

**SUPPORTING STATEMENT**  
**United States Patent and Trademark Office**  
**Patent Prosecution Highway (PPH) Program**  
**OMB CONTROL NUMBER 0651-0058**  
**2021**

**A. JUSTIFICATION**

**1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

The Patent Prosecution Highway (PPH) is a framework in which an application whose claims have been determined to be patentable by on an Office of Earlier Examination (OEE) is eligible to go through an accelerated examination in an Office of Later Examination (OLE) 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 the USPTO information collection, 0651-0021 (Patent Cooperation Treaty).

In 2014, 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. Both the Global PPH and the 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 information collection allow participants to file in a U.S. application to make the U.S. application special under the PPH program.

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

**Table 1: Information Requirements**

Item No.	Requirement	Statute	Regulations
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	Request for Participation in the PPH Program Between the Brazilian National Institute of Industrial Property (INPI) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
3	Request for Participation in the PPH Program Between the Industrial Property Office of the Czech Republic (IPOCZ) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
4	Request for Participation in the PPH Program Between the Mexican Institute of Industrial Property (TMPI) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
5	Request for Participation in the PPH Program Between the Nicaraguan Registry of Intellectual Property (NRIP) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
6	Request for Participation in the PPH Program Between the Intellectual Property Office of the Philippines (IPOP) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
7	Request for Participation in the PPH Program Between the Romanian State Office of Inventions and Trademarks (OSIM) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
8	Request for Participation in the PPH Program between the Saudi Authority for Intellectual Property of the Kingdom of Saudi Arabia (SAIP) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)
9	Request for Participation in the PPH Program Between the Taiwan Intellectual Property Office (TIPO) and the USPTO	35 U.S.C. § 119	37 CFR 1.55 and 1.102(a)

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

The public uses this information collection to participate in either the PPH or the 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, participating, and submitting the required information for each program.

The information collected, maintained, and used in this information 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. 35), in OMB Circular A-130, and in the USPTO information quality guideline.

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

**Table 2: Needs and Uses**

Item No.	Form and Function	Form No.	Needs and Uses
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO	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	Request for Participation in the PPH Program Between the Brazilian National Institute of Industrial Property (INPI) and the USPTO	PTO/SB/20BR	<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>
3	Request for Participation in the PPH Program Between the Industrial Property Office of the Czech Republic (IPOCZ) and the USPTO	PTO/SB/20CZ	<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>
4	Request for Participation in the PPH Program Between the Mexican Institute of Industrial Property (TMPI) and the USPTO	PTO/SB/20MX	<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>
5	Request for Participation in the PPH Program Between the Nicaraguan Registry of Intellectual Property (NRIP) and the USPTO	PTO/SB/20NI	<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>
6	Request for Participation in the PPH Program Between the Intellectual Property Office of the Philippines (IPOP) and the USPTO	PTO/SB/20PH	<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>
7	Request for Participation in the PPH Program Between the Romanian State Office of Inventions and Trademarks (OSIM) and the USPTO	PTO/SB/20RO	<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>

8	Request for Participation in the PPH Program between the Saudi Authority for Intellectual Property of the Kingdom of Saudi Arabia (SAIP) and the USPTO	PTO/SB/20SA	<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>
9	Request for Participation in the PPH Program Between the Taiwan Intellectual Property Office (TIPO) and the USPTO	PTO/SB/20TW	<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>

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

The forms associated with this information collection may be downloaded from the USPTO website in Portable Document Format (PDF) and completed electronically. The electronic forms may be found here: <https://www.uspto.gov/patents/basics/international-protection/patent-prosecution-highway-pph-fast-track>. Requests to participate in the PPH program must be submitted online using the Patent Electronic Systems (EFS-Web or Patent Center).

The Patent Electronic Systems allow 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 Patent Electronic Systems interface. The Patent Electronic Systems offer 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. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

The information collected is required to process requests to participate in the PPH program 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 document were previously filed.

**5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

This information collection does not impose a significant economic burden on small entities or small businesses. The information required by this information 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. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

This information is collected only when the public submits a request to participate the 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. Explain any special circumstances that would cause an information collection to be conducted in a manner:**

- requiring respondents to report information to the agency more often than quarterly;
- requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
- requiring respondents to submit more than an original and two copies of any document;
- requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;
- in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
- requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
- that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or
- requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

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

**8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR**

**1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

**Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

**Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.**

The 60-Day Notice was published in the *Federal Register* on April 16, 2021 (86 CFR 20123). The comment period ended on June 15, 2021. One comment was received from the public, but it was not applicable to this information collection.

