



APPLICATION NO.	ISSUE DATE	PATENT NO.	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/441,648	06/30/2015	9070098	MIME.001	9597

23442 7590 06/10/2015
RYLANDER & ASSOCIATES PC
P.O. Box 250
VANCOUVER, WA 98660

ISSUE NOTIFICATION

The projected patent number and issue date are specified above.

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment is 60 day(s). Any patent to issue from the above-identified application will include an indication of the adjustment on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Application Assistance Unit (AAU) of the Office of Data Management (ODM) at (571)-272-4200.

APPLICANT(s) (Please see PAIR WEB site <http://pair.uspto.gov> for additional applicants):

Tyler J. Miller, Seattle, WA;

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The USA offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to encourage and facilitate business investment. To learn more about why the USA is the best country in the world to develop technology, manufacture products, and grow your business, visit SelectUSA.gov.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** **Mail Stop ISSUE FEE**
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
 or **Fax** **(571)-273-2885**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

23442 7590 04/07/2015
RYLANDER & ASSOCIATES PC
 P.O. Box 250
 VANCOUVER, WA 98660

Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

_____ (Depositor's name)
_____ (Signature)
_____ (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/441,648	04/06/2012	Tyler J. Miller	MIME.001	9597

TITLE OF INVENTION: BACKGROUND INVESTIGATION MANAGEMENT SERVICE

APPLN. TYPE	ENTITY STATUS	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	SMALL	\$480	\$0	\$0	\$480	07/07/2015

EXAMINER	ART UNIT	CLASS-SUBCLASS
ABU ROUMI, MAHRAN Y	2455	709-206000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.</p>	<p>2. For printing on the patent front page, list</p> <p>(1) The names of up to 3 registered patent attorneys or agents OR, alternatively,</p> <p>(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.</p> <p>1 <u>Rylander & Assoc., PC</u></p> <p>2 <u>Philip R.M. Hunt</u></p> <p>3 _____</p>
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3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE _____ (B) RESIDENCE: (CITY and STATE OR COUNTRY) _____

Please check the appropriate assignee category or categories (will not be printed on the patent): Individual Corporation or other private group entity Government

<p>4a. The following fee(s) are submitted:</p> <p><input checked="" type="checkbox"/> Issue Fee</p> <p><input type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies _____</p>	<p>4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input checked="" type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The director is hereby authorized to charge the required fee(s), any deficiency, or credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).</p>
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5. Change in Entity Status (from status indicated above)

Applicant certifying micro entity status. See 37 CFR 1.29

Applicant asserting small entity status. See 37 CFR 1.27

Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature /Philip R.M. Hunt/ Date 2015-05-26
 Typed or printed name Philip R.M. Hunt Registration No. 58,044

Electronic Patent Application Fee Transmittal

Application Number:	13441648			
Filing Date:	06-Apr-2012			
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE			
First Named Inventor/Applicant Name:	Tyler J. Miller			
Filer:	Philip R. Hunt			
Attorney Docket Number:	MIME.001			
Filed as Small Entity				
Filing Fees for Utility under 35 USC 111(a)				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Utility Appl Issue Fee	2501	1	480	480

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				480

Electronic Acknowledgement Receipt

EFS ID:	22448233
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	23442
Filer:	Philip R. Hunt
Filer Authorized By:	
Attorney Docket Number:	MIME.001
Receipt Date:	26-MAY-2015
Filing Date:	06-APR-2012
Time Stamp:	17:21:23
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$480
RAM confirmation Number	8048
Deposit Account	
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Issue Fee Payment (PTO-85B)	MIME-001_2015-04-07_IssueFeeTransmittal.pdf	76740 f09ec1a31b9900015f7ba0b3db92c578eaf2f84f	no	1

Warnings:

Information:

2	Fee Worksheet (SB06)	fee-info.pdf	30300 ae359fe2c3323b414b0aa51779f483cd974fde7d	no	2
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Warnings:

Information:

Total Files Size (in bytes):			107040		
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

Table with 7 columns: APPLICATION NUMBER, FILING or 371(c) DATE, GRP ART UNIT, FIL FEE REC'D, ATTY. DOCKET NO, TOT CLAIMS, IND CLAIMS. Row 1: 13/441,648, 04/06/2012, 2455, 530, MIME.001, 2, 1

CONFIRMATION NO. 9597

CORRECTED FILING RECEIPT

23442
RYLANDER & ASSOCIATES PC
P.O. Box 250
VANCOUVER, WA 98660



Date Mailed: 05/08/2015

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections

Inventor(s)

Tyler J. Miller, Seattle, WA;

Applicant(s)

Tyler J. Miller, Seattle, WA;

Power of Attorney: The patent practitioners associated with Customer Number 23442

Domestic Priority data as claimed by applicant

This appln claims benefit of 61/472,556 04/06/2011

Foreign Applications for which priority is claimed (You may be eligible to benefit from the Patent Prosecution Highway program at the USPTO. Please see http://www.uspto.gov for more information.) - None.

Foreign application information must be provided in an Application Data Sheet in order to constitute a claim to foreign priority. See 37 CFR 1.55 and 1.76.

If Required, Foreign Filing License Granted: 04/18/2012

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US 13/441,648

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

BACKGROUND INVESTIGATION MANAGEMENT SERVICE

Preliminary Class

709

Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications: No

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4258).

LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

SelectUSA

The United States represents the largest, most dynamic marketplace in the world and is an unparalleled location for business investment, innovation, and commercialization of new technologies. The U.S. offers tremendous resources and advantages for those who invest and manufacture goods here. Through SelectUSA, our nation works to promote and facilitate business investment. SelectUSA provides information assistance to the international investor community; serves as an ombudsman for existing and potential investors; advocates on behalf of U.S. cities, states, and regions competing for global investment; and counsels U.S. economic development organizations on investment attraction best practices. To learn more about why the United States is the best country in the world to develop technology, manufacture products, deliver services, and grow your business, visit <http://www.SelectUSA.gov> or call +1-202-482-6800.



NOTICE OF ALLOWANCE AND FEE(S) DUE

23442 7590 04/07/2015
RYLANDER & ASSOCIATES PC
P.O. Box 250
VANCOUVER, WA 98660

Table with 2 columns: EXAMINER (ABU ROUMI, MAHRAN Y), ART UNIT (2455), PAPER NUMBER (9597)

DATE MAILED: 04/07/2015

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.

13/441,648 04/06/2012 Tyler J. Miller MIME.001 9597

TITLE OF INVENTION: BACKGROUND INVESTIGATION MANAGEMENT SERVICE

Table with 7 columns: APPLN. TYPE, ENTITY STATUS, ISSUE FEE DUE, PUBLICATION FEE DUE, PREV. PAID ISSUE FEE, TOTAL FEE(S) DUE, DATE DUE

nonprovisional SMALL \$480 \$0 \$0 \$480 07/07/2015

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the ENTITY STATUS shown above. If the ENTITY STATUS is shown as SMALL or MICRO, verify whether entitlement to that entity status still applies.

If the ENTITY STATUS is the same as shown above, pay the TOTAL FEE(S) DUE shown above.

If the ENTITY STATUS is changed from that shown above, on PART B - FEE(S) TRANSMITTAL, complete section number 5 titled "Change in Entity Status (from status indicated above)".

For purposes of this notice, small entity fees are 1/2 the amount of undiscounted fees, and micro entity fees are 1/2 the amount of small entity fees.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

**Complete and send this form, together with applicable fee(s), to: Mail Mail Stop ISSUE FEE
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 or Fax (571)-273-2885**

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CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

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23442 7590 04/07/2015
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 P.O. Box 250
 VANCOUVER, WA 98660

Certificate of Mailing or Transmission

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(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/441,648	04/06/2012	Tyler J. Miller	MIME.001	9597

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nonprovisional	SMALL	\$480	\$0	\$0	\$480	07/07/2015

EXAMINER	ART UNIT	CLASS-SUBCLASS
ABU ROUMI, MAHRAN Y	2455	709-206000

<p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.</p>	<p>2. For printing on the patent front page, list</p> <p>(1) The names of up to 3 registered patent attorneys or agents OR, alternatively, 1 _____</p> <p>(2) The name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 _____</p> <p>3 _____</p>
---	---

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE _____ (B) RESIDENCE: (CITY and STATE OR COUNTRY) _____

Please check the appropriate assignee category or categories (will not be printed on the patent) : Individual Corporation or other private group entity Government

<p>4a. The following fee(s) are submitted:</p> <p><input type="checkbox"/> Issue Fee</p> <p><input type="checkbox"/> Publication Fee (No small entity discount permitted)</p> <p><input type="checkbox"/> Advance Order - # of Copies _____</p>	<p>4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)</p> <p><input type="checkbox"/> A check is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The director is hereby authorized to charge the required fee(s), any deficiency, or credits any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).</p>
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5. **Change in Entity Status** (from status indicated above)

Applicant certifying micro entity status. See 37 CFR 1.29

Applicant asserting small entity status. See 37 CFR 1.27

Applicant changing to regular undiscounted fee status.

NOTE: Absent a valid certification of Micro Entity Status (see forms PTO/SB/15A and 15B), issue fee payment in the micro entity amount will not be accepted at the risk of application abandonment.

NOTE: If the application was previously under micro entity status, checking this box will be taken to be a notification of loss of entitlement to micro entity status.

NOTE: Checking this box will be taken to be a notification of loss of entitlement to small or micro entity status, as applicable.

NOTE: This form must be signed in accordance with 37 CFR 1.31 and 1.33. See 37 CFR 1.4 for signature requirements and certifications.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

Table with 5 columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
Values: 13/441,648, 04/06/2012, Tyler J. Miller, MIME.001, 9597

23442 7590 04/07/2015
RYLANDER & ASSOCIATES PC
P.O. Box 250
VANCOUVER, WA 98660

EXAMINER

ABU ROUMI, MAHRAN Y

ART UNIT PAPER NUMBER

2455

DATE MAILED: 04/07/2015

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(Applications filed on or after May 29, 2000)

The Office has discontinued providing a Patent Term Adjustment (PTA) calculation with the Notice of Allowance.

Section 1(h)(2) of the AIA Technical Corrections Act amended 35 U.S.C. 154(b)(3)(B)(i) to eliminate the requirement that the Office provide a patent term adjustment determination with the notice of allowance. See Revisions to Patent Term Adjustment, 78 Fed. Reg. 19416, 19417 (Apr. 1, 2013). Therefore, the Office is no longer providing an initial patent term adjustment determination with the notice of allowance. The Office will continue to provide a patent term adjustment determination with the Issue Notification Letter that is mailed to applicant approximately three weeks prior to the issue date of the patent, and will include the patent term adjustment on the patent. Any request for reconsideration of the patent term adjustment determination (or reinstatement of patent term adjustment) should follow the process outlined in 37 CFR 1.705.

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

OMB Clearance and PRA Burden Statement for PTOL-85 Part B

The Paperwork Reduction Act (PRA) of 1995 requires Federal agencies to obtain Office of Management and Budget approval before requesting most types of information from the public. When OMB approves an agency request to collect information from the public, OMB (i) provides a valid OMB Control Number and expiration date for the agency to display on the instrument that will be used to collect the information and (ii) requires the agency to inform the public about the OMB Control Number's legal significance in accordance with 5 CFR 1320.5(b).

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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
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8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Notice of Allowability	Application No. 13/441,648	Applicant(s) MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	AIA (First Inventor to File) Status No

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. This communication is responsive to 08/12/2014.
 A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.
2. An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
3. The allowed claim(s) is/are 3,4,6-9,11-14 and 16-19. As a result of the allowed claim(s), you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/oph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.
4. Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

Certified copies:

- a) All b) Some *c) None of the:
1. Certified copies of the priority documents have been received.
 2. Certified copies of the priority documents have been received in Application No. _____.
 3. Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

5. CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
 including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.
Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

- | | |
|--|--|
| 1. <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 5. <input checked="" type="checkbox"/> Examiner's Amendment/Comment |
| 2. <input type="checkbox"/> Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____ | 6. <input checked="" type="checkbox"/> Examiner's Statement of Reasons for Allowance |
| 3. <input type="checkbox"/> Examiner's Comment Regarding Requirement for Deposit
of Biological Material | 7. <input type="checkbox"/> Other _____. |
| 4. <input type="checkbox"/> Interview Summary (PTO-413),
Paper No./Mail Date _____. | |

/MAHRAN ABU ROUMI/
Examiner, Art Unit 2455

DETAILED ACTION

This communication is responsive to the application filed on 08/12/2014. The present application is being examined under the pre-AIA first to invent provisions.

Status of Claims:

Claims 3-4, 6-9, 11-14 and 16-19 are presented for examination.

Claims 3, 8 and 13 are amended.

Claims 1-2, 5, 10 and 15 are cancelled.

EXAMINER'S AMENDMENT

An examiner's amendment to the record is reproduced below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in the interview with Phil Hunt on March 30, 2015 to amend the claims.

The application has been amended as follows:

What is claimed is:

1 – 2. Cancelled.

3. (Currently Amended) A method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within a first organization, comprising the steps of:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

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storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

transmitting an applicant hyperlink to an applicant email address associated with the applicant, the applicant hyperlink for viewing an applicant set of electronic documents;

receiving an applicant electronic response with program data regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first reference email address associated with the first reference;

determining a reference class of the first reference based on the program data regarding the first reference;

selecting a first reference set of electronic documents based on the reference class of the first reference; transmitting a first reference hyperlink to the first reference email address, the first reference hyperlink for viewing the first reference set of electronic documents associated with the position;

receiving a first reference electronic response to the first reference set of electronic documents from the first reference;

storing the first reference electronic response in the system memory, associating the first reference electronic response with the new applicant entry; and

obtaining an applicant residential address from the applicant electronic response;

generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and

presenting the suggested reference list to the investigator.

4. (Previously Presented) The method of claim 3, further comprising the steps of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous

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background investigation conducted on the applicant by the second organization for a previous position in the second organization; and
sending program data from the previous applicant entry to the investigator.

5. (Cancelled).

6. (Previously Presented) The method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the applicant hyperlink for viewing the applicant set of electronic documents, an option of changing one or more documents in the applicant set of electronic documents.

7. (Previously Presented) The method of claim 3, wherein one document of the applicant set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

8. (Currently Amended) A non-transitory computer-readable medium having stored thereon instructions which, when executed by a processor of a computing device with a system memory, cause the computing device to perform the steps of a method to assist an investigator in conducting a background investigation of an applicant for a position within a first organization, the steps of the method comprising:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

transmitting an applicant hyperlink to an applicant email address associated with the applicant, the applicant hyperlink for viewing an applicant set of electronic documents;

receiving an applicant electronic response with program data regarding a first reference, wherein the first reference is a first person likely to have information regarding the

applicant, the program data including a first reference email address associated with the first reference;
determining a reference class of the first reference based on the program data regarding the first reference;
selecting a first reference set of electronic documents based on the reference class of the first reference;
transmitting a first reference hyperlink to the first reference email address, the first reference hyperlink for viewing the first reference set of electronic documents associated with the position;
receiving a first reference electronic response to the first reference set of electronic documents from the first reference;
storing the first reference electronic response in the system memory, associating the first reference electronic response with the new applicant entry; and
obtaining an applicant residential address from the applicant electronic response;
generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and
presenting the suggested reference list to the investigator.

9. (Previously Presented) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the step of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous background investigation conducted on the applicant by the second organization for a previous position in the second organization; and
sending program data from the previous applicant entry to the investigator.

10. (Cancelled).

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11. (Previously Presented) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

presenting to the investigator, prior to transmitting the applicant hyperlink for viewing the applicant set of electronic documents, an option of changing one or more documents in the applicant set of electronic documents.

12. (Previously Presented) The non-transitory computer-readable medium of claim 8,

wherein one document of the applicant set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

13. (Currently Amended) A computing device configured to assist an investigator in conducting a background investigation of an applicant for a position within a first organization, comprising:

a processor; and

a system memory, the system memory having instruction stored therein that when executed by the processor, cause the computing device to perform the steps of:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

transmitting an applicant hyperlink to an applicant email address associated with the applicant, the applicant hyperlink for viewing an applicant set of electronic documents;

receiving an applicant electronic response with program data regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first reference email address associated with the first reference;

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determining a reference class of the first reference based on the program data regarding the first reference;
selecting a first reference set of electronic documents based on the reference class of the first reference;
transmitting a first reference hyperlink to the first reference email address, the first reference hyperlink for viewing the first reference set of electronic documents associated with the position;
receiving a first reference electronic response to the first reference set of electronic documents from the first reference;
storing the first reference electronic response in the system memory, associating the first reference electronic response with the new applicant entry; and
obtaining an applicant residential address from the applicant electronic response;
generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and
presenting the suggested reference list to the investigator.

14. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous background investigation conducted on the applicant by the second organization for a previous position in the second organization; and
sending program data from the previous applicant entry to the investigator.

15. (Cancelled).

16. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

presenting to the investigator, prior to transmitting the applicant hyperlink for viewing the applicant set of electronic documents, an option of changing one or more documents in the applicant set of electronic documents.

17. (Previously Presented) The computing device of claim 13,

wherein one document of the applicant set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

18. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

creating a plurality of questionnaires each being a member of at least one class of a plurality of classes of questionnaires, each class being related to a type of reference;
and

including a first questionnaire of the plurality of questionnaires in the first reference set of electronic documents, the first questionnaire in one of the plurality of classes that is related to the type of the first reference.

19. (Previously Presented) The computing device of claim 18, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

receiving instructions from the investigator to edit one of the questionnaires.

Reasons for Allowance

Claims 3-4, 6-9, 11-14 and 16-19 are allowed.

The following is an examiner's statement of reasons for allowance:

In interpreting the current claims, in light of the Specification filed on 04/06/2012, the Examiner finds the claimed invention to be patentably distinct from the prior art of

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records. Specifically, the prior art of records, individually or in combination, fail to explicitly teach, suggest or render obvious the claimed invention as recited in the independent Claims.

Prior art does not teach “receiving an applicant electronic response with program data regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first reference email address associated with the first reference; determining a reference class of the first reference based on the program data regarding the first reference; obtaining an applicant residential address from the applicant electronic response; generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and presenting the suggested reference list to the investigator” of the independent Claims.

The closest prior art are Parikh et al. US 2012/0089528 A1, Wasley US 2008/0021759 A1 and Williams US 2010/0332405 A1. However, prior art still fail to teach “receiving an applicant electronic response with program data regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first reference email address associated with the first reference; determining a reference class of the first reference based on the program data regarding the first reference; obtaining an applicant residential address from the applicant electronic response; generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-

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defined radius around the applicant residential address; and presenting the suggested reference list to the investigator” of the independent Claims.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MAHRAN ABU ROUMI whose telephone number is (571)272-3512. The examiner can normally be reached on Monday - Friday, 8AM - 5PM (EST).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on 571-272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO

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Customer Service Representative or access to the automated information system, call
800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/M. A./

/EMMANUEL L. MOISE/
Supervisory Patent Examiner, Art Unit 2455

Notice of References Cited	Application/Control No. 13/441,648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2005/0021476 A1	01-2005	Candella et al.	705/064
*	B	US-2005/0119875 A1	06-2005	Shaefer et al.	704/007
*	C	US-2006/0018520 A1	01-2006	Holloran, Robert W.	382/116
*	D	US-7,136,865 B1	11-2006	Ra et al.	1/1
*	E	US-2008/0021759 A1	01-2008	Wasley, William Mervyn	705/9
*	F	US-7,346,541 B1	03-2008	Cuttler et al.	705/7.14
*	G	US-2010/0287368 A1	11-2010	Shuster et al.	713/150
*	H	US-2010/0332405 A1	12-2010	Williams, Chad	705/319
*	I	US-7,934,098 B1	04-2011	Hahn et al.	713/176
*	J	US-2012/0089528 A1	04-2012	PARIKH et al.	705/321
*	K	US-8,799,243 B1	08-2014	Havlik, Bari	707/694
	L	US-			
	M	US-			

FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	19	((TYLER) near2 (MILLER)).INV.	US-PGPUB; USPAT	OR	ON	2013/09/28 12:06
S2	0	inbound near50 communication\$1 near50 questionair\$2 near50 (background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S3	0	inbound near50 communication\$1 near50 questionair\$2	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S4	173	(background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S5	6	S4 near50 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:16
S6	433	drag near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:20
S7	1	S6 and S4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:21
S8	135	((drag\$drop) drag near drop) near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT;	OR	ON	2013/09/28 13:21

S9	25	((drag\$drop) drag near drop) near20 question\$6 near20 interface	IBM_TDB US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:22
S10	10253	background near50 (check investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S11	9684	position near50 organization	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S12	9327	position\$1 near50 organization\$1	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S13	95	S10 and S12	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:40
S14	5	background near100 investigator\$1 near100 address\$1	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 14:18
S15	214	search\$3 near100 (position rank title dut\$3 responsibil\$5) near100 investigat\$4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 15:35
S17	1	Human near50 Resource\$2 near50 hir\$3 near50 position\$1 near50 (docs document\$1)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 16:38
S18	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO;	OR	ON	2014/02/25 16:39

			JPO; DERWENT; IBM_TDB			
S19	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:08
S20	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:08
S21	8	S20 AND ((G06Q10/06 OR G06Q10/0631 OR G06Q10/00 OR G06Q10/063 OR G06Q10/063114 OR G06Q10/06314 OR G06Q10/06375 OR G06Q10/0639 OR G06Q10/06398 OR G06Q10/109 OR G06Q10/1097 OR G06Q30/06 OR G06Q40/00 OR G06Q10/10 OR G06Q40/04 OR G06Q40/12).CPC.)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:37
S22	214	search\$3 near100 (position rank title dut\$3 responsibil\$5) near100 investigat\$4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:38
S23	44	S22 and question\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:38
S24	1	(human near resource\$1) near50 (promotion demotion) near50 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:23
S25	2	(human) near50 (promotion demotion) near50 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:24
S26	2905679	((Human adj resources) HR)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:25

S27	0	((Human adj resources) HR) near100 (promotion\$s demotion\$1 hiring\$1 firing\$1) near100 background near100 investigation	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:26
S28	13	((Human adj resources) HR) near100 (promotion\$s demotion\$1 hiring\$1 firing\$1) near100 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:26
S29	1423	background near50 investigation	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:40
S30	202831	reference near50 (somebody person police someone witness lawyer teacher professor human male female)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:46
S31	1626	background near50 (investigation investigator)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:48
S32	96	position near50 organization near50 (investigator police (investigation near personal) (human near resources))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:49
S33	0	S30 and S31 and S32	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:49
S34	3828	position near50 (investigator police (investigation near personal) (human near resources))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:49
S35	2	S30 and S31 and S34	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO;	OR	ON	2014/07/27 15:49

			DERWENT; IBM_TDB			
S36	1668	background near50 (investigation investigator investigative)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:54
S37	1013	reference with (someone one person) near100 investigat\$3	US-PGPUB; USPAT	OR	ON	2014/09/04 12:35
S38	50	reference with (someone one person) near investigat\$3	US-PGPUB; USPAT	OR	ON	2014/09/04 12:35
S39	97	reference with (someone one person) near100 investigat\$3 near100 (applicant position organization investigator)	US-PGPUB; USPAT	OR	ON	2014/09/04 12:43
S40	0	reference with (someone one person) near100 investigat\$3 near100 (applicant position organization investigator) near100 linke	US-PGPUB; USPAT	OR	ON	2014/09/04 12:46
S41	2	reference with (someone one person) near100 investigat\$3 near100 (applicant position organization investigator) near100 link	US-PGPUB; USPAT	OR	ON	2014/09/04 12:46
S42	10	reference with (person) near100 investigat\$3 near100 (applicant position organization investigator)	US-PGPUB; USPAT	OR	ON	2014/09/04 12:50
S43	11114	investigat\$5 with tools	US-PGPUB; USPAT	OR	ON	2014/09/04 13:24
S44	3	investigat\$5 with tools near100 (applicant position organization investigator) near100 link	US-PGPUB; USPAT	OR	ON	2014/09/04 13:24
S45	2	background with investigation near100 (applicant position organization investigator) near100 link	US-PGPUB; USPAT	OR	ON	2014/09/04 13:29
S46	69784	communication with server with (equipment\$1 printer fax phone desktop labtop)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:40
S47	54890	(content data) near100 upload	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:41
S48	3813	S46 and S47	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:42
S49	214	(MTC (Machinge near	US-PGPUB;	OR	ON	2014/09/04

		communication)) with server with (equipment\$1 printer fax phone desktop labtop)	USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB			13:43
S50	8	S49 and S47	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:43
S51	73	background with investigation near100 (applicant position organization investigator)	US-PGPUB; USPAT	OR	ON	2014/09/04 15:32
S52	329	background near50 (investigation investigator investigative check) near100 (person witness reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:52
S53	770	background near50 (investigation investigator investigative check) near100 (person witness reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:53
S54	7	background near50 (investigation investigator investigative check) near100 (person witness reference) near100 link	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:53
S55	788	background with (investigation investigator investigative check) near100 (person witness reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:54
S56	7	background with (investigation investigator investigative check) near100 (person witness reference) near100 link	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:55
S57	81900	receiv\$3 near50 information near50 (reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:33
S58	35	receiv\$3 with information with (reference) near100 investigat\$5	US-PGPUB; USPAT; USOCR;	OR	ON	2014/09/04 16:34

			FPRS; EPO; JPO; DERWENT; IBM_TDB			
S59	82	receiv\$3 with (data history background information) with (reference) near100 investigat\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:36
S60	1	receiv\$3 with (data history background information) with (reference) near100 investigat\$5 near100 link	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:36
S61	1	receiv\$3 with (data history background information) with (reference) near100 investigat\$5 and "709".class.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:36
S62	60	receiv\$3 with (data history background) with (reference) near100 investigat\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:37
S63	7	receiv\$3 with (data history background) with (reference) near100 investigat\$5 near100 (background check)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:38
S64	6	person with reference near100 investigator	US-PGPUB; USPAT	OR	ON	2014/09/05 14:18
S65	1	"13441648"	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:46
S66	175	applicant near100 response near100 (radius distance zip area)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:53
S67	0	applicant near100 response near100 (radius distance zip area) near100 law	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT;	OR	ON	2015/03/25 09:54

			IBM_TDB			
S68	0	applicant near100 response near100 (radius distance zip area) near100 investigator	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:55
S69	2	applicant near100 response near100 (radius distance zip area) near100 (link)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:56
S70	3	applicant near100 response near100 (radius distance zip area) near100 (investigation investigator background check\$up resume CV)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:57
S71	917	applicant near100 response near100 (investigation investigator background check\$up resume CV)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:58
S72	2	applicant near100 response near100 address near100 (investigation investigator background check\$up resume CV)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 09:58
S73	2	background near100 investigation near100 (link hyper\$link)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 11:00
S74	101	background near100 investigation near100 reference	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 15:04
S75	6	background near100 investigation near100 reference near100 (person human HR friend relative government)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 15:05
S76	3	background near10 investigation near100 reference near100 (person human HR friend relative government)	US-PGPUB; USPAT; USOCR; FPRS; EPO;	OR	ON	2015/03/25 15:06


			JPO; DERWENT; IBM_TDB			
S77	42	background near10 investigation near100 reference	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 15:06
S78	1	"10861966"	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 15:09
S79	5	"20050119875"	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 17:08
S80	7	"20050021476"	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2015/03/25 17:08

EAST Search History (Interference)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L9	33	((TYLER) near2 (MILLER)).INV.	US-PGPUB; USPAT; UPAD	OR	ON	2015/03/31 18:37
L10	23	((TYLER) near2 (MILLER)).INV. and background	US-PGPUB; USPAT; UPAD	OR	ON	2015/03/31 18:37
L11	0	((TYLER) near2 (MILLER)).INV. and court.clm.	US-PGPUB; USPAT; UPAD	OR	ON	2015/03/31 18:38

3/ 31/ 2015 6:38:55 PM

C:\Users\maburoumi\Documents\EAST\Workspaces\13441648.wsp

Search Notes 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

CPC- SEARCHED		
Symbol	Date	Examiner

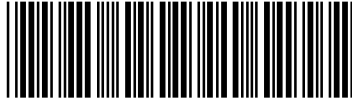
CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner
(G06Q10/06 OR G06Q10/0631 OR G06Q10/00 OR G06Q10/063 OR G06Q10/063114 OR G06Q10/06314 OR G06Q10/06375 OR G06Q10/0639 OR G06Q10/06398 OR G06Q10/109 OR G06Q10/1097 OR G06Q30/06 OR G06Q40/00 OR G06Q10/10	2/26/2014	MA

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
709	206	9/28/2013	MA

SEARCH NOTES		
Search Notes	Date	Examiner
Double patenting, East search and inventor's name	9/28/2013	MA
updated search	2/26/2014	MA
updated search	9/7/2014	MA
updated search, NPL and google patents	3/31/2015	MA
705/59 and 707/694	3/31/2015	MA
G 06Q 10/107 H 04L 12/585 H 04L 12/58, H 04L 12/581, H 04L 12/5855	3/31/2015	MA
consulted with primary regarding allowance	3/31/2015	MA

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner
709	206	3/31/2015	MA
G 06Q 10	107	3/31/2015	MA

/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455	
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<i>Index of Claims</i> 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

✓	Rejected
=	Allowed


-	Cancelled
÷	Restricted

N	Non-Elected
I	Interference

A	Appeal
O	Objected

Claims renumbered in the same order as presented by applicant
 CPA
 T.D.
 R.1.47


CLAIM		DATE							
Final	Original	09/28/2013	02/26/2014	09/07/2014	03/31/2015				
	1	✓	-	-	-				
	2	✓	-	-	-				
1	3		✓	✓	=				
2	4		✓	✓	=				
	5		✓	✓	-				
3	6		✓	✓	=				
4	7		✓	✓	=				
5	8		✓	✓	=				
6	9		✓	✓	=				
	10		✓	✓	-				
7	11		✓	✓	=				
8	12		✓	✓	=				
9	13		✓	✓	=				
10	14		✓	✓	=				
	15		✓	✓	-				
11	16		✓	✓	=				
12	17		✓	✓	=				
13	18			✓	=				
14	19			✓	=				

Issue Classification 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	

CPC						
Symbol					Type	Version
G06Q		10		06	F	2013-01-01


CPC Combination Sets				
Symbol	Type	Set	Ranking	Version

/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455 (Assistant Examiner)	03/31/2015 (Date)	Total Claims Allowed: 14	
/EMMANUEL L MOISE/ Supervisory Patent Examiner.Art Unit 2455 (Primary Examiner)	04/02/2015 (Date)	O.G. Print Claim(s) 1	O.G. Print Figure 4

Issue Classification 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
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US ORIGINAL CLASSIFICATION					INTERNATIONAL CLASSIFICATION											
CLASS		SUBCLASS			CLAIMED				NON-CLAIMED							
709		206			G	0	6	F	15 / 16 (2006.01.01)							
CROSS REFERENCE(S)					G	0	6	F	21 / 00 (2013.01.01)							
					G	0	6	F	7 / 00 (2006.01.01)							
CLASS	SUBCLASS (ONE SUBCLASS PER BLOCK)															
705	59															
707	694															

/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455 (Assistant Examiner)	03/31/2015 (Date)	Total Claims Allowed: 14	
/EMMANUEL L MOISE/ Supervisory Patent Examiner.Art Unit 2455 (Primary Examiner)	04/02/2015 (Date)	O.G. Print Claim(s) 1	O.G. Print Figure 4

Issue Classification 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

<input type="checkbox"/> Claims renumbered in the same order as presented by applicant																<input type="checkbox"/> CPA		<input type="checkbox"/> T.D.		<input type="checkbox"/> R.1.47	
Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original	Final	Original						
	1	12	17																		
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10	14																				
	15																				
11	16																				

/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455 (Assistant Examiner)	03/31/2015 (Date)	Total Claims Allowed: 14	
/EMMANUEL L MOISE/ Supervisory Patent Examiner.Art Unit 2455 (Primary Examiner)	04/02/2015 (Date)	O.G. Print Claim(s) 1	O.G. Print Figure 4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: : Tyler J. Miller
 Inventor(s): : Tyler J. Miller
 Serial No.: : 13/441,648
 Filed: : 04/06/2012
 Confirm No.: : 9597
 For: : BACKGROUND INVESTIGATION MANAGEMENT
 SERVICE
 Examiner: : ABU ROUMI, MAHRANY
 TC/A.U.: : 2455
 Date: : December 9, 2014

The Honorable Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

AMENDMENT/REPLY TO NON-FINAL OFFICE ACTION
UNDER 37 CFR § 1.111

Amendments to the Claims 2
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 The § 103 Rejections 10
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 Regarding Claims 7, 12 and 17 14
 Regarding Claim 18 15
 Regarding Claim 19 15
 Conclusion 17

AMENDMENTS TO THE CLAIMS

Claims 3-19 are pending, with claims 3, 8, and 13 being independent. Claims 3-18 have been amended. No new subject matter has been added.

Listing of the Claims

What is claimed is:

1 – 2. Cancelled.

