

SUPPORTING STATEMENT
UNITED STATES PATENT AND TRADEMARK OFFICE
Global Intellectual Property Academy (GIPA) Surveys
OMB Control Number 0651-0065
2026

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

- 1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection methods to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.**

The respondent universe for these surveys will be foreign government officials and intellectual property stakeholders who participate in GIPA courses and programs. The intent is to collect information on the effectiveness of the targeted courses offered by USPTO through GIPA. As a result, the potential respondent universe for a given assessment, performance measurement, satisfaction study, or evaluation is highly dependent upon the nature and purpose of the specific GIPA course.

The USPTO evaluates each GIPA course separately. Over the course of each fiscal year, GIPA engages participants from many countries. The first step in defining the respondent universe is for GIPA staff to determine the scope and make-up of each course (i.e., the countries of the respondents and the time frame). For each survey (GIPA Streamlined post-program and GIPA alumni survey), a census approach (surveying the entire population by course/by fiscal year) will be conducted. Since the total universe is known, the USPTO can track respondent distribution to ensure that the respondent pool is proportional and representative of the entire universe.

The respondent pool for these surveys is currently comprised of all individuals who participated in the USPTO Global Intellectual Property Academy sessions. This universe was selected to administer the surveys and develop the system of delivery, data collection, analysis, and reporting.

The size of the respondent universe in past GIPA evaluations, performance measurement and management studies has varied from 300-11,200 participants. As the USPTO conducts these surveys, the agency will investigate the relationship between the size of the respondent universe/population surveyed and response rates.

- 2. Describe the procedures for the collection of information including:**
 - Statistical methodology for stratification and sample selection,**

- **Estimation procedure,**
- **Degree of accuracy needed for the purpose described in the justification,**
- **Unusual problems requiring specialized sampling procedures, and**
- **Any use of periodic (less frequent than annual) data collection cycles to reduce burden.**

At this time, the sampling method for the GIPA Alumni survey is limited to all of the English-speaking foreign officials who participate in the GIPA courses. The sample for these surveys is the same as the respondent pool. As the respondent pool for the survey expands, the USPTO fully expects the sample to expand as well. The GIPA Post-Program survey is available in seven languages: English, Spanish, French, Portuguese, Russian, Arabic, and Chinese.

Procedures for Collecting Information

Data collection methods will primarily be conducted via an online survey platform with the survey link delivered to participants as an email. Potential respondents will receive the same survey. Several questions are structured to have random response order to diminish response order bias. All respondents will be identified as having completed participation in a GIPA course.

Names and most recent contact information are stored in GIPA's participant database. Contact information is updated by GIPA staff and any relevant co-organizer. All participants in the collection universe are sent an email to inform them of the evaluation and ask them to participate.

The data collection method is the same for the GIPA Streamlined Post-Program survey and GIPA Alumni surveys. In the case of non-responses, GIPA staff will send email reminders to those participants in order to maximize the response rate and generate a representative response.

If the USPTO decides to conduct surveys in-country, data collection methods vary according to the particular course and the country in which the data is being collected. In general, however, GIPA surveys use a combination of the following data collection methods: paper surveys and web-based surveys. Factors used to determine the data collection methods in any given country relate to the availability of internet access and the cultural and political attitudes towards surveying. For each evaluation, the data collection methods are discussed prior to distributing the survey.

- 3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.**

The Federal Consulting Group (FCG), a contractor who previously prepared reports on the GIPA alumni survey, reported that average response rate for surveys involving international participants averaged around 36% for well-established surveys conducted with similar methodology. At the time of the reporting, FCG had experience surveying similar international audiences who had participated in United States Government sponsored education and training programs. Based on this and the response rate from the last alumni survey, the USPTO projects an average response rate of 30-35% from the foreign officials. These rates are consistent with similar follow-on surveys conducted by other training providers in the private sector.

GIPA therefore anticipates a response rate of 30-35%. Recent GIPA alumni surveys have yielded a 31% response rate. A factor affecting survey response rates is the touch point (post-program and alumni surveys). The USPTO expects a higher response rate for post-program surveys, because they are delivered as soon as participants complete the course or while participants are on site at GIPA.