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. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.**

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

**10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy. If the collection requires a systems of records notice (SORN) or privacy impact assessment (PIA), those should be cited and described here.**

The Privacy Act of 1974 (P.L. 93-579) requires that an applicant be given certain information in connection with a submission of the attached forms related to a patent application or patent. The USPTO collects this information under authority of 37 CFR 1.55. The purpose of the system is to carry out the duties of the USPTO to grant and issue patents, including the collection of the inventor's oath or declaration under 35 U.S.C. 115. The information in this system of records is used to manage all applicant records including name, citizenship, residence, post office address, and other

information pertaining to the applicant's activities in connection with the invention for which a patent is sought. Statements containing various kinds of information with respect to inventors who are deceased or incapacitated, or who are unavailable or unwilling to make application for patent.

The information is protected from disclosure to third parties in accordance with the Privacy Act. However, routine uses of this information may include disclosure to the following: to law enforcement and investigation in the event that the system of records indicates a violation or potential violation of law; to a Federal, state, local, or international agency, in response to its request; to an agency, organization, or individual for the purpose of performing audit or oversight operations as authorized by law; to non-federal personnel under contract to the agency; to a court for adjudication and litigation; to the Department of Justice for Freedom of Information Act (FOIA) assistance; to members of congress working on behalf of an individual; to the Office of Personnel Management (OPM) for personnel research purposes; to National Archives and Records Administration for inspection of records; and to the Office of Management and Budget (OMB) for legislative coordination and clearance. Failure to provide any part of the requested information may result in an inability to process requests for participation in this program.

Categories of individuals covered by the system are: Applicants for patent, including inventors, legal representatives for deceased or incapacitated inventors, and other persons authorized by law to make applications for patent.

Categories of records in the system are: inventor's oath or declaration, applicant and inventor information including name, citizenship, residence, post office address and other information pertaining to the applicant's activities in connection with the invention for which a patent is sought, substitute statements containing various kinds of information with respect to inventors who are deceased or incapacitated, or who are unavailable or unwilling to make application for patent.

The applicable Privacy Act System of Records Notice for this information is COMMERCE/PAT-TM-7 Patent Application Files, available at Federal Register /Vol. 78, No. 61 / Friday, March 29, 2013 /Notices 19243. <https://www.govinfo.gov/content/pkg/FR-2013-03-29/pdf/2013-07341.pdf>

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.**

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

12. Provide estimates of the hour burden of the collection of information. The statement should:

- Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.
- If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.
- Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under 'Annual Cost to Federal Government'.

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 7,090 total responses per year for this information collection from 3,567 respondents. All requests for participation in either the PPH or the PCT-PPH program, which account for 100% of the total responses for this information collection, will be submitted electronically via the Patent Electronic System.

- **Burden Hour Calculation Factors**

The USPTO estimates that it will take the public approximately 120 minutes (2 hours) to gather the necessary information, prepare the appropriate form, and submit a completed request to the USPTO. Using these burden factors, USPTO estimates that the total respondent hourly burden for this information collection is 14,180 hours per year.

- **Cost Burden Calculation Factors**

The USPTO uses a professional rate of \$400 per hour for respondent cost burden calculations, which is the median rate for intellectual property attorneys in private firms as shown in the 2019 *Report of the Economic Survey* published by the [American Intellectual Property Association \(AIPLA\)](#). Using this hourly rate, the USPTO estimates that the total respondent cost burden for this information collection is \$5,672,000 per year.



**Table 3: Total Hourly Burden For Private Sector Respondents**

Item No.	Item	Estimated Annual Respondents	Estimated Annual Responses (year) (a)	Estimated Time for Responses (hours) (b)	Estimated Annual Burden (hour/year) (a) x (b) = (c)	Rate <sup>1</sup> (\$/hour) (d)	Estimated Annual Burden (c) x (d) = (e)
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO (PTO/SB/20GLBL)	3,255	6,510	2 (120 minutes)	13,020	\$400	\$5,208,000
2	Request for Participation in the PPH Program Between the Brazilian National Institute of Industrial Property (INPI) and the USPTO (PTO/SB/20BR)	9	9	2 (120 minutes)	18	\$400	\$7,200
3	Request for Participation in the PPH Program Between the Industrial Property Office of the Czech Republic (IPOCZ) and the USPTO (PTO/SB/20CZ)	4	4	2 (120 minutes)	8	\$400	\$3,200
4	Request for Participation in the PPH Program Between the Mexican Institute of Industrial Property (TMPI) and the USPTO (PTO/SB/20MX)	4	4	2 (120 minutes)	8	\$400	\$3,200
5	Request for Participation in the PPH Program Between the Nicaraguan Registry of Intellectual Property (NRIP) and the USPTO (PTO/SB/20NI)	4	4	2 (120 minutes)	8	\$400	\$3,200
6	Request for Participation in the PPH Program Between the Intellectual Property Office of the Philippines (IPOP) and the USPTO (PTO/SB/20PH)	4	4	2 (120 minutes)	8	\$400	\$3,200
7	Request for Participation in the PPH Program Between the Romanian State Office of Inventions and Trademarks (OSIM) and the USPTO (PTO/SB/20RO)	4	4	2 (120 minutes)	8	\$400	\$3,200