3. (Currently Amended) A method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within a first organization, comprising the steps of:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

transmitting an applicant hyperlink to an applicant email address associated with the applicant, the applicant hyperlink for viewing an applicant set of electronic documents;

receiving an applicant electronic response with program data identifying regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first electronic reference email address associated with the first reference;

determining a reference class of the first reference based on the program data regarding the first reference;

selecting a first reference set of electronic documents based on the reference class of the first reference;

transmitting a first reference hyperlink to the first reference email address, the first reference hyperlink for viewing [[a]]the first reference set of electronic documents associated with the position to the first electronic address;

receiving a first reference electronic response to the first reference set of electronic documents from the first reference; and

storing the first reference electronic response in the system memory, associating the first reference electronic response with the new applicant entry.

4. (Currently Amended) The method of claim 3, further comprising the steps of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous background investigation conducted on the applicant by the second organization for a previous position in the second organization; and sending program data ~~regarding~~ from the previous applicant entry to the investigator.

5. (Currently Amended) The method of claim 3, further comprising the steps of:

~~identifying a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant;~~
~~obtaining a second reference electronic address;~~
~~transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;~~
~~receiving a second response to the second set of electronic documents from the second reference; and~~
~~storing the second response in the system memory, associating the second response with the new applicant entry.~~
obtaining an applicant residential address from the applicant electronic response;
generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and
presenting the suggested reference list to the investigator.

6. (Currently Amended) The method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the ~~[[link]]~~ applicant hyperlink for viewing the ~~first~~ applicant set of electronic documents, an option of

changing one or more documents in the ~~first~~applicant set of electronic documents.

7. (Currently Amended) The method of claim 3, wherein one document of the ~~first~~applicant set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

8. (Currently Amended) A non-transitory computer-readable medium having stored thereon instructions which, when executed by a processor of a computing device with a system memory, cause the computing device to perform the steps of a method to assist an investigator in conducting a background investigation of an applicant for a position within ~~[[an]]~~a first organization, the steps of the method comprising:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

transmitting an applicant hyperlink to an applicant email address associated with the applicant, the applicant hyperlink for viewing an applicant set of electronic documents;

receiving an applicant electronic response with program data identifying regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first ~~electronic reference email~~ address associated with the first reference;

determining a reference class of the first reference based on the program data regarding the first reference;

selecting a first reference set of electronic documents based on the reference class of the first reference;

transmitting a ~~[[link]]~~ first reference hyperlink to the first reference email address, the first reference hyperlink for viewing ~~[[a]]~~the first reference set of electronic documents associated with the position ~~to the first electronic address;~~

receiving a first reference electronic response to the first reference set of electronic documents from the first reference; and
storing the first reference electronic response in the system memory, associating the first reference electronic response with the new applicant entry.

9. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the step of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous background investigation conducted on the applicant by the second organization for a previous position in the second organization; and
sending program data ~~regarding~~ from the previous applicant entry to the investigator.

10. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

~~identifying a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant;~~
~~obtaining a second reference electronic address;~~
~~transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;~~
~~receiving a second response to the second set of electronic documents from the second reference; and~~
~~storing the second response in the system memory, associating the second response with the new applicant entry.~~
obtaining an applicant residential address from the applicant electronic response;

generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and
presenting the suggested reference list to the investigator.

11. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

presenting to the investigator, prior to transmitting the [[link]] applicant hyperlink for viewing the ~~first~~-applicant set of electronic documents, an option of changing one or more documents in the ~~first~~-applicant set of electronic documents.

12. (Currently Amended) The non-transitory computer-readable medium of claim 8, wherein one document of the ~~first~~-applicant set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

13. (Currently Amended) A computing device configured to assist an investigator in conducting a background investigation of an applicant for a position within a [[n]] first organization, comprising:

a processor; and

a system memory, the system memory having instruction stored therein that when executed by the processor, cause the computing device to perform the steps of: receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

transmitting an applicant hyperlink to an applicant email address associated with the applicant, the applicant hyperlink for viewing an applicant set of electronic documents;

receiving an applicant electronic response with program data identifying regarding a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first electronic reference email address associated with the first reference;
determining a reference class of the first reference based on the program data regarding the first reference;
selecting a first reference set of electronic documents based on the reference class of the first reference;
transmitting a first reference [\[\[link\]\]](#) hyperlink to the first reference email address, the first reference hyperlink for viewing [\[\[a \]\]](#)the first reference set of electronic documents associated with the position to the first electronic address;
receiving a first reference electronic response to the first reference set of electronic documents from the first reference; and
storing the first reference electronic response in the system memory, associating the first reference electronic response with the new applicant entry.

14. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous background investigation conducted on the applicant by the second organization for a previous position in the second organization; and
sending program data ~~regarding~~ from the previous applicant entry to the investigator.

15. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

~~generating a second reference based on the first response from the first reference;~~

~~obtaining a second reference electronic address;~~
~~transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;~~
~~receiving a second response to the second set of electronic documents from the second reference; and~~
~~storing the second response in the system memory, associating the second response with the new applicant entry.~~
obtaining an applicant residential address from the applicant electronic response;
generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and
presenting the suggested reference list to the investigator.

16. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

presenting to the investigator, prior to transmitting the ~~[[link]]~~ applicant hyperlink for viewing the ~~first-applicant~~ set of electronic documents, an option of changing one or more documents in the ~~first-applicant~~ set of electronic documents.

17. (Currently Amended) The computing device of claim 13,

wherein one document of the ~~first-applicant~~ set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

18. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

creating a plurality of questionnaires each being a member of at least one class of a plurality of classes of questionnaires, each class being related to a type of reference; and

including a first questionnaire of the plurality of questionnaires in ~~first set~~ the first reference set of electronic documents, the first questionnaire in one of the plurality of classes that is related to the type of the first reference.

19. (Previously Presented) The computing device of claim 18, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:
receiving instructions from the investigator to edit one of the questionnaires.

REMARKS / ARGUMENTS

This amendment / response is made in response to the office action mailed 2014-09-10.

Support for Amendments

Applicant has amended the term “link” in the claims to “hyperlink” to differentiate between the two ways the term “link” is used in the specification. The first way refers to as a “communication link” [page 21, line 2 of the refiled application]. The second way refers to “They click on a link ... which take them into the software system.” This second way is a description of a hyperlink. A hyperlink is a reference to data that the reader can directly follow either by clicking or by hovering or that is followed automatically. The hyperlink may be visually presented as a button or as text.

Support for amendments to claims 3, 8, and 13 regarding “transmitting an applicant hyperlink to an applicant email address...” are found at least in page 22 lines 13-21 of the refiled application.

Support for amendments to claims 5, 10, and 15 regarding “generating a suggested reference list...” are found at least in page 14 lines 5-14 of the refiled application.

The § 103 Rejections

In the Office Action, the Examiner rejected Claims 3-19 under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Parikh et al. (hereinafter Parikh) US 2012/0089528 A1 in view of Wasley US2008/0021759 A1 and further in view of Williams US 2010/0332405 A1 and further in view of obviousness.

REGARDING CLAIMS 3, 8 AND 13

The Applicant has amended claims 3, 8, and 13. As amended, these claims recite limitations in which a computing device receives from an applicant information about a reference (a person likely to have information regarding the applicant) including identity and email address. The computing device then uses that information to classify the first reference and then selects a set of documents based on the classification of the first reference. A hyperlink for viewing the documents is sent to the reference email address. The art cited by the Examiner, alone or in combination, do not teach or suggest these limitations.

The Examiner cites Parikh for teaching most of the limitations of the pre-amended claims 3, 8 and 13. (Office Action page 3-9). Parikh teaches a system for quality control in a high volume talent acquisition includes a processor, a quality talent acquisition database for storing a plurality of candidate e-dossiers and historical data associated with fraudulent practices used in the talent acquisition. (Paragraph 0026). The e-dossiers contain “job information” associated with the candidates. (Id.) The e-dossiers are evaluated based on parameters including candidate referral information. (Paragraph 0030). This suggests that e-dossiers may contain candidate referral information, but regardless, Parikh is silent on how any information is obtained and entered into the e-dossiers. Parikh states that the candidate e-dossiers associated with the selected one or more candidates are updated using any additional information obtained during the pre-selection interviews, but does not say how this is done. (Paragraph 0028). Parikh focuses on evaluating e-dossiers, not assembling them. Parikh states that background verification of the candidates is performed where details such as prior employers, prior earnings, prior taxable income, and the like are verified. (Paragraph 0070). This may involve contacting prior employers for this information, but Parikh is silent on how this is done. Parikh certain does not teach sending prior employers hyperlinks to look at documents. The Examiner points to Parikh Fig. 1, step 106 & ¶0028 as “teaching transmitting a link for viewing a first set of electronic documents”. Paragraph 0028 teaches that candidate e-dossiers are “updated” but it does not teach or suggest sending hyperlinks to accomplish this or in any way teach how this is accomplished.

The Examiner cites Wasley, pointing to Fig. 11, for teaching that “HR personal within a company are functionally equivalent to investigator.” (Office Action pages 5-6). Fig. 11 shows a screen shot regarding the investigation of an incident (a mining accident) and lists “investigating team members”, but it does not indicate that these investigating team members are HR personnel. Wasley teaches a system and method of managing an action within an organization (Abstract). Particularly it teaches a method for managing actions required by the Sarbanes-Oxley Act (Paragraph 0003). The methods taught by Wasley do not have any specific steps related to performing employment application evaluations, much less the specific ones claimed.

The Examiner cites Williams, pointing to paragraph 0004, for teaching the claim limitation “wherein the first reference is a first person likely to have information regarding the applicant.” (Office Action page 7). Williams teaches a business networking system that allows for the assessment of candidates by reviewers, such that the assessments are weighted based on characteristics of the reviewer. (Abstract). Williams focuses on how to weigh multiple assessments from multiple assessors, but is silent on how any process of collecting such assessments.

Thus the cited art does not teach all limitations of amended claims 3, 8, and 13. For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

REGARDING CLAIMS 4, 9 AND 14

The Applicant has amended claims 4, 9, and 14. As amended, these claims recite limitations not taught or suggested by the art of record, specifically:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization, the previous applicant entry having program data regarding the applicant and a previous background investigation conducted on the applicant by the second organization for a previous position in the second organization; and sending program data ~~regarding~~ from the previous applicant entry to the investigator.

In the Office Action, the Examiner cites Parikh paragraph 0061 as teaching the claim limitation “searching for a previous applicant entry in the system memory...” (Office Action, pages 9 and 10). However, Parikh paragraph 0061 does not have anything to do with searching for anything in any system memory. Parikh paragraph 0061 discusses section A of a document checklist T101. Document checklist T101 is a self-inked hard copy document is filled out by a “TQA” (Talent Quality group Associate) to check for necessary documents of a job candidate before an interview. (Paragraph 0058). Document checklist T101 includes check boxes to indicate if previous and present employment details are present in documents available before an interview. (Paragraph 0061 and Fig. 12). The TQA hands the completed T101 checklist to a “LR” (Line Recruiter) and the

TQA retains a carbon copy. (Paragraph 0059). The fate of the T101 checklist after that is not disclosed anywhere in Parikh.

Thus Parikh does not teach all limitations of amended claims 4, 9, and 14. This defect is not corrected by any of the art of record. For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

REGARDING CLAIMS 5, 10 AND 15

The Applicant has amended claims 5, 10, and 15. As amended, these claims recite limitations not taught or suggested by the art of record, specifically:

generating a suggested reference list of one or more law enforcement agencies and/or courts within a pre-defined radius around the applicant residential address; and
presenting the suggested reference list to the investigator.

As noted in the discussion of claims 3, 8, and 13, Parikh teaches e-dossiers that may have candidate referral information, but Parikh is silent on how information is obtained and entered into the e-dossier. For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

REGARDING CLAIMS 6, 11 AND 16

The Applicant has amended claims 6, 11, and 16. As amended, these claims recite limitations not taught or suggested by the art of record, specifically:

presenting to the investigator, prior to transmitting the [[link]] applicant hyperlink for viewing the ~~first~~-applicant set of electronic documents, an option of changing one or more documents in the ~~first~~-applicant set of electronic documents.

As noted in the discussion of claims 3, 8, and 13, Parikh teaches e-dossiers that may have candidate referral information, but Parikh is silent on how information is obtained and entered into the e-dossier.

The Examiner cites Wasley paragraphs 0233 & 0236 as teaching the pre-amended version of this limitation. (Office Action, page 12). Paragraph 0233 discusses a "Position Tree." The "Position Tree" is a data structure within the Organization Structure Module of the Wasley system, representing the hierarchical set of superior/ subordinate management between within organization. (Paragraph 0220). Users can view the Position Tree from a user end station (paragraph 0233) as well as edit the Position Tree (paragraph 0236). While Wasley the concept of a user having the ability to edit a set of data, the system of Wasley does not present an option to edit a set of data. The option may exist, but it is not presented to any user at any time, much less prior to transmitting a link to the data to someone else.

For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

REGARDING CLAIMS 7, 12 AND 17

The Applicant has amended claims 7, 12, and 17. As amended, these claims recite limitations not taught or suggested by the art of record, specifically:

wherein one document of the ~~first~~applicant set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

The Examiner cites Wasley paragraph 0203 as teaching the pre-amended version of this limitation. (Office Action, page 12). The Wasley system has a module that generates actions representing questionnaire completion requirements. (Paragraphs 0202-0203). Thus the Wasley system generates requirements for questionnaires to be completed, but does not generate the questionnaires. There is no mention in Wasley if any questionnaires are stored in the Wasley system or not. There is no mention in Wasley whether the questionnaires are interactive or not.

For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

REGARDING CLAIM 18

The Applicant has amended claim 18. As amended, claim 18 recites limitations not taught or suggested by the art of record, specifically:

creating a plurality of questionnaires each being a member of at least one class of a plurality of classes of questionnaires, each class being related to a type of reference; and

including a first questionnaire of the plurality of questionnaires in ~~first set~~ the first reference set of electronic documents, the first questionnaire in one of the plurality of classes that is related to the type of the first reference

The Examiner cites Williams, pointing to paragraph 0053, for teaching these claim limitations. (Office Action, page 13). Williams teaches a business networking system that allows for the assessment of candidates by reviewers, such that the assessments are weighted based on characteristics of the reviewer. (Abstract). The Williams system employs “a range of questions” to enable a “voucher” to vouch for a candidate. (Paragraph 0053). Williams does not explicitly state how these “range of questions” are presented to the voucher, but suggests some mode is used, which arguendo can be considered a “questionnaire.” However, there is nothing in Williams that teaches or suggests classifying vouchers by type and creating different “range of questions” for each voucher type. Thus Williams does not teach all limitations of claim 18.

For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

REGARDING CLAIM 19

Claim 19 recites one or more limitations not taught or suggested by the art of record, specifically:

receiving instructions from the investigator to edit one of the questionnaires.

The Examiner cites Williams, pointing to paragraph 0053, for teaching these claim limitations. (Office Action, page 14). Williams teaches a business networking system that allows for the assessment of candidates by reviewers, such that the assessments are weighted based on characteristics of the reviewer. (Abstract). The Williams system

employs “a range of questions” to enable a “voucher” to vouch for a candidate. (Paragraph 0053). Williams does not explicitly state how these “range of questions” are presented to the voucher, but suggests some mode is used, which arguendo can be considered a “questionnaire.” However, there is nothing in Williams that teaches or suggests any user editing any particular “range of questions.” It appears that Williams assumes that the same “range of questions” is given to all vouchers since the point of the system of Williams is to obtain an aggregated weighted average for the answers to the questions based on several weighing criteria including the rating of the voucher. (Paragraphs 0056-0063). Giving a different “range of questions” to some vouchers would be incompatible with this. Thus Williams does not teach all limitations of claim 19.

For at least these reasons, the Applicant believes these claims are allowable and respectfully requests the examiner to withdraw these rejections.

CONCLUSION

For the foregoing reasons, reconsideration and allowance of the claims as amended is solicited. The Examiner is encouraged to telephone the undersigned at (360) 750-9931 if it appears that an interview would be helpful in advancing the case. The Applicant respectfully submits that this application is in condition for allowance. Such is earnestly requested.

