawings

- Under the terms of the PCT, the USPTO may require documents submitted for a PCT application to be translated into English when necessary. This requirement may carry additional costs for the applicant to contract for a translation of the documents in question. The cost of translating a document is dependent upon the length of the document, the complexity of the document, whether the document is technical, and the languages that the document has to be translated to and from. Due to these variables, the USPTO cannot precisely estimate the costs that parties may incur for these translations. The USPTO believes that the average length of the documents to be translated will be 10 pages and that it will cost approximately \$150 per page for the translation, for an average translation cost of \$1,500 per document.
- Applicants may also incur costs for drawings that are submitted as part of PCT applications. Some applicants may produce their own drawings, while others may contract out the work to various patent illustration firms. For the purpose of estimating burden for this collection, the USPTO will consider all applicants to have their drawings prepared by these firms. Estimates for these drawings can vary greatly, depending on the number of figures that need to be produced, the total number of pages for the drawings, and the complexity of the drawings. The USPTO estimates that drawings may cost an average of \$58 per sheet to produce and that on average 11 sheets of drawings are submitted per application, for an average total cost of \$638 to produce a set of drawings for an application.

The total costs for the items described in the above two bullet points can be found below in Table 5.

Postage

The USPTO estimates that the average first-class postage cost for a mailed submission will be 49 cents and that up to 12,390 submissions (approximately 2% of responses) will be mailed to the USPTO per year. The total costs for the items described in this paragraph can be found below in Table 5.

Table 5: Total Annual (Non-hour) Cost Burden for Respondents

IC Number	Type of Cost	Estimated annual responses	Amount	Totals
1	Request and Fee Calculation Sheet (Annex and Notes) (PCT/RO/101)	56,480	\$1,254.00	\$70,825,920.00
2	Demand and Fee Calculation Sheet (Annex and Notes) (PCT/IPEA/401)	1,406	\$213.00	\$299,478.00
2	[PCT National Stage] Claims – extra independent (over three) (Large entity)	7,565	\$460.00	\$3,479,900.00
2	[PCT National Stage] Claims – extra independent (over three) (Small entity)	2,650	\$230.00	\$609,500.00

2	[PCT National Stage] Claims – extra independent (over three) (Micro entity)	122	\$115.00	\$14,030.00
2	[PCT National Stage] Claims – extra total (over 20) (Large entity)	10,797	\$100.00	\$1,079,700.00
2	[PCT National Stage] Claims – extra total (over 20) (Small entity)	5,574	\$50.00	\$278,700.00
2	[PCT National Stage] Claims – extra total (over 20) (Micro entity)	241	\$25.00	\$60,250.00
4, 5,14	Transmittal fee (Large entity)	39,370	\$240.00	\$9,448,800.00
4, 5, 14	Transmittal fee (Small entity)	16,017	\$120.00	\$1,922,040.00
4, 5, 14	Transmittal fee (Micro entity)	1,240	\$60.00	\$74,400.00
14	Transmitting application to Intl. Bureau to act as receiving office (Large entity)	313	\$240.00	\$75,120.00
14	Transmitting application to Intl. Bureau to act as receiving office (Small entity)	191	\$120.00	\$22,920.00
14	Transmitting application to Intl. Bureau to act as receiving office (Micro entity)	21	\$60.00	\$1,260.00
16	English translation after thirty months from priority date (Large entity)	1,467	\$140.00	\$205,308.00
16	English translation after thirty months from priority date (Small entity)	782	\$70.00	\$54,740.00
16	English translation after thirty months from priority date (Micro entity)	49	\$35.00	\$1,715.00
19	Basic National Stage Fee (Large entity)	65,948	\$300.00	\$19,784,400.00
19	Basic National Stage Fee (Small entity)	19,893	\$150.00	\$2,983,950.00
19	Basic National Stage Fee (Micro entity)	1,197	\$75.00	\$89,775.00
19	National Stage Search Fee – U.S. was the ISA or IPEA and all claims satisfy PCT Article 33(1)-(4)	452	\$0.00	\$0.00
19	National Stage Search Fee – U.S. was the ISA (Large entity)	2,728	\$140.00	\$381,920.00
19	National Stage Search Fee – U.S. was the ISA (Small entity)	2,918	\$70.00	\$204,260.00
19	National Stage Search Fee – U.S. was the ISA (Micro entity)	206	\$35.00	\$7,210.00
19	National Stage Search Fee – search report prepared and provided to USPTO (Large entity)	60,196	\$520.00	\$31,301,920.00
19	National Stage Search Fee – search report prepared and provided to USPTO (Small entity)	15,917	\$260.00	\$4,138,420.00
19	National Stage Search Fee – search report prepared and provided to USPTO (Micro entity)	866	\$130.00	\$112,580.00
19	National Stage Examination Fee – U.S. was the ISA or IPEA and all claims satisfy PCT Article 33(1)-(4)	452	\$0.00	\$0.00
19	National Stage Search Fee – all other	2,864	\$660.00	\$1,890,240.00