<sup>1</sup>2019 Report of the Economic Survey from the Law Practice Management Committee of the American Intellectual Property Law Association (AIPLA). <https://www.aipla.org/detail/journal-issue/2019-report-of-the-economic-survey>

8	Request for Participation in the PPH Program between the Saudi Authority for Intellectual Property of the Kingdom of Saudi Arabia (SAIP) and the USPTO (PTO/SB/20SA)	4	4	2 (120 minutes)	8	\$400	\$3,200
9	Request for Participation in the PPH Program Between the Taiwan Intellectual Property Office (TIPO) and the USPTO (PTO/SB/20TW)	23	46	2 (120 minutes)	92	\$400	\$36,800
<b>Total</b>		<b>3,311</b>	<b>6,589</b>	- - - -	<b>13,178</b>	- - - -	<b>\$5,271,200</b>

**Table 4: Total Hourly Burden For Individuals or Households Respondents**

Item No.	Item	Estimated Annual Respondents	Estimated Annual Responses (year)	Estimated Time for Response (hours)	Estimated Annual Burden (hour/year)	Rate <sup>2</sup> (\$/hour)	Estimated Annual Burden
			(a)	(b)	(a) x (b) = (c)	(d)	(c) x (d) = (e)
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO (PTO/SB/20GLBL)	245	490	2 (120 minutes)	980	\$400	\$392,000
2	Request for Participation in the PPH Program Between the Brazilian National Institute of Industrial Property (INPI) and the USPTO (PTO/SB/20BR)	1	1	2 (120 minutes)	2	\$400	\$800
3	Request for Participation in the PPH Program Between the Industrial Property Office of the Czech Republic (IPOCZ) and the USPTO (PTO/SB/20CZ)	1	1	2 (120 minutes)	2	\$400	\$800
4	Request for Participation in the PPH Program Between the Mexican Institute of Industrial Property (TMPI) and the USPTO (PTO/SB/20MX)	1	1	2 (120 minutes)	2	\$400	\$800

<sup>2</sup> 2019 Report of the Economic Survey from the Law Practice Management Committee of the American Intellectual Property Law Association (AIPLA). <https://www.aipla.org/detail/journal-issue/2019-report-of-the-economic-survey>

5	Request for Participation in the PPH Program Between the Nicaraguan Registry of Intellectual Property (NRIP) and the USPTO (PTO/SB/20NI)	1	1	2 (120 minutes)	2	\$400	\$800
6	Request for Participation in the PPH Program Between the Intellectual Property Office of the Philippines (IPOP) and the USPTO (PTO/SB/20PH)	1	1	2 (120 minutes)	2	\$400	\$800
7	Request for Participation in the PPH Program Between the Romanian State Office of Inventions and Trademarks (OSIM) and the USPTO (PTO/SB/20RO)	1	1	2 (120 minutes)	2	\$400	\$800
8	Request for Participation in the PPH Program between the Saudi Authority for Intellectual Property of the Kingdom of Saudi Arabia (SAIP) and the USPTO (PTO/SB/20SA)	1	1	2 (120 minutes)	2	\$400	\$800
9	Request for Participation in the PPH Program Between the Taiwan Intellectual Property Office (TIPO) and the USPTO (PTO/SB/20TW)	4	4	2 (120 minutes)	8	\$400	\$3,200
	<b>Total</b>	<b>256</b>	<b>501</b>	<b>- - - -</b>	<b>1,002</b>	<b>- - - -</b>	<b>\$400,800</b>

**13. Provide an estimate for the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden already reflected on the burden worksheet).**

- **The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life) and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors**

including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.

- If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collections services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.
- Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.

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

**14. Provide estimates of annualized costs to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies may also aggregate cost estimates from Items 12, 13, and 14 in a single table.**

The USPTO employs a [GS-15](#) employee to process submissions for this information collection.

The USPTO estimates that the cost of a [GS-15, step 1](#)<sup>3</sup> employee is \$89.78 per hours (GS-hourly rate of \$69.06 with 30% (\$20.72) added for benefits and overhead).

The USPTO estimates that it takes an employee 60 minutes (1 hour) to process a request for participation in either the PPH or the PCT-PPH program.