Participation in alumni surveys is likely to be high because respondents are a group that historically seeks follow-on contacts, engagements, and information from GIPA. If a respondent participated in a course, they are more likely to participate in an alumni survey as well. The interest of staying in touch with the providing organization is common in other international exchange and training programs similar to GIPA.

Methods to Maximize Responses

In order to maximize the number of responses received from the survey, the USPTO intends to:

- Assure all participants that the responses will be kept confidential and only aggregated data will be used.
- Conduct the survey using the Qualtrics system to house survey responses.
- Conduct the survey via e-mail, a known and convenient method of communication with the participant group.
- Provide follow-up reminders periodically to those individuals who have not responded to the survey.

The survey questions are primarily close-ended and brief to allow participants to answer the questions quickly and easily, even with English as a second language. The survey questions are designed so that they are easy to answer, and follow-up will be repeated when necessary to maximize response rates.

All data collection methods are tailored to fit the prevailing political, cultural, safety, security, and accessibility conditions in each country in which participants are involved in

an evaluation or performance measurement study. Initial contact with prospective respondents is conducted through emails. Follow-up reminders will be sent periodically to non-respondents to encourage them to respond. The USPTO expects that the efforts described above will stimulate the response rates.

- 4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.**

The USPTO has demographic data on the universe of respondents. The demographic data includes the country of residence, course, and participation dates. GIPA will track these variables to ensure that the final response total is representative across them. The survey invitations contain a link that is uniquely tied to that particular respondent. The survey is also linked to the demographic data. This allows GIPA staff (through the Qualtrics system) to track the survey responses against the variables to ensure that a representative total is being generated.

Since the survey distribution is based on a census approach (all course participants have the opportunity to participate) by course and fiscal year, the use of statistical weighting for a sample is not anticipated to be necessary. The first step in the process, however, is to track the proportional response rates to the universe by key demographic characteristics to identify if there is a gap in response characteristics versus non-response. If it becomes apparent that the response rate is low, GIPA staff will send survey reminders to those individuals who have not yet completed their surveys to prompt additional responses.

Testing of Procedures

The questions asked are similar to those used by other federal agencies in their participant surveys. Results from these surveys should make the agency more effective and efficient in responding to participants.

While the data is being collected, special attention will be paid to (a) the percentage of participants contacted, (b) participant response rate, (c) properly worded questions to reflect intent, (d) questionnaire completion rates, (e) response rates of individual survey questions, (f) records on problems arising in the data collection, and (g) comments the agency receives regarding the survey. In previous years, GIPA has engaged a contractor to conduct pre-tests of the survey and delivery to ensure clarity, brevity, relevance, user-friendliness, understandability, sensitivity, and that most respondents will be willing to provide answers. This contract is no longer in effect and internal resources must be identified to adequately conduct pre-testing activities.

Research topics in the survey are based upon the training impact evaluation approach developed in 1959 by Donald Kirkpatrick, former President of the American Society for

Training and Development. The four-level approach, which measures participant reaction, learning, application of behavior and results, is well established in the United States and overseas. The specific questions are based upon models that have been developed by evaluation and survey design specialists, social science research analysts and organizations, including Knowledge Advisors, Toyota Motor Sales, Defense Acquisition University, Caterpillar, the U.S. Department of State, the U.S. Department of Defense, Cisco Systems, and Grupo Iberdrola (Spain). In particular, the question models have been successfully tested and deployed to over 10,000 U.S.-sponsored international visitors and foreign officials since 2003. The response categories have been adapted to address specific topic areas for Intellectual Property protection and enforcement.

Statistical Methodology

Survey responses are not weighted. There are no unusual problems requiring specialized sampling procedures.

Data are usually collected only once from any given individual during a specific evaluation. However, the nature of the survey structure requires that data could be collected from participants during or after participating in the course.

The post-program survey is open for a period of two weeks to allow for responses to be gathered. The alumni survey is open for a period of four weeks. This should provide sufficient time to identify new email addresses or contact information for those GIPA participants whose contact information is outdated.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

The Office of Policy and International Affairs, Global Intellectual Property Academy (GIPA) is responsible for coordinating and administering the participant surveys and related data collection efforts. Skip Mark, Director of the Global Intellectual Property can be reached via email at Skip.Mark@uspto.gov.

USPTO GIPA engaged the Federal Consulting Group contractor in the past to provide expertise in sampling, survey methodology, and statistical analysis. This contract is no longer in effect.