	situations (Large entity)			
19	National Stage Search Fee – all other situations (Small entity)	908	\$330.00	\$299,640.00
19	National Stage Search Fee – all other situations (Micro entity)	118	\$165.00	\$19,470.00
19	National Stage Examination Fee – all other situations (Large entity)	65,701	\$760.00	\$49,932,760.00
19	National Stage Examination Fee – all other situations (Small entity)	19,653	\$380.00	\$7,468,140.00
19	National Stage Examination Fee – all other situations (Micro entity)	1,171	\$190.00	\$222,490.00
19	Search fee, examination fee or oath of declaration after thirty months from priority date (Large entity)	23,193	\$140.00	\$3,247,020.00
19	Search fee, examination fee or oath of declaration after thirty months from priority date (Small entity)	10,149	\$70.00	\$710,430.00
19	Search fee, examination fee or oath of declaration after thirty months from priority date (Micro entity)	304	\$35.00	\$10,640.00
19	Search fee – regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) (Large entity)	8,227	\$2,080.00	\$17,112,160.00
19	Search fee – regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) (Small entity)	10,929	\$1,040.00	\$11,366,160.00
19	Search fee – regardless of whether there is a corresponding application (see 35 U.S.C. 361(d) and PCT Rule 16) (Micro entity)	1,129	\$520.00	\$587,080
19	Supplemental search fee when required, per additional invention (Large entity)	1	\$2,080.00	\$2,080.00
19	Supplemental search fee when required, per additional invention (Small entity)	0	\$1,040.00	\$0.00
19	Supplemental search fee when required, per additional invention (Micro entity)	0	\$520.00	\$0.00
19	Preliminary examination fee – U.S. was the ISA (Large entity)	346	\$600.00	\$207,600.00
19	Preliminary examination fee – U.S. was the ISA (Small entity)	257	\$300.00	\$77,100.00
19	Preliminary examination fee – U.S. was the ISA (Micro entity)	54	\$150	\$8,100.00
19	Preliminary examination fee – U.S. was not the ISA (Large entity)	143	\$760.00	\$108,680.00
19	Preliminary examination fee – U.S. was not the ISA (Small entity)	31	\$380.00	\$11,780.00
19	Preliminary examination fee – U.S. was not the ISA (Micro entity)	1	\$190.00	\$190.00
19	Supplemental examination fee per additional invention (Large entity)	0	\$600.00	\$0.00
19	Supplemental examination fee per additional	4	\$300.00	\$1,200

	invention (Small entity)			
19	Supplemental examination fee per additional invention (Micro entity)	0	\$150.00	\$0.00
20	Acceptance of an unintentionally delayed claim for priority, or for filing a request for the restoration of the right of priority	1,409	\$2,000.00	\$2,818,000.00
	Total filing fees	461,400	\$243,499,523.00
2	[PCT National Stage] Claim – multiple dependent (Large entity)	986	\$820.00	\$808,520.00
2	[PCT National Stage] Claim – multiple dependent (Small entity)	522	\$410.00	\$214,020.00
2	[PCT National Stage] Claim – multiple dependent (Large entity)	42	\$205.00	\$8,610.00
	Total multiple dependent claim fees	1,580	\$1,031,150.00
3	National Stage Application Size Fee – for each additional 50 sheets that exceed 100 sheets (Large entity)	2,325	\$400.00	\$930,000.00
3	National Stage Application Size Fee – for each additional 50 sheets that exceed 100 sheets (Small entity)	1,181	\$200.00	\$236,200.00
3	National Stage Application Size Fee – for each additional 50 sheets that exceed 100 sheets (Micro entity)	36	\$100.00	\$3,600
	Total application size fees	3,542	\$1,169,800.00
	English translations of non-English language documents for PCT applications	2,298	\$15,000	\$34,470.00
	Drawings	56,480	\$638.00	\$36,034,240.00
	Postage for mailed submissions	12,390	\$0.49	\$6,071.10
	Total non-filing/handling fee annual (non-hour) costs	\$70,510,311.10
	Total annual (non-hour) cost burden	\$316,210,784.10

