

**SUPPORTING STATEMENT**  
**United States Patent and Trademark Office**  
**Patents for Humanity Program and Trademarks for Humanity Program**  
**OMB CONTROL NUMBER 0651-0066**  
**2025**

**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.**

Since 2012, the United States Patent and Trademark Office (USPTO) has conducted the Patents for Humanity Program,<sup>1</sup> a biennial award program to incentivize the distribution of patented technologies or products for the purpose of addressing humanitarian needs. The program is open to any U.S. patent owners, patent applicants, or patent licensees or licensors. The USPTO collects information from applicants that describe what actions they have taken with their technology to address the world's most pressing humanitarian problems. There are numerous categories of awards including: medicine, nutrition, sanitation, household energy, and living standards. Sometimes the program includes additional categories specific for that year.

The Patents for Humanity Program provides winners with recognition and an acceleration certificate for one future patent matter. The applications that are chosen for an award will receive a certificate redeemable to accelerate select matters before the USPTO. The certificates can be redeemed to accelerate one of the following matters:

- an *ex parte* reexamination proceeding, including one appeal to the Patent Trial and Appeal Board (PTAB) from that proceeding;
- a patent application, including one appeal to the PTAB from that application;
- or an appeal to the PTAB of a claim twice rejected in a patent application or reissue application or finally rejected in an *ex parte* reexamination, without accelerating the underlying matter which generated the appeal.

The Patents for Humanity Act of 2022 codified the Patents for Humanity program to be a permanent program at the USPTO that will run biennially. Finally, due to the January 2021 passage of the Patents for Humanity Program Improvement Act, winners of the Patents for Humanity Program are now able to transfer their certificates to third parties, including by sale.

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<sup>1</sup>Patents for Humanity webpage: [www.uspto.gov/ip-policy/patent-policy/patents-humanity](http://www.uspto.gov/ip-policy/patent-policy/patents-humanity)

In 2023, the USPTO added the Trademarks for Humanity Program<sup>2</sup> to promote and incentivize brand owners who offer products and services that help address humanitarian issues utilizing a federally registered trademark. Applicants are required to describe how their mark and their goods or services satisfy the program criteria to address humanitarian issues. The Trademarks for Humanity Program is held occasionally, with no set frequency, and can have a variety of topics depending upon the year. Trademarks for Humanity awards focus on recognition and do not confer awards certificates like the Patents for Humanity Program.

Applications may be submitted via an online portal, accessible from the Patents for Humanity and Trademarks for Humanity main webpages. Applicants for both programs must provide contact information for the USPTO to notify them regarding their award status. A panel of independent judges evaluate the applications and send the top-scoring ones to reviewers from participating federal agencies to recommend award recipients. Awards are public and recipients receive recognition for their humanitarian efforts from the USPTO and executive branch leadership. Winners of both the Patents for Humanity Program and the Trademarks for Humanity Program are invited to participate in an awards ceremony.

This information collection covers the two application forms for the Patents for Humanity Program and the single application form for the Trademarks for Humanity Program. This information collection also covers the information gathered in the Patents for Humanity certification and request to redeem an acceleration certificate, the petition to extend an acceleration certificate redemption beyond 12 months, as well as the transfer of an award certificate.

To account for the recent addition of the Trademarks for Humanity Program, the name of this information collection has been changed from “Patents for Humanity Program” to “Patents for Humanity Program and Trademarks for Humanity 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	Regulation
1	Humanitarian Program Application (Humanitarian Use)	35 U.S.C. § 3(a)(2)	37 CFR 1.102
2	Humanitarian Program Application (Humanitarian Research)	35 U.S.C. § 3(a)(2)	37 CFR 1.102
3	Petition to Extend the Redemption Period of the Humanitarian Award Certificate	35 U.S.C. § 3(a)(2)	37 CFR 1.102
4	Transfer of Awards Certificate	35 U.S.C. § 3(a)(2); Public Law 116-316	37 CFR 1.102
5	Trademarks for Humanity Awards Program Application	35 U.S.C. § 3(a)(2)	37 CFR 1.102

<sup>2</sup>Trademarks for Humanity webpage: [www.uspto.gov/ip-policy/trademark-policy/trademarks-humanity](http://www.uspto.gov/ip-policy/trademark-policy/trademarks-humanity)

**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 USPTO provides application forms that applicants can use to apply for participation in the two programs. The Patents for Humanity application covers the humanitarian uses of technologies or products, while the other application covers humanitarian research. These applications may be up to 2,500 words and can be supplemented with additional supporting materials. The applications must be submitted electronically through the competition website. When offered, there is a single application to participate in the Trademarks for Humanity Program.