Table 5 calculates the burden hours and costs to the Federal Government for processing this information collection:

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<sup>3</sup> [https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB\\_h.pdf](https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2021/DCB_h.pdf)

**Table 5: Total Hourly Burden For the Federal Government**

Item No.	Item	Responses (yr) (b)	Hours (a)	Burden (hrs/yr) (a) x (b) (c)	Rate <sup>4</sup> (\$/hr) (d)	Total Cost (\$/hr) (c) x (d) (e)
1	Request for Participation in the Global/IP5 PPH Pilot Program in the USPTO (PTO/SB/20GLBL)	7,000	1 (60 minutes)	7,000	\$89.78	\$628,460
2	Request for Participation in the PPH Program Between the Brazilian National Institute of Industrial Property (INPI) and the USPTO (PTO/SB/20BR)	10	1 (60 minutes)	10	\$89.78	\$897
3	Request for Participation in the PPH Program Between the Industrial Property Office of the Czech Republic (IPOCZ) and the USPTO (PTO/SB/20CZ)	5	1 (60 minutes)	5	\$89.78	\$448.90
4	Request for Participation in the PPH Program Between the Mexican Institute of Industrial Property (TMPI) and the USPTO (PTO/SB/20MX)	5	1 (60 minutes)	5	\$89.78	\$448.90
5	Request for Participation in the PPH Program Between the Nicaraguan Registry of Intellectual Property (NRIP) and the USPTO (PTO/SB/20NI)	5	1 (60 minutes)	5	\$89.78	\$448.90
6	Request for Participation in the PPH Program Between the Intellectual Property Office of the Philippines (IPOP) and the USPTO (PTO/SB/20PH)	5	1 (60 minutes)	5	\$89.78	\$448.90
7	Request for Participation in the PPH Program Between the Romanian State Office of Inventions and Trademarks (OSIM) and the USPTO (PTO/SB/20RO)	5	1 (60 minutes)	5	\$89.78	\$448.90
8	Request for Participation in the PPH Program between the Saudi Authority for Intellectual Property of the Kingdom of Saudi Arabia (SAIP) and the USPTO (PTO/SB/20SA)	5	1 (60 minutes)	5	\$89.78	\$448.90
9	Request for Participation in the PPH Program Between the Taiwan Intellectual Property Office (TIPO) and the USPTO (PTO/SB/20TW)	50	1 (60 minutes)	50	\$89.78	\$4,489
	<b>Total</b>	<b>7,090</b>	<b>- - - -</b>	<b>7,090</b>	<b>- - - -</b>	<b>\$636,534</b>

**15. Explain the reasons for any program changes or adjustments reported on the burden worksheet.**

**Changes Due to Adjustment in Agency Estimate for Respondent Annual Time and**

<sup>4</sup> [https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2020/DCB\\_h.pdf](https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2020/DCB_h.pdf)

## Cost Burdens

ICR Summary of Burden:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses	7,090	0	0	-1,030	0	8,120
Annual Time Burden (Hr)	14,180	0	0	-2,060	0	16,240
Annual Cost Burden (\$)	0	0	0	0	0	0

### Changes in Responses and Burden Hours

For this renewal, the USPTO estimates that the annual responses will decrease by 1,030 (from 8,120 to 7,090) and the total burden hours will decrease by 2,060 (from 16,240 to 14,180) from the currently approved burden for this information collection. These changes are due to an expected slight decrease in the number of submissions under this program.

### Changes in Respondent Hourly Cost Burden

The total respondent cost burden for this information collection has decreased by \$1,432,360 (from \$7,104,360 to \$5,672,000) from the previous renewal of this information collection in 2018. These changes are due to the following administrative adjustments:

- Decrease in estimated hourly rates. The 2018 renewal used an estimated rate of \$438 per hour for respondent to this information collection, which was an average of the estimated attorney rate. For the current renewal, the USPTO is using an updated hourly rate of \$400.
- Decrease in estimated burden hours. The total estimated burden hours have decreased from 16,240 in the 2018 renewal to 14,180 for the current renewal due to overall decreases in the estimated annual responses to this information collection.

### No Changes in Annual (Non-hour) Costs

For this renewal, the USPTO estimates that there will be no changes in the total annual (non-hour) costs. There are no annual (non-hour) costs associated with this information collection.

**16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.**

The USPTO does not plan to publish this information for statistical use. However, some patent and trademark records are available to the public at the USPTO Public Search Facilities and on the USPTO website.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

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

**18. Explain each exception to the topics of the certification statement identified in “Certification for Paperwork Reduction Act Submissions.”**

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.