14. Annual Cost to the Federal Government

The items in this collection will be processed by USPTO employees with the following estimated hourly costs based on standard GS hourly rates plus 30% added for benefits and overhead:

- GS-9, step 1: \$25.60 + 30% (\$7.68) = \$33.28
- GS-12, step 1: \$37.13 + 30% (\$11.14) = \$48.27
- GS-14, step 6: \$60.87 + 30% (\$18.26) = \$79.13
- GS-15, step 1: \$61.37 + 30% (\$18.41) = \$79.77

Table 6 calculates the burden hours and costs to the Federal Government for processing this information collection:

Table 6: Burden Hour/Burden Cost to the Federal Government

IC Number	Item	Hours (a)	Responses (yr) (b)	Burden (hrs/yr) (c) (a) x (b)	Rate (\$/hr) (d)	Total Cost (\$/yr) (e) (c) x (d)
1	Request and Fee Calculation Sheet (Annex and Notes) (PCT/RO/101)	0.50	56,480	28,240	\$33.28	\$939,827.20
2	Description/claims/drawings/abstracts	0.50	56,480	28,240	\$33.28	\$939,827.20
3	Application Data Sheet (35 U.S.C. § 371 applications)	0.50	91,477	45,739	\$33.28	\$1,522,193.92
4	Transmittal Letter to the RO/US (PTO-1382)	0.15	50,832	7,625	\$33.28	\$253,760.00
5	Transmittal Letter to the DO/EO/US Concerning a Submission Under 35 U.S.C. 371 (PTO-1390)	0.15	85,387	12,808	\$33.28	\$426,250.24
6	PCT/Model of Power of Attorney	0.15	2,824	424	\$33.28	\$14,110.72
7	PCT/Model of General Power of Attorney	0.15	282	42	\$33.28	\$1,397.76
8	Indications Relating to a Deposited Microorganism (PCT/RO/134)	0.15	1	0	\$33.28	\$0.00
9	Response to invitation to correct defects	1.00	15,117	15,117	\$33.28	\$503,093.76
10	Request for rectification of obvious errors	1.50	867	1,301	\$33.28	\$43,297.28
11	Demand and Fee Calculation Sheet (Annex and Notes) (PCT/IPEA/401)	0.30	1,406	422	\$33.28	\$14,044.16
12	Amendments (Article 34)	0.75	1,406	1,055	\$33.28	\$35,110.40
13	Fee Authorization	0.15	50,832	7,625	\$33.28	\$253,760.00
14	Requests to transmit copies of international application	0.15	1,081	162	\$33.28	\$5,391.36
15	Withdrawal of international application (PCT/IB/372)	1.00	1,580	1,580	\$33.28	\$52,582.40
16	Translations	0.30	2,298	689	\$33.28	\$22,929.92
17	Petition for Revival of an International Application for Patent Designating the U.S. Abandoned Unintentionally Under 37 CFR 1.137(a) (PTO/SB/64/PCT)	2.50	887	2,218	\$79.13	\$175,510.34
18	Petitions to the Commissioner for international applications	6.50	133	865	\$79.77	\$69,009.70
19	Petitions to the Commissioner in national stage examination	6.50	3,191	20,742	\$79.77	\$1,654,796.76
20	Acceptance of an unintentionally delayed claim for priority (37 CFR 1.78(a)(3))	2.50	542	1,355	\$48.27	\$65,405.85

IC Number	Item	Hours (a)	Responses (yr) (b)	Burden (hrs/yr) (c) (a) x (b)	Rate (\$/hr) (d)	Total Cost (\$/yr) (e) (c) x (d)
21	Request for the restoration of the right of priority	2.50	867	2,168	\$48.27	\$108,649.36
	Totals	423,970	178,417	\$7,096,948.33

The USPTO also has an automated information system that supports the processing of PCT applications, POWER. The cost to support POWER is approximately \$225,000 per year. **Therefore, the total annual cost to the federal government for processing this collection is approximately \$7,096,948.33.**

15. Reasons for Changes in Burden from the Current Inventory

Summary of Changes Since the Previous Renewal

OMB previously approved this collection in June 2013 with a total of 353,669 responses and 348,686 annual burden hours. With this renewal, the USPTO estimates that the annual response will be 423,970, with the annual burden hours at 364,830, with an increase of 70,301 responses and an increase of 16,144 annual burden hours.

