

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appellant: Frankland, Richard et al.	)	Examiner: Cheung, Mary Da Zhi
	)	Wang
Serial No.: 09/797,488	)	
	)	Art Unit: 3694
Filed: March 1, 2001	)	
	)	Our Ref: B-5746CONT 952776-6
For: "INTEGRATED CHANGE MANAGEMENT SYSTEM"	)	
	)	Date: August 28, 2007
	)	
	)	Re: <i>Appeal to the Board of Appeals</i>

BRIEF ON APPEAL

Mail Stop Appeal-Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This is an appeal from the Final rejection, dated February 28, 2007, for the above identified patent application. A credit card deposit in the amount of \$500.00 for the fee set forth in 37 C.F.R. 1.17(c) for submitting this Brief and a credit card deposit in the amount of \$120.00 for the time-extension fee set forth in 37 C.F.R. 1.17(a)(1) will be electronically submitted. The Appellants submit that this Appeal Brief is being timely filed within the one-month extended time limit, since the Notice Of Appeal was received on May 29, 2007.

**REAL PARTY IN INTEREST**

The present application has been assigned to Alternative Systems, Inc. of Half Moon Bay, CA.

### **RELATED APPEALS AND INTERFERENCES**

There are no other appeals or interferences related to the present application.

### **STATUS OF CLAIMS**

The present Application comprises claims 2, 4-9, 11-24, 26-31, 33-46, 48-52 and 54-66, which all stand rejected.

Claims 1, 3, 10, 25, 32, 47, 53 and 67-155 were cancelled without prejudice.

Claims 2, 4-9, 11-24, 26-31, 33-46, 48-52 and 54-66 are the subject of this appeal and are reproduced in the accompanying claim appendix.

### **STATUS OF AMENDMENTS**

There are no amendments pending in the present application.

### **SUMMARY OF CLAIMED SUBJECT MATTER**

The invention described and claimed in the present application relates generally to the integrated management of information affected by regulatory changes as well as non-regulatory changes. Regulatory changes include changes in environmental, health and safety laws (page 1, lines 4-6; paragraph [0001]).

A number of rules such as federal, state and local laws, statutes, ordinances and regulations control industrial and commercial activities (page 1, lines 8-10; paragraph [0002]). Some rules have overlapping jurisdiction and are not always consistent with one another. Further, the rules and related constraints are constantly changing (page 3, lines 2-9; paragraph [0004]). Various attempts have been made to manage regulatory compliance, but no satisfactory solution has been developed (page 12, lines 24-30; paragraph [0025]). There is accordingly a need for a system that would, for a selected area of commercial or industrial

activity: store or access all relevant available information and changes used in connection with the activity; generate and archive records of software system versions used for: data entry, reporting, processing, analysis and results presentation, and changes to these versions; generate all documents and reports required for compliance under applicable regulations, laws and statutes; and provide appropriate user interface, without requiring (re)programming of underlying software (page 13, lines 16-30; paragraph [0027]).

The invention meets the above needs with an integrated system that (1) provides one or more databases that contain information on operations and requirements concerning an activity or area of business; (2) monitors and evaluates the relevance of information on regulatory and non-regulatory changes that affect operations of the business and/or information management requirements; (3) converts the relevant changes into changes in work/task lists, data entry forms, reports, data processing, analysis and presentation (by printing, electronic display, network distribution and/or physical distribution) of data processing and analysis results to selected recipients without requiring the services of one or more programmers to re-program and/or recode the software items affected by the change; and (4) implements receipt of change information and dissemination of data processing and analysis results using the facilities of a network, such as the Internet (page 14, lines 2-14; paragraph [0028]).

In particular, independent claim 2 recites: *“A system for providing a dynamically generated application having one or more functions and one or more user interface elements; comprising:*

*a server computer (for example as in a multi-tier server based model, see page 20, lines 14-15; paragraph [0050]);*

*one or more client computers connected to the server computer over a computer network (for example as in a multi-tier server based model, see page 20, lines 14-15; paragraph [0050]);*

*a first layer (for example a business content layer, see page 21, lines 1-11; paragraph [0054]) associated with the server computer containing information about the unique aspects of a particular application;*

*a second layer (for example a metadata layer, see page 21, lines 13-20) associated with the server computer containing information about the user interface and functions common to a variety of applications, a particular application being generated based on the data in both the first and second layers;*

*a third layer (for example a Java data management layer, see page 24, lines 23-26; paragraph [0069]) associated with the server computer that retrieves the data in the first and second layers in order to generate the functionality and user interface elements of the application; and*

*a change management layer (page 28, lines 4-16; paragraph [0085]) for automatically detecting (box 21 in Fig. 2) changes that affect an application,*

*each client computer further comprising a browser application (page 26, lines 3-6; paragraph [0075]) being executed by each client computer, wherein a user interface and functionality for the particular application is distributed to the browser application and dynamically generated when the client computer connects to the server computer (page 26, lines 19-22; paragraph [0078]).*

Also, independent claim 24 recites:

*“A method for dynamically generating an application using a server computer and one or more client computers connected to the server computer over a computer network (for example as in a multi-tier server based model, see page 20, lines 14-15; paragraph*

[0050]), *the method comprising:*

*providing a first layer (for example a business content layer, see page 21, lines 1-11; paragraph [0054]) containing information about the unique aspects of a particular application;*

*providing a second layer (for example a metadata layer, see page 21, lines 13-20) containing information about the user interface and functions common to a variety of applications, wherein a particular application is generated based on the data in the first and second layers;*

*establishing a connection between a client computer and the server computer (see page 20, lines 14-15; paragraph [0050]);*

*providing a third layer (for example a Java data management layer, see page 24, lines 23-26; paragraph [0069]) that retrieves the data in the first and second layers in order to generate the functionality and user interface for a particular application for the client computer as the client computer connects to the server computer;*

*automatically detecting (box 21 in Fig. 2) changes that affect a particular application (page 28, lines 4-6; paragraph [0085]); and*

*distributing the user interface and functionality of the particular application to the client computer wherein the particular application and its user interface are dynamically re-generated each time a client establishes a connection with the server computer (page 26, lines 19-22; paragraph [0078])”.*

Further, independent claim 46 recites:

*“A server for dynamically generating an application for one or more client computers connected to the server computer by a computer network (for example as in a multi-tier server based model, see page 20, lines 14-15; paragraph [0050]), comprising:*

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