Patents for Humanity applicants who are ultimately awarded an Acceleration Certificate may wish to extend the redemption period of that certificate. In the event that an applicant wishes to extend that time period, they must complete a Petition to Extend the Redemption Period of the Humanitarian Awards Certificate. The petition is a one-page document which allows the applicant to request a 12-month extension of their certificate’s redemption period based on criteria outlined on the form (e.g. lack of a suitable matter, a pending matter is not yet ripe for certificate redemption, etc.).

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. 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**

Item No.	Form/ Function	Form No.	Needs and Uses
1	Humanitarian Program Application (Humanitarian Use)	PTO/PFH/001	<ul style="list-style-type: none"> <li>Used by the applicant to apply for participation in the Patents for Humanity Program.</li> <li>Used by the applicant to provide their contact information to the USPTO.</li> <li>Used by external judges to recommend award recipients.</li> <li>Used by the selection committee to make recommendations for award recipients.</li> <li>Used by the USPTO to award a certificate to the selected recipients.</li> </ul>
2	Humanitarian Program Application (Humanitarian Research)	PTO/PFH/002	<ul style="list-style-type: none"> <li>Used by the applicant to apply for participation in the Patents for Humanity Program.</li> <li>Used by the applicant to provide their contact information to the USPTO.</li> <li>Used by external judges to recommend award recipients.</li> <li>Used by the selection committee to make recommendations for award recipients.</li> <li>Used by the USPTO to award a certificate to the selected recipients.</li> </ul>
3	Petition to Extend the Redemption Period of the Humanitarian Awards Certificate	PTO/SB/431	<ul style="list-style-type: none"> <li>Used by the certificate holder to petition the USPTO to extend the redemption period of the certificate after it expires.</li> <li>Used by the USPTO to grant the extension of the redemption period for the certificate.</li> </ul>

4	Transfer of Awards Certificate	PTO/SB/466	<ul style="list-style-type: none"> <li>• Used by the certificate holder to transfer the award to another party.</li> <li>• Used by USPTO to track the transference of certificates between parties.</li> </ul>
5	Trademarks for Humanity Program Application	PTO/TFH/001	<ul style="list-style-type: none"> <li>• Used by the applicant to apply for participation in the Trademarks for Humanity Awards Program.</li> <li>• Used by the applicant to provide their contact information to the USPTO.</li> <li>• Used by external judges to recommend award recipients.</li> <li>• Used by the selection committee to make recommendations for award recipients.</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 applications for participation in the programs are submitted electronically to the USPTO through the competitions' websites.<sup>3</sup>

**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 is collected only when patent owners or patent licensees, including inventors who have not assigned their ownership rights to others, assignees, and exclusive or non-exclusive licensees apply for participation in the Patents for Humanity Program. Likewise, the USPTO only collects information from trademarks registrants when they apply for participation in the Trademarks for Humanity Program. It does not duplicate information or collect data found elsewhere.

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

The USPTO expects that the submission of the information provided places no undue burden on small businesses or other small entities.

**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.**

If this information were not collected, the USPTO would not be able to present the awards or fulfill the requirements of the programs.

<sup>3</sup> Patents for Humanity Program website: <https://www.uspto.gov/ip-policy/patent-policy/patents-humanity?MURL=PatentsForHumanity>; Trademarks for Humanity Program website: <https://www.uspto.gov/ip-policy/trademarks-humanity-awards-program>.

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 October 25, 2024 (89 FR 85171).<sup>4</sup> The comment period ended on December 24, 2024. The USPTO received no public comments in response to the notice.

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

This information collection does involve an award to select respondents. For patent holders whose applications are chosen as the best examples of advancing humanitarian goals, the USPTO will award them a certificate for acceleration of certain matters before the Agency. The awards for the Trademarks for Humanity Program are recognition only; there is no special reward or waiver given.