Respectfully submitted,

/Philip R.M. Hunt/

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Electronic Acknowledgement Receipt

EFS ID:	20914369
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	23442
Filer:	Philip R. Hunt
Filer Authorized By:	
Attorney Docket Number:	MIME.001
Receipt Date:	09-DEC-2014
Filing Date:	06-APR-2012
Time Stamp:	22:49:49
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		MIME-001_2014-09-10_NFOAR _AsFiled.pdf	161992 <small>5fb069b74da19bb823d62da6fc837091b98490aa</small>	yes	17

Multipart Description/PDF files in .zip description			
Document Description		Start	End
Amendment/Req. Reconsideration-After Non-Final Reject		1	1
Claims		2	9
Applicant Arguments/Remarks Made in an Amendment		10	17

Warnings:

Information:

Total Files Size (in bytes):	161992
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 13/441,648	Filing Date 04/06/2012	<input type="checkbox"/> To be Mailed
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ENTITY: LARGE SMALL MICRO

APPLICATION AS FILED – PART I

FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>				
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL	

APPLICATION AS AMENDED – PART II

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	
AMENDMENT	12/09/2014	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR				
	Total <small>(37 CFR 1.16(i))</small>	* 17	Minus	** 20	= 0	X \$40 = 0	
	Independent <small>(37 CFR 1.16(h))</small>	* 3	Minus	***3	= 0	X \$210 = 0	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						
					TOTAL ADD'L FEE	0	

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR				
	Total <small>(37 CFR 1.16(i))</small>	*	Minus	**	=	X \$ =	
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	***	=	X \$ =	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						
					TOTAL ADD'L FEE		

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
 ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
 *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

LIE
/PAMELA v. THERATT/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/441,648	04/06/2012	Tyler J. Miller	MIME.001	9597
23442	7590	09/10/2014	EXAMINER	
RYLANDER & ASSOCIATES PC P.O. Box 250 VANCOUVER, WA 98660			ABU ROUMI, MAHRAN Y	
			ART UNIT	PAPER NUMBER
			2455	
			MAIL DATE	DELIVERY MODE
			09/10/2014	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No. 13/441,648	Applicant(s) MILLER, TYLER J.	
Examiner MAHRAN ABU ROUMI	Art Unit 2455	AIA (First Inventor to File) Status No

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) Responsive to communication(s) filed on 08/12/2014.
 A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.
- 2a) This action is **FINAL**.
- 2b) This action is non-final.
- 3) An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
- 4) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims*

- 5) Claim(s) 3-19 is/are pending in the application.
5a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 6) Claim(s) _____ is/are allowed.
- 7) Claim(s) 3-19 is/are rejected.
- 8) Claim(s) _____ is/are objected to.
- 9) Claim(s) _____ are subject to restriction and/or election requirement.

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.

Application Papers

- 10) The specification is objected to by the Examiner.
- 11) The drawing(s) filed on _____ is/are: a) accepted or b) objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

Certified copies:

- a) All b) Some** c) None of the:
 - 1. Certified copies of the priority documents have been received.
 - 2. Certified copies of the priority documents have been received in Application No. _____.
 - 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

** See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) Notice of References Cited (PTO-892)
- 2) Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b) Paper No(s)/Mail Date _____.
- 3) Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
- 4) Other: _____.

DETAILED ACTION

The present application is being examined under the pre-AIA first to invent provisions. This communication is responsive to the application filed on 08/12/2014.

Status of Claims:

Claims 3-19 are presented for examination.

Claims 3-6 and 8-16 are amended.

Claims 1-2 are cancelled.

Claims 18-19 are newly added.

Continued Examination Under 37 CFR 1.114

A request for continued examination under 37 CFR 1.114 was filed in this application after appeal to the Patent Trial and Appeal Board, but prior to a decision on the appeal. Since this application is eligible for continued examination under 37 CFR 1.114 and the fee set forth in 37 CFR 1.17(e) has been timely paid, the appeal has been withdrawn pursuant to 37 CFR 1.114 and prosecution in this application has been reopened pursuant to 37 CFR 1.114. Applicant's submission filed on **June 10, 2014** has been entered.

Notes

Applicant is strongly encouraged to schedule an interview before responding to this Office Action to expedite prosecution.

Response to Arguments

Applicant's arguments in the amendment filed on 06/10/2014 regarding Claim rejection under 35 USC § 112 with respect to Claims 3-17 and 35 USC § 101 with respect to Claims 8-12 have been considered and found persuasive. Thus, the outstanding rejections under 112 and 101 have been withdrawn based on applicant's arguments and amendments.

Applicant's arguments in the amendment filed on 06/10/2014 regarding Claim rejection under 35 USC § 103 with respect to Claims 3-17 are moot in view of the new ground of rejection.

Claim Rejections - 35 USC § 103

The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 3-19 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Parikh et al. (hereinafter Parikh) US 2012/0089528 A1 in view of Wasley US 2008/0021759 A1 and further in view of Williams US 2010/0332405 A1 and further in view of obviousness.

Regarding Claim 3, Parikh teaches a method for a computing device with a processor and a system memory to assist an investigator in conducting a background

Art Unit: 2455

investigation of an applicant for a position within a first organization (Fig. 12-14 & ¶0068, candidate e-dossiers associated with the selected candidates may be assessed during an assessment stage 1410. The candidate e-dossiers may be assessed for integrity of candidate information and other relevant information. Then, during a technical interview stage 1412, the candidates are interviewed for their technical skill. The technical interview may be a face to face interview. An interview log may be updated accordingly. Further, the candidates selected in the technical interview may go into an HR interview stage 1414. During the HR interview, the candidates may be interviewed in person and relevant documents may be verified by the LR). Note also that Parikh teaches at least two kinds of investigations, see ¶0070, background verification of the candidates is performed at background verification stage 1422 where details such as prior employers, prior earnings, prior taxable income, and the like are verified. Based on the background verification, a background verification log is updated. The verified candidates are asked to on board the organization at an on boarding stage 1424. It can be seen that, a second background verification is also performed at a background verification stage 1426, after the candidates have joined the organization to confirm compliance of various processes and policies of the organization. **comprising the steps of:**

receiving program data identifying the applicant (Fig. 12 & ¶0027, During the HR interview, documents submitted by one or more prospective candidates may be verified using a document checklist T101. An exemplary detailed document checklist T101 is shown in FIG. 12 and is explained in more detail below with reference to the

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FIG. 12. The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), **the position** (Fig. 12 & ¶0027, The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), **the first organization** (Fig. 12, see TQA organization), and **the investigator** (Fig. 12, see HR interviewer name). Note that an investigator within an organization as defined in the preamble of the independent claims broadly interpreted may mean, inter alia, Human Resources' personal e.g. hiring, firing, promotion, demotion, etc. Thus, here HR rep. or TQA and Line Recruiter of Fig. 12 & ¶0066-0068 are functionally equivalent to an investigator. In addition, see also ¶0024, `talent quality group (TQG)` refers to a talent acquisition (TA) team and includes talent quality recruiters, TQG associates (TQA), TQG executives, source due diligence team, background verification team, on boarding team and partner management who are involved in hiring potential employees for an organization. Also, the terms `high volume talent acquisition` and `high volume job hiring` are used interchangeably throughout the document.

However, the Examiner cites a secondary reference to enforce that HR personal within a company are functionally equivalent to investigator.

Parikh does not *expressly* teach the bolded limitation of “receiving program data identifying the applicant the position, the organization, and **the investigator.**”

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However, Wasley teaches that such information of Parikh's is used for investigation within a company or organization. See Fig. 11 and ¶0328, an incident search/investigation 620 screen similar to that shown in FIG. 11.

It would have been obvious to one of ordinary skill in the art to combine or use the data gathered of Wasley into the system of Parikh in order for an organization to use such information for investigating its employee and make decisions based on such data (Abstract).

Parikh further teaches **storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant** (Fig. 12 & ¶0027, During the HR interview, documents submitted by one or more prospective candidates may be verified using a document checklist T101. An exemplary detailed document checklist T101 is shown in FIG. 12 and is explained in more detail below with reference to the FIG. 12. The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), (Fig. 12 & ¶0027, The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), **the first organization** (Fig. 12, see TQA organization), and **the investigator** (Fig. 12, see HR interviewer name); Note that an investigator within an organization as defined in the preamble of the independent claims broadly interpreted may mean, inter alia, Human Resources' personal e.g. hiring, firing,

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promotion, demotion, etc. Thus, here HR rep. or TQA and Line Recruiter of Fig. 12 & ¶0066-0068 are functionally equivalent to an investigator. In addition, see also ¶0024, `talent quality group (TQG)` refers to a talent acquisition (TA) team and includes talent quality recruiters, TQG associates (TQA), TQG executives, source due diligence team, background verification team, on boarding team and partner management who are involved in hiring potential employees for an organization. Also, the terms `high volume talent acquisition` and `high volume job hiring` are used interchangeably throughout the document. In addition, see above how a secondary reference, Wasley, is cited to enforce such teachings of Parikh.

However, Parikh does not expressly teach the bolded limitation receiving program data identifying a first reference, the program data including a first electronic address associated with the first reference **“wherein the first reference is a first person likely to have information regarding the applicant.”**

However, Williams teaches that a first reference may be a second investigator that is substantially similar to a "person." see ¶0004, embarking on a new business or social relationship with an unfamiliar person, a reference check of some kind on that person is usually undertaken. This may be done formally or informally. Forms of "formal" reference checks include obtaining the person's credit history, searching for outstanding liens, legal actions, or other negative factors, hiring a private investigator to review the person's previous dealings, determining whether the person is in good standing with their professional organization, trade organization, or social club, etc. Note that it's implied that a private investigator has an address that is giving to the

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investigator. See also Parikh in Fig. 1, step 106 & ¶0028, At step 106, information associated with fraudulent practices used in the pre-selection interviews is obtained and the obtained information is stored in the quality talent acquisition database. Further, one or more candidates are selected for a post-selection process based on an outcome of the pre-selection interviews. The candidate e-dossiers associated with the selected one or more candidates are updated using any additional information obtained during the pre-selection interviews.

It would have been obvious to one of ordinary skill in the art to incorporate Williams teachings of a person as a reference and incorporate these teachings into the system of Parikh and Wasley in order to allow the assessment of persons and the assessment is weighted based on the reviewer (Abstract).

Parikh further teaches **transmitting a link for viewing a first set of electronic documents associated with the position to the first electronic address** (Fig. 1, step 106 & ¶0028, At step 106, information associated with fraudulent practices used in the pre-selection interviews is obtained and the obtained information is stored in the quality talent acquisition database. Further, one or more candidates are selected for a post-selection process based on an outcome of the pre-selection interviews. The candidate e-dossiers associated with the selected one or more candidates are updated using any additional information obtained during the pre-selection interviews). See also, Wasley in ¶0227, Link a Position Description document to the position.

Parikh further teaches **receiving a first electronic response to the first set of electronic documents from the first reference** (Fig. 1 & ¶0029, At step 108, the

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selected one or more candidates are sampled in real-time based on an outcome of the post-selection process using the candidate e-dossiers, the historical data associated with fraudulent practices and an input and trigger based statistical algorithm, as illustrated in FIGS. 2 through 5. For example, the selected one or more candidates are randomly sampled using the processor based on a first set of parameters. The first set of parameters is obtained from the candidate e-dossiers and the historical data associated with fraudulent practices); and

Parikh further teaches **storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry** (Fig. 1 & ¶0029, At step 108, the selected one or more candidates are sampled in real-time based on an outcome of the post-selection process using the candidate e-dossiers, the historical data associated with fraudulent practices and an input and trigger based statistical algorithm, as illustrated in FIGS. 2 through 5. For example, the selected one or more candidates are randomly sampled using the processor based on a first set of parameters. The first set of parameters is obtained from the candidate e-dossiers and the historical data associated with fraudulent practices).

Regarding Claim 4, Parikh teaches the method of claim 3, further comprising the steps of:

Searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization (¶0061, As illustrated, section A includes details such as company application form (CAM), income

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tax documents, permanent account number (PAN), previous and present employment details, educational mark sheets, date of face to face technical interview, etc. Section B includes details such as ex-employee, do not hire (DNH) company, DNH University, technical assessment for (TAF), curriculum vitae (CV), relevant technical certifications, e-assessment result and date, etc. The TQA and the LR may also provide comments in a TQA/LR comments column 1202).

sending program data regarding the previous applicant entry to the investigator (Fig. 13, see 19.4 and 19.5).

Regarding Claim 5, Parikh teaches the method of claim 3, further comprising the steps of:

identifying a second reference based on the first response from the first reference (Fig. 14 & ¶0070, a second background verification is also performed at a background verification stage 1426, after the candidates have joined the organization to confirm compliance of various processes and policies of the organization). Note that based on applicant's responses before hiring, the first time he meets with HR, a first investigation take place to determine if applicant is fit or not to be hired. In addition, based on the applicant's responses the first time before hiring, a second background verification takes place after joining the organization. See ¶0069-0076.

Wherein the second reference is a second person likely to have information regarding the applicant (note that Parikh teaches that a second background check takes

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place and Williams teaches that a different investigator may perform the background.

Thus, one of ordinary skill in the art would understand that Parikh's teachings in view of Williams' teachings to teach this limitation).

obtaining a second reference electronic address (Fig. 14 & ¶0071, the identified fraudulent practices and other non-compliances are reported to the TQG recruiter 1402. In one embodiment, the TQG recruiter 1402 registers the fraudulent practices and process defects identified during the job hiring in the quality talent acquisition database 1104. Also, other information relevant to the job hiring processes such as interviewer details, candidate information, etc. are stored in the quality talent acquisition database 1104);

transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address (Fig. 14 & ¶0071, the identified fraudulent practices and other non-compliances are reported to the TQG recruiter 1402. In one embodiment, the TQG recruiter 1402 registers the fraudulent practices and process defects identified during the job hiring in the quality talent acquisition database 1104. Also, other information relevant to the job hiring processes such as interviewer details, candidate information, etc. are stored in the quality talent acquisition database 1104);

receiving a second response to the second set of electronic documents from the second reference (¶0069-¶0072); and

storing the second response in the system memory, associating the second response with the new applicant entry (¶0069-¶0072).

Regarding Claim 6, Wasley further teaches the method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents (¶0233 & 0236). Note that an investigator within an organization as defined in the preamble of the independent claims broadly interpreted may mean, inter alia, Human Resources' personal or any person within an organization that deals with hiring applicants or employees.

Regarding Claim 7, Wasley further teaches the method of claim 3, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question (¶0203, Generating actions representing questionnaire completion requirements for monitoring by the action management module). Note that the action management module is used for investigation reporting (¶0170).

Claims 8-12 and 13-17 are substantially similar to Claims 3-7 respectively, thus same rationale applies.

Regarding Claim 18, Williams further teaches the computing device of claim 13, further comprising additional instructions stored in the system memory which, when

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executed by the processor of the computing device, cause the computing device to perform the step of:

creating a plurality of questionnaires each being a member of at least one class of a plurality of classes of questionnaires, each class being related to a type of reference (¶0053, A voucher, or "reviewer" of a vouchee (or "candidate")) could vouch for that candidate using a simple rating system, such as "would you do business with the vouchee again? Yes/No". The vouching could also be done utilizing a 1-5 scale, with 5 being "Highly rated" and 1 being "very low rated". In one embodiment, a range of questions or criteria are employed to determine an objective rating based on a range of subjective "vouchable attributes" describing the candidate. These "vouchable attributes" can describe a variety of attributes, and, in one embodiment, are categorized as a scale where both ends of the scale are subjective, ranging from a positive attribute to a negative attribute. Examples of vouchable attributes are listed in Table 1, along with the positive and negative attributes); and

including a first questionnaire of the plurality of questionnaires in first set of electronic documents, the first questionnaire in one of the plurality of classes that is related to the type of the first reference (¶0053, A voucher, or "reviewer" of a vouchee (or "candidate")) could vouch for that candidate using a simple rating system, such as "would you do business with the vouchee again? Yes/No". The vouching could also be done utilizing a 1-5 scale, with 5 being "Highly rated" and 1 being "very low rated". In one embodiment, a range of questions or criteria are employed to determine an objective rating based on a range of subjective "vouchable attributes" describing the

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candidate. These "vouchable attributes" can describe a variety of attributes, and, in one embodiment, are categorized as a scale where both ends of the scale are subjective, ranging from a positive attribute to a negative attribute. Examples of vouchable attributes are listed in Table 1, along with the positive and negative attributes).

Regarding Claim 18, Williams further teaches the computing device of claim 18, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

receiving instructions from the investigator to edit one of the questionnaires (¶0053, A voucher, or "reviewer" of a vouchee (or "candidate") could vouch for that candidate using a simple rating system, such as "would you do business with the vouchee again? Yes/No". The vouching could also be done utilizing a 1-5 scale, with 5 being "Highly rated" and 1 being "very low rated". In one embodiment, a range of questions or criteria are employed to determine an objective rating based on a range of subjective "vouchable attributes" describing the candidate. These "vouchable attributes" can describe a variety of attributes, and, in one embodiment, are categorized as a scale where both ends of the scale are subjective, ranging from a positive attribute to a negative attribute. Examples of vouchable attributes are listed in Table 1, along with the positive and negative attributes).