The total annualized non-hour cost burden for this renewal of \$316,210,784.10 is an increase of \$34,186,550.10 from the currently approved total of \$282,024,234.00. There is an increase in the non-hour cost due to an increase in translations; however, there is also a decrease in drawings and a decrease in postage costs.

This collection has also been updated with one request for nonsubstantive changes since it was approved by OMB for renewal in June 2013:

- March 2016: Return of fifty-seven fees accounted to this collection following the discontinuation of collection 0651-0072 (America Invents Act Section 10 Patent Fee Adjustment).

Changes in Responses and Burden Hours

With this renewal, a total of 70,301 responses and 16,144 burden hours have been added to the currently approved burden hour total. Program changes resulted in an increase of total responses from 353,669 to 423,970 per year and an increase of the total number of burden hours from 348,686 to 364,830 per year. These changes are due to administrative adjustments from annual response estimates and program changes from the removal of one item in this collection.

The item being removed from this collection is:

- IC Number 17: Petition for Revival of an International Application for Patent Designating the U.S. Abandoned Unavoidably Under 37 CFR 1.137(a) (PTO/SB/61/PCT)

As a result of this program change, 27 responses and 216 burden hours have been deleted from this collection.

Changes in Annual (Non-hour) Costs from the Current Inventory

For this renewal, the USPTO estimates that the total annual non-hour costs will be \$316,210,784.10 instead of the \$282,024,234 currently approved in the OMB inventory. The increase is primarily due to new fees being added to the collection. There has been an increase in the filing fee charges from \$21 to \$410/hr.

Program changes

- Fees: Most of the fees in this collection have been returned to this collection following the discontinuation of collection 0651-0072.
- Recordkeeping: No recordkeeping changes.
- Postage: No change in postage costs.

Administrative adjustments

- Translations: There was an increase in the number of translations estimated to be received by the USPTO, resulting in an increase in costs.
- Drawings: There was an increase in the number of drawings estimated to be received by the USPTO, resulting in an increase in costs.
- Postage: The number of responses being mailed to the USPTO decreased, resulting in a decrease in costs.

Table 7: Changes in Annual (Non-hour) Costs from the Current Inventory

Cost	Currently approved annual cost burden	Program changes	Administrative adjustments	Total change in costs	Updated annual cost burden
Filing fees	\$60,860,157.00	\$0.00	\$243,499,523.00	\$243,499,523.00	\$243,499,523.00
Late filing fees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Late translation fees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Multiple dependent claim fees	\$0.00	\$0.00	\$1,031,150.00	\$1,031,150.00	\$1,031,150.00
Application size fees	\$0.00	\$0.00	\$1,169,800.00	\$1,169,800.00	\$1,169,800.00
Translations	\$31,770,000.00	\$0.00	(\$2,700,000.00)	(\$2,700,000.00)	\$34,470.00
Drawings	\$28,033,082.00	\$0.00	\$8,001,158.00	\$8,001,158.00	\$36,034,240.00
Recordkeeping	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Postage	\$8,134.00	\$0.00	(\$2,062.90)	(\$2,062.90)	\$6,071.10
Totals	0	\$0.00	\$250,999,568.10	\$250,999,568.10	\$281,775,254.10

16. Project Schedule

The USPTO does not plan to publish this information for statistical use or to have any special publication for the items discussed in this supporting statement. However, granted plant and utility patents are published weekly in the *Official Gazette of the United States Patent and Trademark Office*, which is available electronically on the USPTO Web site.

17. Display of Expiration Date of OMB Approval

With the exception of forms PTO-1382, PTO-1390, PTO/SB/61/PCT, and PTO/SB/64/PCT, the forms in this collection are international in nature and cannot display specific country information such as the OMB control number and expiration date. WIPO administers the PCT and created the associated PCT forms. PCT Rules 4.1-4.18 and 53.1, and Administrative Instructions Sections 102 and 103, specify the forms to be used, and there are no provisions in the PCT for altering the forms from the WIPO printing. The USPTO forms listed above 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. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection of information does not employ statistical methods.