- 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 system of records notice (SORN) or privacy impact assessment (PIA), those should be cited and described here.**

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. For secure electronic access to the patent electronic filing system (Patent Center), the USPTO employs digital certificates and 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

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<sup>4</sup> <https://www.govinfo.gov/content/pkg/FR-2024-10-25/pdf/2024-24920.pdf>.

of the file contents. The entire file of a reexamination proceeding is available to the public.

USPTO is required by 35 U.S.C. § 131, to maintain the patenting process. Information is collected on petitions and applications for patent products including information regarding representation.

This collection contains information which is subject to the Privacy Act. This information is collected on petitions filed for patent maintenance. Privacy Act Statements are included on all of these forms. The following SORNs provide privacy disclosures and information about USPTO's handling of personally identifiable information (PII) that is part of this collection:

- PAT/TM-7 Patent Application Files; published March 29, 2013 (78 FRN 19243)<sup>5</sup>
- USPTO-26 Trademark Application and Registration Records; published February 18, 2020 (85 FR 8847)<sup>6</sup>

SORN 7 identifies the categories of individuals covered by the system containing 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 comprises the following: oath or declaration of applicant 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 in SORN 7 is protected from disclosure to third parties in accordance with the Privacy Act until the application is published under 35 U.S.C. 122(b) or issued as a patent under 35 U.S.C. 153. Prior to application publication or patent issuance, the information in SORN 7 is protected from disclosure to third parties in accordance with the Privacy Act, except that disclosure is permitted for the following routine uses including, but not limited to: law enforcement in the event that the system of records indicates a violation or potential violation of law; a federal, state, local, or international agency, in response to its request; an agency, organization, or individual for the purpose of performing audit or oversight operations as authorized by law; non-federal personnel under contract to the agency; the Department of Justice for Freedom of Information Act (FOIA) assistance; a member of Congress working on behalf of an individual to whom the record pertains, when the individual has requested the member's assistance with respect to the subject matter of the record; the Office of Personnel Management (OPM) for personnel research purposes; and the Office of Management and Budget (OMB) for legislative coordination and clearance.

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<sup>5</sup> <https://www.govinfo.gov/content/pkg/FR-2013-03-29/pdf/2013-07341.pdf>.

<sup>6</sup> <https://www.govinfo.gov/content/pkg/FR-2020-02-18/pdf/2020-03068.pdf>.

SORN 26 identifies the categories of records in the system that include the name, citizenship, domicile, email address, postal address, and telephone number of the trademark applicant or registrant, and applicant's or registrant's legal or other authorized representative(s), an attorney's law firm or company affiliation and professional licensing information, and other information pertaining to an applicant's or registrant's activities in connection with the applied-for or registered mark. Records in this system include trademark applications, applicant and registrant declarations, office actions, registration certificates, and correspondence generated in the course of the prosecution of a trademark application or maintenance of a trademark registration.

**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 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'.**
- **Provide an estimate for the total annual cost burden to respondents or record keepers resulting from the collection of information.**

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 52 responses from 52 respondents during the two-year period in which the Patents for Humanity program is conducted and 30 responses from 30 respondents when the Trademarks for Humanity Program award is conducted. This totals 82 responses from 82 respondents, with approximately 25% of these responses submitted by small entities.

The USPTO estimates that approximately 100% of the annual responses for this collection will be submitted electronically via the USPTO website.

- **Burden Hour Calculation Factors**

The USPTO estimates that it takes the public approximately between 30 minutes (0.50 hours) to 4 hours, depending on the complexity of the situation and item, to gather the necessary information, prepare the appropriate document(s), and submit the item to the USPTO. Using these burden factors, USPTO estimates that the total respondent hourly burden for this information collection is 322 hours for both programs per awards cycle.

- **Cost Burden Calculation Factors**

The USPTO uses a professional rate of \$447 per hour for respondent cost burden calculations, which is the median rate for intellectual property attorneys in private firms as shown in the 2023 *Report of the Economic Survey* published by the American Intellectual Property Law Association (AIPLA).

Using these hourly rates, the USPTO estimates that the total respondent cost burden for this information collection is \$143,934 for both programs per awards cycle.