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MAHRAN ABU ROUMI whose telephone number is (571)272-3512. The examiner can normally be reached on Monday - Friday, 8AM - 5PM (EST).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on 571-272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/M. A./
Examiner, Art Unit 2455

/EMMANUEL L. MOISE/
Supervisory Patent Examiner, Art Unit 2455

Notice of References Cited	Application/Control No. 13/441,648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	Page 1 of 1

U.S. PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-2010/0332405 A1	12-2010	Williams, Chad	705/319
	B US-			
	C US-			
	D US-			
	E US-			
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
	K US-			
	L US-			
	M US-			


FOREIGN PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

NON-PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)				
	U				
	V				
	W				
	X				

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

Index of Claims 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
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✓	Rejected
=	Allowed


-	Cancelled
÷	Restricted

N	Non-Elected
I	Interference

A	Appeal
O	Objected

Claims renumbered in the same order as presented by applicant
 CPA
 T.D.
 R.1.47

CLAIM		DATE							
Final	Original	09/28/2013	02/26/2014	09/07/2014					
	1	✓	-	-					
	2	✓	-	-					
	3		✓	✓					
	4		✓	✓					
	5		✓	✓					
	6		✓	✓					
	7		✓	✓					
	8		✓	✓					
	9		✓	✓					
	10		✓	✓					
	11		✓	✓					
	12		✓	✓					
	13		✓	✓					
	14		✓	✓					
	15		✓	✓					
	16		✓	✓					
	17		✓	✓					
	18			✓					
	19			✓					

Search Notes 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
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CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner
(G06Q10/06 OR G06Q10/0631 OR G06Q10/00 OR G06Q10/063 OR G06Q10/063114 OR G06Q10/06314 OR G06Q10/06375 OR G06Q10/0639 OR G06Q10/06398 OR G06Q10/109 OR G06Q10/1097 OR G06Q30/06 OR G06Q40/00 OR G06Q10/10)	2/26/2014	MA

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
705	7.14	9/28/2013	MA

SEARCH NOTES		
Search Notes	Date	Examiner
Double patenting, East search and inventor's name	9/28/2013	MA
updated search	2/26/2014	MA
updated search	9/7/2014	MA

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455	
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EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
S1	19	((TYLER) near2 (MILLER)).INV.	US-PGPUB; USPAT	OR	ON	2013/09/28 12:06
S2	0	inbound near50 communication\$1 near50 questionair\$2 near50 (background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S3	0	inbound near50 communication\$1 near50 questionair\$2	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S4	173	(background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S5	6	S4 near50 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:16
S6	433	drag near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:20
S7	1	S6 and S4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:21
S8	135	((drag\$drop) drag near drop) near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT;	OR	ON	2013/09/28 13:21

S9	25	((drag\$drop) drag near drop) near20 question\$6 near20 interface	IBM_TDB US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:22
S10	10253	background near50 (check investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S11	9684	position near50 organization	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S12	9327	position\$1 near50 organization\$1	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S13	95	S10 and S12	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:40
S14	5	background near100 investigator\$1 near100 address\$1	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 14:18
S15	214	search\$3 near100 (position rank title dut\$3 responsibil\$5) near100 investigat\$4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 15:35
S17	1	Human near50 Resource\$2 near50 hir\$3 near50 position\$1 near50 (docs document\$1)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 16:38
S18	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO;	OR	ON	2014/02/25 16:39

			JPO; DERWENT; IBM_TDB			
S19	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:08
S20	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:08
S21	8	S20 AND ((G06Q10/06 OR G06Q10/0631 OR G06Q10/00 OR G06Q10/063 OR G06Q10/063114 OR G06Q10/06314 OR G06Q10/06375 OR G06Q10/0639 OR G06Q10/06398 OR G06Q10/109 OR G06Q10/1097 OR G06Q30/06 OR G06Q40/00 OR G06Q10/10 OR G06Q40/04 OR G06Q40/12).CPC.)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:37
S22	214	search\$3 near100 (position rank title dut\$3 responsibil\$5) near100 investigat\$4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:38
S23	44	S22 and question\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:38
S24	1	(human near resource\$1) near50 (promotion demotion) near50 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:23
S25	2	(human) near50 (promotion demotion) near50 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:24
S26	2905679	((Human adj resources) HR)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:25

S27	0	((Human adj resources) HR) near100 (promotion\$s demotion\$1 hiring\$1 firing\$1) near100 background near100 investigation	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:26
S28	13	((Human adj resources) HR) near100 (promotion\$s demotion\$1 hiring\$1 firing\$1) near100 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:26
S29	1423	background near50 investigation	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:40
S30	202831	reference near50 (somebody person police someone witness lawyer teacher professor human male female)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:46
S31	1626	background near50 (investigation investigator)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:48
S32	96	position near50 organization near50 (investigator police (investigation near personal) (human near resources))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:49
S33	0	S30 and S31 and S32	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:49
S34	3828	position near50 (investigator police (investigation near personal) (human near resources))	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:49
S35	2	S30 and S31 and S34	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO;	OR	ON	2014/07/27 15:49

			DERWENT; IBM_TDB			
S36	1668	background near50 (investigation investigator investigative)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/07/27 15:54
S37	1013	reference with (someone one person) near100 investigat\$3	US-PGPUB; USPAT	OR	ON	2014/09/04 12:35
S38	50	reference with (someone one person) near investigat\$3	US-PGPUB; USPAT	OR	ON	2014/09/04 12:35
S39	97	reference with (someone one person) near100 investigat\$3 near100 (applicant position organization investigator)	US-PGPUB; USPAT	OR	ON	2014/09/04 12:43
S40	0	reference with (someone one person) near100 investigat\$3 near100 (applicant position organization investigator) near100 linke	US-PGPUB; USPAT	OR	ON	2014/09/04 12:46
S41	2	reference with (someone one person) near100 investigat\$3 near100 (applicant position organization investigator) near100 link	US-PGPUB; USPAT	OR	ON	2014/09/04 12:46
S42	10	reference with (person) near100 investigat\$3 near100 (applicant position organization investigator)	US-PGPUB; USPAT	OR	ON	2014/09/04 12:50
S43	11114	investigat\$5 with tools	US-PGPUB; USPAT	OR	ON	2014/09/04 13:24
S44	3	investigat\$5 with tools near100 (applicant position organization investigator) near100 link	US-PGPUB; USPAT	OR	ON	2014/09/04 13:24
S45	2	background with investigation near100 (applicant position organization investigator) near100 link	US-PGPUB; USPAT	OR	ON	2014/09/04 13:29
S46	69784	communication with server with (equipment\$1 printer fax phone desktop labtop)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:40
S47	54890	(content data) near100 upload	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:41
S48	3813	S46 and S47	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:42
S49	214	(MTC (Machinge near	US-PGPUB;	OR	ON	2014/09/04

		communication)) with server with (equipment\$1 printer fax phone desktop labtop)	USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB			13:43
S50	8	S49 and S47	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 13:43
S51	73	background with investigation near100 (applicant position organization investigator)	US-PGPUB; USPAT	OR	ON	2014/09/04 15:32
S52	329	background near50 (investigation investigator investigative check) near100 (person witness reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:52
S53	770	background near50 (investigation investigator investigative check) near100 (person witness reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:53
S54	7	background near50 (investigation investigator investigative check) near100 (person witness reference) near100 link	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:53
S55	788	background with (investigation investigator investigative check) near100 (person witness reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:54
S56	7	background with (investigation investigator investigative check) near100 (person witness reference) near100 link	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 15:55
S57	81900	receiv\$3 near50 information near50 (reference)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:33
S58	35	receiv\$3 with information with (reference) near100 investigat\$5	US-PGPUB; USPAT; USOCR;	OR	ON	2014/09/04 16:34

			FPRS; EPO; JPO; DERWENT; IBM_TDB			
S59	82	receiv\$3 with (data history background information) with (reference) near100 investigat\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:36
S60	1	receiv\$3 with (data history background information) with (reference) near100 investigat\$5 near100 link	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:36
S61	1	receiv\$3 with (data history background information) with (reference) near100 investigat\$5 and "709".class.	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:36
S62	60	receiv\$3 with (data history background) with (reference) near100 investigat\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:37
S63	7	receiv\$3 with (data history background) with (reference) near100 investigat\$5 near100 (background check)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/09/04 16:38
S64	6	person with reference near100 investigator	US-PGPUB; USPAT	OR	ON	2014/09/05 14:18

EAST Search History (Interference)

< This search history is empty >

9/ 7/ 2014 2:32:29 PM**C:\ Users\ maburoumi\ Documents\ EAST\ Workspaces\ 13441648.wsp**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: : Tyler J. Miller
 Inventor(s): : Tyler J. Miller
 Serial No.: : 13/441,648
 Filed: : 04/06/2012
 Confirm No.: : 9597
 For: : BACKGROUND INVESTIGATION MANAGEMENT
 SERVICE
 Examiner: : ABU ROUMI, MAHRANY
 TC/A.U.: : 2455
 Date: : August 12, 2014

The Honorable Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL AMENDMENT

Applicant requests entry of this supplemental amendment.

Amendments to the Claims 2
 Remarks / Arguments 8
 Conclusion 9

AMENDMENTS TO THE CLAIMS

Claims 3-19 are pending, with claims 3, 8, and 13 being independent. Claims 4, 9, 14, and 18 have been amended. No new subject matter has been added.

Listing of the Claims

What is claimed is:

1 – 2. Cancelled.

3. (Previously Presented) A method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within a first organization, comprising the steps of:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first electronic address associated with the first reference;

transmitting a link for viewing a first set of electronic documents associated with the position to the first electronic address;

receiving a first electronic response to the first set of electronic documents from the first reference; and

storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

4. (Currently Amended) The method of claim 3, further comprising the steps of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization; and sending program data regarding the previous applicant entry to the investigator.

5. (Previously Presented) The method of claim 3, further comprising the steps of:

identifying a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant;

obtaining a second reference electronic address;

transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;

receiving a second response to the second set of electronic documents from the second reference; and

storing the second response in the system memory, associating the second response with the new applicant entry.

6. (Previously Presented) The method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

7. (Previously Presented) The method of claim 3, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

8. (Previously Presented) A non-transitory computer-readable medium having stored thereon instructions which, when executed by a processor of a computing device with a system memory, cause the computing device to perform the steps of a method to assist an investigator in conducting a background investigation of an applicant for a position within an organization, the steps of the method comprising:

receiving program data identifying the applicant, the position, the organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first electronic address associated with the first reference; transmitting a link for viewing a first set of electronic documents associated with the position to the first electronic address; receiving a first electronic response to the first set of electronic documents from the first reference; and storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

9. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the step of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization; and sending program data regarding the previous applicant entry to the investigator.

10. (Previously Presented) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

identifying a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant; obtaining a second reference electronic address; transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address; receiving a second response to the second set of electronic documents from the second reference; and storing the second response in the system memory, associating the second response with the new applicant entry.

11. (Previously Presented) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

12. (Previously Presented) The non-transitory computer-readable medium of claim 8, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

13. (Previously Presented) A computing device configured to assist an investigator in conducting a background investigation of an applicant for a position within an organization, comprising:

a processor; and

a system memory, the system memory having instruction stored therein that when executed by the processor, cause the computing device to perform the steps of:

receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first electronic address associated with the first reference;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, the program data including a first reference electronic address;

transmitting a link for viewing a first set of electronic documents associated with the position to the first reference electronic address;

receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and

storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

14. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization; and sending program data regarding the previous applicant entry to the investigator.

15. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

generating a second reference based on the first response from the first reference;
obtaining a second reference electronic address;
transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;
receiving a second response to the second set of electronic documents from the second reference; and
storing the second response in the system memory, associating the second response with the new applicant entry.

16. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

17. (Previously Presented) The computing device of claim 13,

wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

18. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

creating a plurality of questionnaires each being a member of at least one class of a plurality of classes of questionnaires, each class being related to a type of reference; and

including a first questionnaire of the plurality of questionnaires in first set of electronic documents, the first questionnaire in one of the plurality of classes that is related to the type of the first reference.

~~compiling the plurality of questions through a drag and drop interface based on an identifier for the class of questionnaire.~~

19. (Previously Presented) The computing device of claim 18, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

receiving instructions from the investigator to edit one of the questionnaires.

REMARKS / ARGUMENTS

Applicant respectfully requests entry of this supplemental amendment under 37 C.F.R. § 1.111(2)(i)(E) Correction of informalities (e.g., typographical errors). Applicant has removed an extraneous limitation that was left in-between claims 18 and 19 in the Applicant's response / amendment of 2014-06-10. Applicant has inserted an "and" between the next-to-last and last limitation of Claims 4, 9, and 14.

CONCLUSION

For the foregoing reasons, reconsideration and allowance of the claims as amended is solicited. The Examiner is encouraged to telephone the undersigned at (360) 750-9931 if it appears that an interview would be helpful in advancing the case. The Applicant respectfully submits that this application is in condition for allowance. Such is earnestly requested.

Respectfully submitted,

/Philip R.M. Hunt/

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Electronic Acknowledgement Receipt

EFS ID:	19848370
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	23442
Filer:	Philip R. Hunt
Filer Authorized By:	
Attorney Docket Number:	MIME.001
Receipt Date:	12-AUG-2014
Filing Date:	06-APR-2012
Time Stamp:	19:20:09
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		MIME-001_2014-08-12_SuppA mend_AsFiled.pdf	111558 <small>9bd731d3e69e0ba2cc065684c5cce8156cf 23be</small>	yes	10

Multipart Description/PDF files in .zip description			
Document Description		Start	End
Supplemental Response or Supplemental Amendment		1	1
Claims		2	7
Applicant Arguments/Remarks Made in an Amendment		8	10

Warnings:

Information:

Total Files Size (in bytes):	111558
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 13/441,648	Filing Date 04/06/2012	<input type="checkbox"/> To be Mailed
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ENTITY: LARGE SMALL MICRO

APPLICATION AS FILED – PART I

FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>				
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL	

APPLICATION AS AMENDED – PART II

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)
AMENDMENT	08/12/2014	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR			
	Total <small>(37 CFR 1.16(i))</small>	* 17	Minus	** 20	= 0	X \$40 = 0
	Independent <small>(37 CFR 1.16(h))</small>	* 3	Minus	***3	= 0	X \$210 = 0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>					
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>					
					TOTAL ADD'L FEE	0

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR			
	Total <small>(37 CFR 1.16(i))</small>	*	Minus	**	=	X \$ =
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	***	=	X \$ =
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>					
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>					
					TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
 ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
 *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

LIE
/MARSHA RICHARDS/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**REQUEST FOR CONTINUED EXAMINATION(RCE)TRANSMITTAL
(Submitted Only via EFS-Web)**

Application Number	13441648	Filing Date	2012-04-06	Docket Number (if applicable)	MIME.001	Art Unit	2455
First Named Inventor	Tyler J. Miller			Examiner Name	Mahran Abu Roumi		

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. The Instruction Sheet for this form is located at WWW.USPTO.GOV

SUBMISSION REQUIRED UNDER 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

Other _____

Enclosed

Amendment/Reply

Information Disclosure Statement (IDS)

Affidavit(s)/ Declaration(s)

Other _____

MISCELLANEOUS

Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of months _____
(Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

Other _____

FEES

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

The Director is hereby authorized to charge any underpayment of fees, or credit any overpayments, to Deposit Account No _____

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Patent Practitioner Signature

Applicant Signature

Signature of Registered U.S. Patent Practitioner			
Signature	/Philip R.M. Hunt/	Date (YYYY-MM-DD)	2014-06-10
Name	Philip R.M. Hunt	Registration Number	58044

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Electronic Patent Application Fee Transmittal

Application Number:	13441648
Filing Date:	06-Apr-2012
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Filer:	Philip R. Hunt
Attorney Docket Number:	MIME.001

Filed as Small Entity

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Request for Continued Examination	2801	1	600	600
Total in USD (\$)				600

Electronic Acknowledgement Receipt

EFS ID:	19266832
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	23442
Filer:	Philip R. Hunt
Filer Authorized By:	
Attorney Docket Number:	MIME.001
Receipt Date:	10-JUN-2014
Filing Date:	06-APR-2012
Time Stamp:	19:13:35
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$600
RAM confirmation Number	5867
Deposit Account	
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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1		MIME-001_2014-06-10_OAR_A sFiled.pdf	142267 <small>7c469e8e44377c0faebbcbb57af72a5a538d88a</small>	yes	13
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		Document Description	Start	End	
		Amendment Submitted/Entered with Filing of CPA/RCE	1	1	
		Claims	2	7	
		Applicant Arguments/Remarks Made in an Amendment	8	13	
Warnings:					
Information:					
2	Request for Continued Examination (RCE)	MIME-001_2014-06-10_RCE.pdf	697833 <small>9e98235ef08fa60928088d1d999791c91b5aa627</small>	no	3
Warnings:					
Information:					
3	Fee Worksheet (SB06)	fee-info.pdf	30194 <small>bdd4ed3a9568d7a688e2630250c2119745de9ad8</small>	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			870294		
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: : Tyler J. Miller
 Inventor(s): : Tyler J. Miller
 Serial No.: : 13/441,648
 Filed: : 04/06/2012
 Confirm No.: : 9597
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 Examiner: : ABU ROUMI, MAHRANY
 TC/A.U.: : 2455
 Date: : June 10, 2014

The Honorable Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

AMENDMENT/REPLY TO FINAL OFFICE ACTION/RCE

This reply is made to final office action mailed 10 March 2013 along with a Request for Continued Examination and the requisite fee.

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AMENDMENTS TO THE CLAIMS

Claims 3-17 are pending, with claims 3, 8, and 13 being independent. Claims 1 and 2 have been cancelled. Claims 3-17 have been added. No new subject matter has been added.

Listing of the Claims

What is claimed is:

1 – 2. Cancelled.

3. (Currently Amended) A method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within ~~an a~~ first organization, comprising the steps of:

receiving program data identifying the applicant, the position, the first organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;

receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first ~~reference~~ electronic address associated with the first reference;

transmitting a link for viewing a first set of electronic documents associated with the position to the first ~~reference~~ electronic address;

receiving a first electronic response to the first set of electronic documents from the first ~~reference~~ electronic address; and

storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

4. (Currently Amended) The method of claim 3, further comprising the steps of:

~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization;
sending program data regarding the previous applicant entry to the investigator.

5. (Currently Amended) The method of claim 3, further comprising the steps of:

~~generating-identifying~~ a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant;

obtaining a second reference electronic address;

transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;

receiving a second response to the second set of electronic documents from the second reference ~~electronic address;~~ and

storing the second response in the system memory, associating the second response with the new applicant entry.

6. (Currently Amended) The method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

7. (Previously Presented) The method of claim 3, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

8. (Currently Amended) A non-transitory computer-readable medium having stored thereon instructions which, when executed by a processor of a computing device with a system memory, cause the computing device to perform the steps of a method to assist an investigator in conducting a background investigation of an applicant for a position within an organization, the steps of the method comprising:

receiving program data identifying the applicant, the position, the organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first ~~reference~~-electronic address associated with the first reference;

transmitting a link for viewing a first set of electronic documents associated with the position to the first ~~reference~~-electronic address;

receiving a first electronic response to the first set of electronic documents from the first ~~reference~~-electronic address; and

storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

9. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the step of:

~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~

searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization;

sending program data regarding the previous applicant entry to the investigator.

10. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

~~generating~~ identifying a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant;

obtaining a second reference electronic address;

transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;

receiving a second response to the second set of electronic documents from the second reference ~~electronic address~~; and
storing the second response in the system memory, associating the second response with the new applicant entry.

11. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

12. (Currently Amended) The non-transitory computer-readable medium of claim 8, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

13. (Currently Amended) A computing device configured to assist an investigator in conducting a background investigation of an applicant for a position within an organization, comprising:

a processor; and

a system memory, the system memory having instruction stored therein that when executed by the processor, cause the computing device to perform the steps of:

receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first ~~reference~~ electronic address associated with the first reference;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, the program data including a first reference electronic address;

transmitting a link for viewing a first set of electronic documents associated with the position to the first reference electronic address;
receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and
storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

14. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~
searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization;
sending program data regarding the previous applicant entry to the investigator.

15. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

generating a second reference based on the first response from the first reference;
obtaining a second reference electronic address;
transmitting a link for viewing a second set of electronic documents associated with the position to the second reference electronic address;
receiving a second response to the second set of electronic documents from the second reference ~~electronic address;~~ and
storing the second response in the system memory, associating the second response with the new applicant entry.

16. (Currently Amended) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

presenting to the investigator, prior to transmitting the link for viewing the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

17. (Previously Presented) The computing device of claim 13, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

18. (New) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

creating a plurality of questionnaires each being a member of at least one class of a plurality of classes of questionnaires, each class being related to a type of reference;

including a first questionnaire of the plurality of questionnaires in first set of electronic documents, the first questionnaire in one of the plurality of classes that is related to the type of the first reference.

compiling the plurality of questions through a drag-and-drop interface based on an identifier for the class of questionnaire.

19. (New) The computing device of claim 18, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

receiving instructions from the investigator to edit one of the questionnaires.

REMARKS / ARGUMENTS

The Applicant makes the following remarks regarding individual issues:

The § 112 Rejections

In the Office Action, the Examiner rejected claims 3-17 under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph.

REGARDING CLAIMS 3-17

The Examiner found “first reference electronic address” in Claims 3, 8 and 13 to have indeterminate meaning and this problem cascades into the Claims that depend on them.

In the context of this Application and as defined and used in the written description, the “first reference” is a person, not information or a document. To make this more explicit, the Applicant has amended claim 3 to read:

, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first reference-electronic address associated with the first reference.

Thus it should now be clear that the “first reference electronic address” is an electronic address of a person likely to have information regarding the applicant.

Claims 8 and 13 have been similarly amended. The Applicant believes these amendments overcome these rejections and respectfully requests the Examiner to withdraw them.

REGARDING CLAIMS 4, 9 AND 14

The Examiner found Claim 4 indefinite because it had the phrase “if there exists.”

The Applicant has amended claim 4, eliminating this phrase:

~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~
searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization;

sending program data regarding the previous applicant entry to the investigator.

Similar amendments were made to claims 9 and 14. The Applicant believes these amendments overcome these rejections and respectfully requests the Examiner to withdraw them.

The § 101 Rejections

In the Office Action, the Examiner rejected claims 8-12 under 35 U.S.C. 101. The Applicant has amended these claims as suggested by the Examiner. The Applicant believes these amendments overcome these rejections and respectfully requests the Examiner to withdraw them.

The § 103 Rejections

In the Office Action, the Examiner rejected Claims 3-17 under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Parikh et al. (hereinafter Parikh) US 2012/0089528 A1 in view of Wasley US2008/0021759 A1.

REGARDING CLAIM 3

A "first reference" as recited in claim 3 does not read on the "information associated with fraudulent practices" in Parikh (per Office Action pages 8-9) because the first reference is a person, not information.

To make this more explicit, the Applicant has amended claim 3, adding the limitation:

wherein the first reference is a first person likely to have information regarding the applicant.

The Applicant believes this amendment overcomes this rejection and respectfully requests the examiner to withdraw it.

REGARDING CLAIM 4

The Examiner points to Parikh Fig. 13, items 19.4 and 19.5 as teaching

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator.

Parikh Fig. 13, items 19.4 and 19.5 refer to different parts of the same application or "applicant entry" - different interviews in processing of the same application. In Claim 4, the previous applicant entry is a different application, made by the same applicant, but for a position with a different organization.

To make this more explicit, the Applicant has amended claim 4, to read:

~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~
searching for a previous applicant entry in the system memory associated with the applicant and a second organization different from the first organization;
sending program data regarding the previous applicant entry to the investigator.

The Applicant believes this amendment overcomes this rejection and respectfully requests the examiner to withdraw it.

REGARDING CLAIM 5

A "second reference" as recited in claim 5 does not read on the "information associated with fraudulent practices" in Parikh (per Office Action pages 10-22) because the first reference is a person, not information.

To make this more explicit, the Applicant has amended claim 5, adding the limitation:

wherein the second reference is a second person likely to have information regarding the applicant.

The Applicant believes this amendment overcomes this rejection and respectfully requests the examiner to withdraw it.

REGARDING CLAIM 6

The Examiner points to Wasley, paragraphs 0233 and 0236 as teaching:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

Wasley, paragraphs 0233 and 0236 teaches editing of position details in a "position tree." However, this "position tree" is not a document and is not a document that is sent to a reference. For at least these reasons, the Applicant believes this rejection has been overcome and respectfully requests the examiner to withdraw it.

REGARDING CLAIM 7

The Examiner points to Wasley, paragraphs 0203 and 0170 as teaching:

wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question

Wasley, paragraphs 0203 and 0170 "Generating actions representing questionnaire completion requirements" but does not teach use of an interactive questionnaire. For at least these reasons, the Applicant believes this rejection has been overcome and respectfully requests the examiner to withdraw it.

REGARDING CLAIMS 8-12

Claims 8-12 are claims for computer-readable media with instructions to perform the method steps of claims 3-7 and have been amended in a similar manner as claims 3-7. The Applicant believes the same reasons for why the rejections of claims 3-7 have been overcome apply to claims 8-12 and respectfully request these rejections be withdrawn.

REGARDING CLAIMS 13-17

Claims 13-17 are claims for computing devices with processors and memories with instructions to perform the method steps of claims 3-7 and have been amended in a similar manner as claims 3-7. The Applicant believes the same reasons for why the rejections of claims 3-7 have been overcome apply to claims 13-17 and respectfully request these rejections be withdrawn.

Support for the New Claims

Support for new Claim 18 is found in original Claim 1 and in page 22 of the written description.

Support for new Claim 19 is found in Fig.5, Fig. 27, and in page 8 of the written description.

CONCLUSION

For the foregoing reasons, reconsideration and allowance of the claims as amended is solicited. The Examiner is encouraged to telephone the undersigned at (360) 750-9931 if it appears that an interview would be helpful in advancing the case. The Applicant respectfully submits that this application is in condition for allowance. Such is earnestly requested.

Respectfully submitted,

/Philip R.M. Hunt/

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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 13/441,648	Filing Date 04/06/2012	<input type="checkbox"/> To be Mailed
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ENTITY: LARGE SMALL MICRO

APPLICATION AS FILED – PART I

FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>				
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL	

APPLICATION AS AMENDED – PART II

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)
AMENDMENT	06/10/2014	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR			
	Total <small>(37 CFR 1.16(i))</small>	* 17	Minus	** 20	= 0	X \$40 = 0
	Independent <small>(37 CFR 1.16(h))</small>	* 3	Minus	***3	= 0	X \$210 = 0
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>					
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						
					TOTAL ADD'L FEE	0

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR			
	Total <small>(37 CFR 1.16(i))</small>	*	Minus	**	=	X \$ =
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	***	=	X \$ =
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>					
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						
					TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
 ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
 *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

LIE
/STEFANIE BRYCE/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**
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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/441,648	04/06/2012	Tyler J. Miller	MIME.001	9597
23442	7590	05/20/2014	EXAMINER	
RYLANDER & ASSOCIATES PC P.O. Box 250 VANCOUVER, WA 98660			ABU ROUMI, MAHRAN Y	
			ART UNIT	PAPER NUMBER
			2455	
			MAIL DATE	DELIVERY MODE
			05/20/2014	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Applicant-Initiated Interview Summary	Application No. 13/441,648	Applicant(s) MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	

All participants (applicant, applicant's representative, PTO personnel):

- (1) MAHRAN ABU ROUMI. (3) _____.
- (2) Phil Hunt. (4) _____.

Date of Interview: 15 May 2014.

Type: Telephonic Video Conference
 Personal [copy given to: applicant applicant's representative]

Exhibit shown or demonstration conducted: Yes No.
If Yes, brief description: _____.

Issues Discussed 101 112 102 103 Others
(For each of the checked box(es) above, please describe below the issue and detailed description of the discussion)

Claim(s) discussed: 3-7.

Identification of prior art discussed: Parikh, Wasley.

Substance of Interview

(For each issue discussed, provide a detailed description and indicate if agreement was reached. Some topics may include: identification or clarification of a reference or a portion thereof, claim interpretation, proposed amendments, arguments of any applied references etc...)

Applicant provided proposed amendments where the claims are amended to refelect that the "reference" in the claims is a person rather than documents as taught by the cited art. See attached. In addition, Applicant argued that in Claim 12 the questionnaire is inter active rather than just a questionnaire. No agreement was reached.

Applicant recordation instructions: The formal written reply to the last Office action must include the substance of the interview. (See MPEP section 713.04). If a reply to the last Office action has already been filed, applicant is given a non-extendable period of the longer of one month or thirty days from this interview date, or the mailing date of this interview summary form, whichever is later, to file a statement of the substance of the interview

Examiner recordation instructions: Examiners must summarize the substance of any interview of record. A complete and proper recordation of the substance of an interview should include the items listed in MPEP 713.04 for complete and proper recordation including the identification of the general thrust of each argument or issue discussed, a general indication of any other pertinent matters discussed regarding patentability and the general results or outcome of the interview, to include an indication as to whether or not agreement was reached on the issues raised.

Attachment

/MAHRAN ABU ROUMI/
Examiner, Art Unit 2455

/EMMANUEL L. MOISE/
Supervisory Patent Examiner, Art Unit 2455

Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews

Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner,
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
(The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

Examiner to Check for Accuracy

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

PROPOSED AMENDMENTS TO THE CLAIMS

1 – 2. Cancelled.

3. (Currently Amended) A method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within ~~an~~ a first organization, comprising the steps of:

- receiving program data identifying the applicant, the position, the first organization, and the investigator;
- storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the first organization, and the investigator;
- receiving program data identifying a first reference, wherein the first reference is a first person likely to have information regarding the applicant, the program data including a first ~~reference~~-electronic address associated with the first reference;
- transmitting a first set of electronic documents associated with the position to the ~~first reference~~-electronic address;
- receiving a first electronic response to the first set of electronic documents from the ~~first reference~~-electronic address; and
- storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

4. (Currently Amended) The method of claim 3, further comprising the steps of:

- ~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~
- determining if a previous applicant entry exists in the system memory associated with the applicant and a second organization different from the first organization;
- sending program data regarding the previous applicant entry to the investigator.

5. (Currently Amended) The method of claim 3, further comprising the steps of:

~~generating-identifying~~ a second reference based on the first response from the first reference, wherein the second reference is a second person likely to have information regarding the applicant;

obtaining a second reference electronic address;

transmitting a second set of electronic documents associated with the position to the second reference electronic address;

receiving a second response to the second set of electronic documents from the second reference electronic address; and

storing the second response in the system memory, associating the second response with the new applicant entry.

6. (Previously Presented) The method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

7. (Previously Presented) The method of claim 3, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

8. (Currently Amended) A non-transitory computer-readable medium having stored thereon instructions which, when executed by a processor of a computing device with a system memory, cause the computing device to perform the steps of a method to assist an investigator in conducting a background investigation of an applicant for a position within an organization, the steps of the method comprising:

receiving program data identifying the applicant, the position, the organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, the program data including a first reference electronic address;

transmitting a first set of electronic documents associated with the position to the first reference electronic address;
receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and
storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

9. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the step of:

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator.

10. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

generating a second reference based on the first response from the first reference;
obtaining a second reference electronic address;
transmitting a second set of electronic documents associated with the position to the second reference electronic address;
receiving a second response to the second set of electronic documents from the second reference electronic address; and
storing the second response in the system memory, associating the second response with the new applicant entry.

11. (Currently Amended) The non-transitory computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

12. (Currently Amended) The non-transitory computer-readable medium of claim 8, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

13. (Previously Presented) A computing device configured to assist an investigator in conducting a background investigation of an applicant for a position within an organization, comprising:

- a processor; and
- a system memory, the system memory having instruction stored therein that when executed by the processor, cause the computing device to perform the steps of:
 - receiving program data identifying the applicant, the position, the organization, and the investigator;
 - storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;
 - receiving program data identifying a first reference, the program data including a first reference electronic address;
 - transmitting a first set of electronic documents associated with the position to the first reference electronic address;
 - receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and
 - storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

14. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

- checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator.

15. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

- generating a second reference based on the first response from the first reference;
- obtaining a second reference electronic address;
- transmitting a second set of electronic documents associated with the position to the second reference electronic address;
- receiving a second response to the second set of electronic documents from the second reference electronic address; and
- storing the second response in the system memory, associating the second response with the new applicant entry.

16. (Previously Presented) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

- presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

17. (Previously Presented) The computing device of claim 13,

- wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

REMARKS / ARGUMENTS

The § 103 Rejections

In the Office Action, the Examiner rejected Claims 3-17 under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Parikh et al. (hereinafter Parikh) US 2012/0089528 A1 in view of Wasley US2008/0021759 A1.

REGARDING CLAIM 3

A "first reference" as recited in claim 3 does not read on the "information associated with fraudulent practices" in Parikh (per Office Action pages 8-9) because the first reference is a person, not information.

If necessary to make this more explicit, the Applicant proposes amending claim 3, adding the limitation:

wherein the first reference is a first person likely to have information regarding the applicant.