**Table 3: Total Burden Hours and Hourly Costs to Private Sector Respondents**

Item No.	Item	Estimated Annual Respondents	Responses per Respondent	Estimated Annual Responses	Estimated Time for Response (hours)	Estimated Burden (hour/year)	Rate <sup>7</sup> (\$/hour)	Estimated Annual Respondent Cost Burden
		(a)	(b)	(a) x (b) = (c)	(d)	(c) x (d) = (e)	(f)	(e) x (f) = (g)
1	Humanitarian Program Application (Humanitarian Use)	25	1	25	4	100	\$447	\$44,700
2	Humanitarian Program Application (Humanitarian Research)	25	1	25	4	100	\$447	\$44,700

<sup>7</sup> 2023 Report of the Economic Survey, published by the Committee on Economics of Legal Practice of the American Intellectual Property Law Association (AIPLA); pg. F-41. The USPTO uses the average billing rate for intellectual property work in all firms which is \$447 per hour (<https://www.aipla.org/home/news-publications/economic-survey>).

3	Petition to Extend the Redemption Period of the Humanitarian Award Certificate	1	1	1	1	1	\$447	\$447
4	Transfer of Awards Certificate	1	1	1	0.50 (30 minutes)	1	\$447	\$447
5	Trademarks for Humanity Application	30	1	30	4	120	\$447	\$53,640
	<b>Totals</b>	<b>82</b>	<b>---</b>	<b>82</b>	<b>---</b>	<b>322</b>	<b>---</b>	<b>\$143,934</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.

There are no capital start-up costs, maintenance costs, recordkeeping costs, filing fees, or postage 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 GS-9, GS-11, and GS-15 employees to process submissions for this information collection. The USPTO also uses outside volunteers who review the

application submissions. Some volunteers are not employed by the federal government, while others are federal employees.

The USPTO estimates that the cost of a GS-9, step 1 employee is \$45.64 per hour (GS hourly rate of \$33.50 with 36.25% (\$12.14) added for benefits and overhead).

The USPTO estimates that the cost of a GS-11, step 1 employee is \$55.24 per hour (GS hourly rate of \$40.54 with 36.25% (\$14.70) added for benefits and overhead).

The USPTO estimates that the cost of a GS-15, step 1 employee is \$109.42 per hour (GS hourly rate of \$80.31 with 36.25% (\$29.11) added for benefits and overhead).

The USPTO uses a combined rate for the GS-9 and GS-15 employees for those processing the Trademarks for Humanity Program Applications. This combined rate is \$77.53.

The USPTO estimates that it takes an employee between 5 minutes (0.08 hours) to 2 hours to process and administer the items in this information collection.

Table 4 calculates the burden hours and costs to the federal government for processing this information collection:

**Table 4: Burden Hour/Cost to the Federal Government**

Item No.	Item	Estimated Annual Responses (a)	Estimated Burden Hours (b)	Estimated Hourly Burden (a) x (b) = (c)	Rate <sup>a</sup> (\$/hr) (d)	Total Federal Government Cost (c) x (d) = (e)
1	Humanitarian Program Application (Humanitarian Use)	25	2	50	\$45.64	\$2,282
2	Humanitarian Program Application (Humanitarian Research)	25	2	50	\$45.64	\$2,282
3	Petition to Extend the Redemption Period of the Humanitarian Awards Certificate	1	0.17 (10 minutes)	0	\$55.24	\$0
4	Transfer of Awards Certificate	1	0.08 (5 minutes)	0	\$45.64	\$0
5	Trademarks for Humanity Program Application	30	2	60	\$77.53	\$4,652
	<b>Totals</b>	<b>82</b>	<b>- - -</b>	<b>160</b>	<b>- - -</b>	<b>\$9,216</b>

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

**Table 5: 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

<sup>8</sup> [https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2024/DCB\\_h.pdf](https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2024/DCB_h.pdf).

Annual Number of Responses	82	0	0	-63	0	145
Annual Time Burden (Hr)	332	0	0	-136	0	458
Annual Cost Burden (\$)	0	0	0	0	0	0

### Changes in Responses and Hourly Burden due to Adjustment in Agency Estimate

The total number of responses has decreased by 63 due to an estimated decline the number of respondents applying to the Patents for Humanity Program. This decrease in the number of respondents and responses results in a decrease of 136 hours in the annual time burden estimates.

**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.

**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.