REGARDING CLAIM 4

The Examiner points to Parikh Fig. 13, items 19.4 and 19.5 as teaching

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator.

Parikh Fig. 13, items 19.4 and 19.5 refer to different parts of the same application or "applicant entry" - different interviews in processing of the same application. In Claim 4, the previous applicant entry is a different application, made by the same applicant, but for a position with a different organization.

If necessary to make this more explicit, the Applicant proposes amending claim 4, to read:

~~checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then~~

determining if a previous applicant entry exists in the system memory associated with the applicant and a second organization different from the first organization;

sending program data regarding the previous applicant entry to the investigator.

REGARDING CLAIM 5

A "second reference" as recited in claim 5 does not read on the "information associated with fraudulent practices" in Parikh (per Office Action pages 10-22) because the first reference is a person, not information.

If necessary to make this more explicit, the Applicant proposes amending claim 5, adding the limitation:

wherein the second reference is a second person likely to have information regarding the applicant.

REGARDING CLAIM 6

The Examiner points to Wasley, paragraphs 0233 and 0236 as teaching:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

Wasley, paragraphs 0233 and 0236 teaches editing of position details in a "position tree." But this "position tree" is not a document that is sent to a reference.

REGARDING CLAIM 7

The Examiner points to Wasley, paragraphs 0203 and 0170 as teaching:

wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question

Wasley, paragraphs 0203 and 0170 "Generating actions representing questionnaire completion requirements" but does not teach use of an interactive questionnaire.

Applicant Initiated Interview Request Form

Application No.: 13/441,648 First Named Applicant: Tyler J. Miller
 Examiner: ABU ROUMI, MAHRAN Y Art Unit: 2455 Status of Application: Pending

Tentative Participants:

(1) Philip R.M. Hunt (2) _____
 (3) _____ (4) _____

Proposed Date of Interview: 2014-05-15 Proposed Time: 1:00 PM EDT / 10:00 AM PDT (AM/PM)

Type of Interview Requested:

(1) Telephonic (2) Personal (3) Video Conference

Exhibit To Be Shown or Demonstrated: YES NO

If yes, provide brief description: _____

Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) <u>Rej. 103</u>	<u>3-7</u>	<u>Parikh, Wasley</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Continuation Sheet Attached Proposed Amendment or Arguments Attached

Brief Description of Arguments to be Presented: See attached.

An interview was conducted on the above-identified application on _____

NOTE: This form should be completed and filed by applicant in advance of the interview (see MPEP § 713.01). If this form is signed by a registered practitioner not of record, the Office will accept this as an indication that he or she is authorized to conduct an interview on behalf of the principal (37 CFR 1.32(a)(3)) pursuant to 37 CFR 1.34. This is not a power of attorney to any above named practitioner. See the Instruction Sheet for this form, which is incorporated by reference. By signing this form, applicant or practitioner is certifying that he or she has read the Instruction Sheet. After the interview is conducted, applicant is advised to file a statement of the substance of this interview (37 CFR 1.133(b)) as soon as possible. This application will not be delayed from issue because of applicant's failure to submit a written record of this interview.

/Philip R.M. Hunt

Applicant/Applicant's Representative Signature

Philip R.M. Hunt

Typed/Printed Name of Applicant or Representative

58,044

Registration Number, if applicable

Examiner/SPE Signature

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 24 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
13/441,648	04/06/2012	Tyler J. Miller	MIME.001	9597
23442	7590	03/10/2014	EXAMINER	
RYLANDER & ASSOCIATES PC P.O. Box 250 VANCOUVER, WA 98660			ABU ROUMI, MAHRAN Y	
			ART UNIT	PAPER NUMBER
			2455	
			MAIL DATE	DELIVERY MODE
			03/10/2014	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 13/441,648	Applicant(s) MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	AIA (First Inventor to File) Status No

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTHS FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) Responsive to communication(s) filed on 01/07/2014.
 A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.
- 2a) This action is **FINAL**. 2b) This action is non-final.
- 3) An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
- 4) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims*

- 5) Claim(s) 3-17 is/are pending in the application.
5a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 6) Claim(s) _____ is/are allowed.
- 7) Claim(s) 3-17 is/are rejected.
- 8) Claim(s) _____ is/are objected to.
- 9) Claim(s) _____ are subject to restriction and/or election requirement.

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.

Application Papers

- 10) The specification is objected to by the Examiner.
- 11) The drawing(s) filed on _____ is/are: a) accepted or b) objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

Certified copies:

- a) All b) Some** c) None of the:
1. Certified copies of the priority documents have been received.
 2. Certified copies of the priority documents have been received in Application No. _____.
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

** See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) Notice of References Cited (PTO-892)
- 2) Information Disclosure Statement(s) (PTO/SB/08a and/or PTO/SB/08b)
Paper No(s)/Mail Date _____
- 3) Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- 4) Other: _____

4DETAILED ACTION

This communication is in responsive to the amendment to Application 13/441648 filed on 1/07/2014. The present application is being examined under the pre-AIA first to invent provisions.

Status of Claims:

Claims 3-17 are presented for examination.

Claims 1-2 are cancelled.

Claims 3-17 are newly added.

The claims and only the claims form the metes and bounds of the invention. "Office personnel are to give claims their broadest reasonable interpretation in light of the supporting disclosure. In re Morris, 127 F.3d 1048, 1054-55, 44 USPQ2d 1023, 1027-28 (Fed. Cir. 1997). Limitations appearing in the specification but not recited in the claim are not read into the claim. In re Prater, 415 F.2d 1393, 1404-05, 162 USPQ 541, 550-551 (CCPA 1969)" (MPEP p 2100-8, c 2, I 45-48; p 2100-9, c 1, I 1-4). The Examiner has full latitude to interpret each claim in the broadest reasonable sense. The Examiner will reference prior art using terminology familiar to one of ordinary skill in the art. Such an approach is broad in concept and can be either explicit or implicit in meaning.

Response to Arguments

Applicant's arguments in the amendment filed on 1/07/2014 regarding claim rejections under 35 USC § 101 and 103 with respect to Claims 1-2 are moot in view of the new ground of rejection. See below Office Action for more details.

Claim Rejections - 35 USC § 112

The following is a quotation of 35 U.S.C. 112(b):

(b) CONCLUSION.—The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the inventor or a joint inventor regards as the invention.

The following is a quotation of 35 U.S.C. 112 (pre-AIA), second paragraph:
The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 3-17 are rejected under 35 U.S.C. 112(b) or 35 U.S.C. 112 (pre-AIA), second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the inventor or a joint inventor, or for pre-AIA the applicant regards as the invention.

Independent Claims 3, 8 and 13 include limitations that are not clear and indefinite. For example, Claim 3, the limitation "a first reference electronic address" and "transmitting a first set of electronic documents ...to the first reference electronic address." What does this mean? In addition, transmitting to whom? Similarly, Claims 8 and 13, thus Claims 3, 8 and 13 are rejected. Claims 4-7, 9-12 and 14-17 depend on rejected Claims 3, 8 and 13 respectively, thus also rejected.

In addition, Claim 4 is not clear and indefinite. What does the underline limitation means? "checking if there exists," also, where is the "then" part of the conditional

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statement. Similar rationale applies to claims 9 and 14. Appropriate correction is required for Claims 3-17.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 8-12 are rejected because the claimed invention is directed to non-statutory subject matter.

Claim 8 is drawn to a "...computer readable medium..." comprising instructions.

By applying the broadest reasonable interpretation in light of the specification and taking into account the meaning of the words in their ordinary usage as they would be understood by one of ordinary skill in the art, the claim as a whole covers a transitory signal, which does not fall within the definition of a process, a machine, manufacture, or composition of matter (In *re Nuijten*).

Similarly, Claims 9-12 depends on rejected Claim 8, and are also drawn to a "...computer readable medium..." comprising instructions, thus, also Claims 9-12 are rejected under 35 U.S.C. 101 for the same reasons of Claim 8. In addition, Claims 9-12 are also rejected as they do not cure the deficiencies of Claim 8.

Applicant is suggested to amend claims 8-12 to read "...**non-transitory** computer readable medium..."

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Claim Rejections - 35 USC § 103

The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 3-17 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Parikh et al. (hereinafter Parikh) US 2012/0089528 A1 in view of Wasley US 2008/0021759 A1.

Regarding Claim 3, Parikh teaches a method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within an organization (Fig. 12-14 & ¶0068, candidate e-dossiers associated with the selected candidates may be assessed during an assessment stage 1410. The candidate e-dossiers may be assessed for integrity of candidate information and other relevant information. Then, during a technical interview stage 1412, the candidates are interviewed for their technical skill. The technical interview may be a face to face interview. An interview log may be updated accordingly. Further, the candidates selected in the technical interview may go into an HR interview stage 1414. During the HR interview, the candidates may be interviewed in person and relevant documents may be verified by the LR). Note also that Parikh teaches at least two kinds of investigations, see ¶0070, background verification of the candidates is performed at background verification stage 1422 where details such as prior employers,

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prior earnings, prior taxable income, and the like are verified. Based on the background verification, a background verification log is updated. The verified candidates are asked to on board the organization at an on boarding stage 1424. It can be seen that, a second background verification is also performed at a background verification stage 1426, after the candidates have joined the organization to confirm compliance of various processes and policies of the organization. **comprising the steps of:**

receiving program data identifying the applicant (Fig. 12 & ¶0027, During the HR interview, documents submitted by one or more prospective candidates may be verified using a document checklist T101. An exemplary detailed document checklist T101 is shown in FIG. 12 and is explained in more detail below with reference to the FIG. 12. The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), **the position** (Fig. 12 & ¶0027, The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), **the organization** (Fig. 12, see TQA organization), and **the investigator** (Fig. 12, see HR interviewer name). Note that an investigator within an organization as defined in the preamble of the independent claims broadly interpreted may mean, inter alia, Human Resources' personal e.g. hiring, firing, promotion, demotion, etc. Thus, here HR rep. or TQA and Line Recruiter of Fig. 12 & ¶0066-0068 are functionally equivalent to an investigator. In addition, see also ¶0024, `talent quality group (TQG)` refers to a talent

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acquisition (TA) team and includes talent quality recruiters, TQG associates (TQA), TQG executives, source due diligence team, background verification team, on boarding team and partner management who are involved in hiring potential employees for an organization. Also, the terms `high volume talent acquisition` and `high volume job hiring` are used interchangeably throughout the document.

However, the Examiner cites a secondary reference to enforce that HR personal within a company are functionally equivalent to investigator.

Parikh does not *expressly* teach the bolded limitation of “receiving program data identifying the applicant the position, the organization, and **the investigator.**”

However, Wasley teaches that such information of Parikh’s is used for investigation within a company or organization. See Fig. 11 and ¶0328, an incident search/investigation 620 screen similar to that shown in FIG. 11.

It would have been obvious to one of ordinary skill in the art to combine or use the data gathered of Wasley into the system of Parikh in order for an organization to use such information for investigating its employee and make decisions based on such data (Abstract).

Parikh further teaches **storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant** (Fig. 12 & ¶0027, During the HR interview, documents submitted by one or more prospective candidates may be verified using a document checklist T101. An exemplary detailed document checklist T101 is shown in FIG. 12 and is explained in more detail below with reference to the FIG. 12. The one or more prospective

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candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), (Fig. 12 & ¶0027, The one or more prospective candidates may be selected for job positions such as regular/permanent employee positions, contract employee positions, campus recruited employee positions, lateral employment positions, and the like), **the organization** (Fig. 12, see TQA organization), and **the investigator** (Fig. 12, see HR interviewer name); Note that an investigator within an organization as defined in the preamble of the independent claims broadly interpreted may mean, inter alia, Human Resources' personal e.g. hiring, firing, promotion, demotion, etc. Thus, here HR rep. or TQA and Line Recruiter of Fig. 12 & ¶0066-0068 are functionally equivalent to an investigator. In addition, see also ¶0024, `talent quality group (TQG)` refers to a talent acquisition (TA) team and includes talent quality recruiters, TQG associates (TQA), TQG executives, source due diligence team, background verification team, on boarding team and partner management who are involved in hiring potential employees for an organization. Also, the terms `high volume talent acquisition` and `high volume job hiring` are used interchangeably throughout the document. In addition, see above how a secondary reference, Wasley, is cited to enforce such teachings of Parikh.

Parikh further teaches **receiving program data identifying a first reference, the program data including a first reference electronic address** (Fig. 1, step 106 & ¶0028, At step 106, information associated with fraudulent practices used in the pre-selection interviews is obtained and the obtained information is stored in the quality

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talent acquisition database. Further, one or more candidates are selected for a post-selection process based on an outcome of the pre-selection interviews. The candidate e-dossiers associated with the selected one or more candidates are updated using any additional information obtained during the pre-selection interviews);

Parikh further teaches **transmitting a first set of electronic documents associated with the position to the first reference electronic address** (Fig. 1, step 106 & ¶0028, At step 106, information associated with fraudulent practices used in the pre-selection interviews is obtained and the obtained information is stored in the quality talent acquisition database. Further, one or more candidates are selected for a post-selection process based on an outcome of the pre-selection interviews. The candidate e-dossiers associated with the selected one or more candidates are updated using any additional information obtained during the pre-selection interviews);

Parikh further teaches **receiving a first electronic response to the first set of electronic documents from the first reference electronic address** (Fig. 1 & ¶0029, At step 108, the selected one or more candidates are sampled in real-time based on an outcome of the post-selection process using the candidate e-dossiers, the historical data associated with fraudulent practices and an input and trigger based statistical algorithm, as illustrated in FIGS. 2 through 5. For example, the selected one or more candidates are randomly sampled using the processor based on a first set of parameters. The first set of parameters is obtained from the candidate e-dossiers and the historical data associated with fraudulent practices); and

Parikh further teaches **storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry** (Fig. 1 & ¶0029, At step 108, the selected one or more candidates are sampled in real-time based on an outcome of the post-selection process using the candidate e-dossiers, the historical data associated with fraudulent practices and an input and trigger based statistical algorithm, as illustrated in FIGS. 2 through 5. For example, the selected one or more candidates are randomly sampled using the processor based on a first set of parameters. The first set of parameters is obtained from the candidate e-dossiers and the historical data associated with fraudulent practices).

Regarding Claim 4, Parikh teaches the method of claim 3, further comprising the steps of:

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator (Fig. 13, see 19.4 and 19.5).

Regarding Claim 5, Parikh teaches the method of claim 3, further comprising the steps of:

generating a second reference based on the first response from the first reference (Fig. 14 & ¶0070, a second background verification is also performed at a background verification stage 1426, after the candidates have joined the organization to confirm compliance of various processes and policies of the

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organization). Note that based on applicant's responses before hiring, the first time he meets with HR, a first investigation take place to determine if applicant is fit or not to be hired. In addition, based on the applicant's responses the first time before hiring, a second background verification takes place after joining the organization. See ¶0069-0076.

obtaining a second reference electronic address (Fig. 14 & ¶0071, the identified fraudulent practices and other non-compliances are reported to the TQG recruiter 1402. In one embodiment, the TQG recruiter 1402 registers the fraudulent practices and process defects identified during the job hiring in the quality talent acquisition database 1104. Also, other information relevant to the job hiring processes such as interviewer details, candidate information, etc. are stored in the quality talent acquisition database 1104);

transmitting a second set of electronic documents associated with the position to the second reference electronic address (Fig. 14 & ¶0071, the identified fraudulent practices and other non-compliances are reported to the TQG recruiter 1402. In one embodiment, the TQG recruiter 1402 registers the fraudulent practices and process defects identified during the job hiring in the quality talent acquisition database 1104. Also, other information relevant to the job hiring processes such as interviewer details, candidate information, etc. are stored in the quality talent acquisition database 1104);

receiving a second response to the second set of electronic documents from the second reference electronic address (¶0069-¶0072); and

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storing the second response in the system memory, associating the second response with the new applicant entry (§§0069-§0072).

Regarding Claim 6, Wasley further teaches the method of claim 3, further comprising the steps of:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents (§§0233 & 0236). Note that an investigator within an organization as defined in the preamble of the independent claims broadly interpreted may mean, inter alia, Human Resources' personal or any person within an organization that deals with hiring applicants or employees.

Regarding Claim 7, Wasley further teaches the method of claim 3, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question (§0203, Generating actions representing questionnaire completion requirements for monitoring by the action management module). Note that the action management module is used for investigation reporting (§0170).

Claims 8-12 and 13-17 are substantially similar to Claims 3-7 respectively, thus same rationale applies.

Conclusion

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MAHRAN ABU ROUMI whose telephone number is (571)272-3512. The examiner can normally be reached on Monday - Friday, 8AM - 5PM (EST).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on 571-272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2455

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/M. A./

Examiner, Art Unit 2455

/EMMANUEL L. MOISE/

Supervisory Patent Examiner, Art Unit 2455

Notice of References Cited	Application/Control No. 13/441,648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	Page 1 of 1

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-7,136,865 B1	11-2006	Ra et al.	1/1
*	B	US-2008/0021759 A1	01-2008	Wasley, William Mervyn	705/9
*	C	US-7,346,541 B1	03-2008	Cuttler et al.	705/7.14
*	D	US-2012/0089528 A1	04-2012	PARIKH et al.	705/321
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

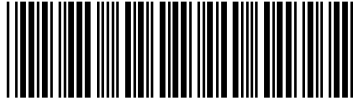
FOREIGN PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

Index of Claims 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

✓	Rejected
=	Allowed

-	Cancelled
÷	Restricted

N	Non-Elected
I	Interference

A	Appeal
O	Objected

Claims renumbered in the same order as presented by applicant
 CPA
 T.D.
 R.1.47

CLAIM		DATE							
Final	Original	09/28/2013	02/26/2014						
	1	✓	-						
	2	✓	-						
	3		✓						
	4		✓						
	5		✓						
	6		✓						
	7		✓						
	8		✓						
	9		✓						
	10		✓						
	11		✓						
	12		✓						
	13		✓						
	14		✓						
	15		✓						
	16		✓						
	17		✓						

EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:08
L2	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:08
L4	8	2 AND ((G06Q10/06 OR G06Q10/0631 OR G06Q10/00 OR G06Q10/063 OR G06Q10/063114 OR G06Q10/06314 OR G06Q10/06375 OR G06Q10/0639 OR G06Q10/06398 OR G06Q10/109 OR G06Q10/1097 OR G06Q30/06 OR G06Q40/00 OR G06Q10/10 OR G06Q40/04 OR G06Q40/12).CPC.)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:37
L5	214	search\$3 near100 (position rank title dut\$3 responsibil\$5) near100 investigat\$4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:38
L6	44	L5 and question\$5	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 10:38
L10	1	(human near resource\$1) near50 (promotion demotion) near50 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:23
L11	2	(human) near50 (promotion demotion) near50 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:24


L12	2905679	((Human adj resources) HR)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:25
L13	0	((Human adj resources) HR) near100 (promotion\$s demotion\$1 hiring\$1 firing\$1) near100 background near100 investigation	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:26
L14	13	((Human adj resources) HR) near100 (promotion\$s demotion\$1 hiring\$1 firing\$1) near100 background	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/26 11:26
S1	19	((TYLER) near2 (MILLER)).INV.	US-PGPUB; USPAT	OR	ON	2013/09/28 12:06
S2	0	inbound near50 communication\$1 near50 questionair\$2 near50 (background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S3	0	inbound near50 communication\$1 near50 questionair\$2	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S4	173	(background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
S5	6	S4 near50 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:16
S6	433	drag near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:20
S7	1	S6 and S4	US-PGPUB; USPAT; USOCR;	OR	ON	2013/09/28 13:21

			FPRS; EPO; JPO; DERWENT; IBM_TDB			
S8	135	((drag\$drop) drag near drop) near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:21
S9	25	((drag\$drop) drag near drop) near20 question\$6 near20 interface	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:22
S10	10253	background near50 (check investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S11	9684	position near50 organization	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S12	9327	position\$1 near50 organization\$1	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:39
S13	95	S10 and S12	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 11:40
S14	5	background near100 investigator\$1 near100 address\$1	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 14:18
S15	214	search\$3 near100 (position rank title dut\$3 responsibil\$5) near100 investigat\$4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 15:35
S17	1	Human near50 Resource\$2 near50	US-PGPUB;	OR	ON	2014/02/25

		hir\$3 near50 position\$1 near50 (docs document\$1)	USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB			16:38
S18	22	track\$3 near within near (company organization job)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2014/02/25 16:39

2/ 26/ 2014 1:36:53 PM

C:\Users\maburoumi\Documents\EAST\Workspaces\13441648.wsp

Search Notes 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner
(G06Q10/06 OR G06Q10/0631 OR G06Q10/00 OR G06Q10/063 OR G06Q10/063114 OR G06Q10/06314 OR G06Q10/06375 OR G06Q10/0639 OR G06Q10/06398 OR G06Q10/109 OR G06Q10/1097 OR G06Q30/06 OR G06Q40/00 OR G06Q10/10)	2/26/2014	MA

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
705	7.14	9/28/2013	MA

SEARCH NOTES		
Search Notes	Date	Examiner
Double patenting, East search and inventor's name	9/28/2013	MA
updated search	2/26/2014	MA

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455	
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UNITED STATES PATENT AND TRADEMARK OFFICE

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United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
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Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
13/441,648	04/06/2012	Tyler J. Miller	MIME.001

CONFIRMATION NO. 9597

POA ACCEPTANCE LETTER

23442
RYLANDER & ASSOCIATES PC
P.O. Box 250
VANCOUVER, WA 98660



Date Mailed: 01/22/2014

NOTICE OF ACCEPTANCE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 01/14/2014.

The Power of Attorney in this application is accepted. Correspondence in this application will be mailed to the above address as provided by 37 CFR 1.33.

/mbeyenc/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101



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APPLICATION NUMBER	FILING OR 371(C) DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
13/441,648	04/06/2012	Tyler J. Miller	MM0002

CONFIRMATION NO. 9597

POWER OF ATTORNEY NOTICE



56031
Whitaker Law Group
1218 Third Avenue
Suite 1809
Seattle, WA 98101

Date Mailed: 01/22/2014

NOTICE REGARDING CHANGE OF POWER OF ATTORNEY

This is in response to the Power of Attorney filed 01/14/2014.

- The Power of Attorney to you in this application has been revoked by the applicant. Future correspondence will be mailed to the new address of record(37 CFR 1.33).

/mbeyene/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101

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TRANSMITTAL FOR POWER OF ATTORNEY TO ONE OR MORE REGISTERED PRACTITIONERS

NOTE: This form is to be submitted with the Power of Attorney by Applicant form (PTO/AIA/82B) to identify the application to which the Power of Attorney is directed, in accordance with 37 CFR 1.5, unless the application number and filing date are identified in the Power of Attorney by Applicant form. If neither form PTO/AIA/82A nor form PTO/AIA/82B identifies the application to which the Power of Attorney is directed, the Power of Attorney will not be recognized in the application.

Application Number	13441648
Filing Date	06-APR-2012
First Named Inventor	Tyler J. Miller
Title	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
Art Unit	2455
Examiner Name	ABU ROUMI, MAHRAN Y
Attorney Docket Number	MIME.001

SIGNATURE of Applicant or Patent Practitioner

Signature	/Philip R.M. Hunt/	Date (Optional)	2014-01-07
Name	Philip R.M. Hunt	Registration Number	58044
Title (if Applicant is a juristic entity)	NA		
Applicant Name (if Applicant is a juristic entity)	NA		

NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4(d) for signature requirements and certifications. If more than one applicant, use multiple forms.

*Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

POWER OF ATTORNEY BY APPLICANT

I hereby revoke all previous powers of attorney given in the application identified in either the attached transmittal letter or the boxes below.

Application Number	Filing Date
referenced in the attached transmittal letter	

(Note: The boxes above may be left blank if information is provided on form PTO/AIA/82A.)

I hereby appoint the Patent Practitioner(s) associated with the following Customer Number as my/our attorney(s) or agent(s), and to transact all business in the United States Patent and Trademark Office connected therewith for the application referenced in the attached transmittal letter (form PTO/AIA/82A) or identified above:

23442

OR

I hereby appoint Practitioner(s) named in the attached list (form PTO/AIA/82C) as my/our attorney(s) or agent(s), and to transact all business in the United States Patent and Trademark Office connected therewith for the patent application referenced in the attached transmittal letter (form PTO/AIA/82A) or identified above. (Note: Complete form PTO/AIA/82C.)

Please recognize or change the correspondence address for the application identified in the attached transmittal letter or the boxes above to:

The address associated with the above-mentioned Customer Number

OR

The address associated with Customer Number:

OR

Firm or Individual Name					
Address					
City	State		Zip		
Country					
Telephone	Email				

I am the Applicant (if the Applicant is a juristic entity, list the Applicant name in the box):

- Inventor or Joint Inventor (title not required below)
- Legal Representative of a Deceased or Legally Incapacitated Inventor (title not required below)
- Assignee or Person to Whom the Inventor is Under an Obligation to Assign (provide signer's title if applicant is a juristic entity)
- Person Who Otherwise Shows Sufficient Proprietary Interest (e.g., a petition under 37 CFR 1.46(b)(2) was granted in the application or is concurrently being filed with this document) (provide signer's title if applicant is a juristic entity)

SIGNATURE of Applicant for Patent

The undersigned (whose title is supplied below) is authorized to act on behalf of the applicant (e.g., where the applicant is a juristic entity).

Signature	<i>Tyle J. Miller</i>	Date (Optional)	
Name	Tyle J. Miller		
Title	Inventor		

NOTE: Signature - This form must be signed by the applicant in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications. If more than one applicant, use multiple forms.

Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.131, 1.32, and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Electronic Acknowledgement Receipt

EFS ID:	17908299
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	56031
Filer:	Philip R. Hunt
Filer Authorized By:	
Attorney Docket Number:	MM0002
Receipt Date:	14-JAN-2014
Filing Date:	06-APR-2012
Time Stamp:	14:32:58
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Power of Attorney	MIME-001_POA_aia0082_signe d.pdf	2483679 <small>91e26924e7942161844042ceb8d1d28149 6da434</small>	no	2

Warnings:

Information:

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

US PATENT APPLICATION

Docket No. MIME.001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: : Tyler J. Miller
 Inventor(s): : Tyler J. Miller
 Serial No.: : 13/441,648
 Filed: : 04/0612012
 Confirm No.: : 9597
 For: : BACKGROUND INVESTIGATION MANAGEMENT
 SERVICE
 Examiner: : ABU ROUMI, MAHRAN Y
 TC/A.U.: : 2455
 Date: : January 6, 2014

The Honorable Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

AMENDMENT/REPLY TO NON-FINAL OFFICE ACTION
 UNDER 37 CFR § 1.111

This reply is made to a non-final office action mailed 07 October 2013.

Amendments to the Claims.....2
 Remarks / Arguments8
 The Section § 101 and § 103 Rejections8
 Support for the New Claims8
 Patentability of New Claims.....8
 Conclusion.....9

AMENDMENTS TO THE CLAIMS

Claims 3-17 are pending, with claims 3, 8, and 13 being independent. Claims 1 and 2 have been cancelled. Claims 3-17 have been added. No new subject matter has been added.

Listing of the Claims

What is claimed is:

1 – 2. Cancelled.

3. (New) A method for a computing device with a processor and a system memory to assist an investigator in conducting a background investigation of an applicant for a position within an organization, comprising the steps of:

receiving program data identifying the applicant, the position, the organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, the program data including a first reference electronic address;

transmitting a first set of electronic documents associated with the position to the first reference electronic address;

receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and

storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

4. (New) The method of claim 3, further comprising the steps of:

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending

program data regarding the previous applicant entry to the investigator.

5. (New) The method of claim 3, further comprising the steps of:
 - generating a second reference based on the first response from the first reference;
 - obtaining a second reference electronic address;
 - transmitting a second set of electronic documents associated with the position to the second reference electronic address;
 - receiving a second response to the second set of electronic documents from the second reference electronic address; and
 - storing the second response in the system memory, associating the second response with the new applicant entry.

6. (New) The method of claim 3, further comprising the steps of:
 - presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

7. (New) The method of claim 3, wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

8. (New) A computer-readable medium having stored thereon instructions which, when executed by a processor of a computing device with a system memory, cause the computing device to perform the steps of a method to assist an investigator in conducting a background investigation of an applicant for a position within an organization, the steps of the method comprising:
 - receiving program data identifying the applicant, the position, the organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator; receiving program data identifying a first reference, the program data including a first reference electronic address; transmitting a first set of electronic documents associated with the position to the first reference electronic address; receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

9. (New) The computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the step of:

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator.

10. (New) The computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

generating a second reference based on the first response from the first reference;

obtaining a second reference electronic address;

transmitting a second set of electronic documents associated with the position to the second reference electronic address;

receiving a second response to the second set of electronic documents from the second reference electronic address; and

storing the second response in the system memory, associating the second response with the new applicant entry.

11. (New) The computer-readable medium of claim 8, having stored thereon additional instructions which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

12. (New) The computer-readable medium of claim 8,

wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

13. (New) A computing device configured to assist an investigator in conducting a background investigation of an applicant for a position within an organization, comprising:

a processor; and

a system memory, the system memory having instruction stored therein that when executed by the processor, cause the computing device to perform the steps of:

receiving program data identifying the applicant, the position, the organization, and the investigator;

storing a new applicant entry in the system memory, the new applicant entry associated with the program data identifying the applicant, the position, the organization, and the investigator;

receiving program data identifying a first reference, the program data including a first reference electronic address;

transmitting a first set of electronic documents associated with the position to the first reference electronic address;

receiving a first electronic response to the first set of electronic documents from the first reference electronic address; and storing the first electronic response in the system memory, associating the first electronic response with the new applicant entry.

14. (New) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the step of:

checking if there exists a previous applicant entry in the system memory associated with the applicant and if so, then sending program data regarding the previous applicant entry to the investigator.

15. (New) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the processor of the computing device, cause the computing device to perform the steps of:

generating a second reference based on the first response from the first reference;
obtaining a second reference electronic address;
transmitting a second set of electronic documents associated with the position to the second reference electronic address;
receiving a second response to the second set of electronic documents from the second reference electronic address; and
storing the second response in the system memory, associating the second response with the new applicant entry.

16. (New) The computing device of claim 13, further comprising additional instructions stored in the system memory which, when executed by the

processor of the computing device, cause the computing device to perform the step of:

presenting to the investigator, prior to transmitting the first set of electronic documents, an option of changing one or more documents in the first set of electronic documents.

17. (New) The computing device of claim 13,

wherein one document of the first set of electronic documents is an inter-active questionnaire in which a next question presented to the reference is based on a response to a prior question.

REMARKS / ARGUMENTS

The Applicant makes the following remarks regarding individual issues:

The Section § 101 and § 103 Rejections

In the Office Action, the Examiner rejected claims 1 and 2 under 35 U.S.C. 101 and 35 U.S.C. 103(a). The applicant has cancelled these claims.

Support for the New Claims

The applicant has added new claims 3-17. Support for the new is found throughout the specification (as re-filed 2012-08-23), but particularly page 18, line 17 – page 22, line 30.

Patentability of New Claims

The applicant has added new claims 3-17.

The applicant believes the claims recite patentable subject matter. Claims 3-7 are method claims tied to a specific machine – “a computing device with a processor and a system memory.” Claims 8-12 are article of manufacture claims specific to a computer-readable medium. Claims 13-17 are device claims for computing device.

The applicant believes the claims are patentable over the art of record because the art of record generally discloses methods and apparatus to build and manage logical structures, but does not disclose methods and apparatus specifically to assist an investigator in conducting a background investigation of an applicant for a position within an organization.

CONCLUSION

For the foregoing reasons, reconsideration and allowance of the claims as amended is solicited. The Examiner is encouraged to telephone the undersigned at (360) 750-9931 if it appears that an interview would be helpful in advancing the case. The Applicant respectfully submits that this application is in condition for allowance. Such is earnestly requested.

Respectfully submitted,

/Philip R.M. Hunt/

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Electronic Acknowledgement Receipt

EFS ID:	17834472
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	56031
Filer:	Philip R. Hunt
Filer Authorized By:	
Attorney Docket Number:	MM0002
Receipt Date:	07-JAN-2014
Filing Date:	06-APR-2012
Time Stamp:	02:09:22
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
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File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		MIME-001_2014-01-06_NFOAR _AsFiled.pdf	57510 <small>f3bb5e7ae3e737e3eb24824751dd944485e12f81</small>	yes	9

Multipart Description/PDF files in .zip description			
Document Description		Start	End
Amendment/Req. Reconsideration-After Non-Final Reject		1	1
Claims		2	7
Applicant Arguments/Remarks Made in an Amendment		8	9

Warnings:

Information:

Total Files Size (in bytes):	57510
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This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 13/441,648	Filing Date 04/06/2012	<input type="checkbox"/> To be Mailed
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ENTITY: LARGE SMALL MICRO

APPLICATION AS FILED – PART I

FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =	
<input type="checkbox"/> APPLICATION SIZE FEE <small>(37 CFR 1.16(s))</small>	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).			
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>				
<small>* If the difference in column 1 is less than zero, enter "0" in column 2.</small>			TOTAL	

APPLICATION AS AMENDED – PART II

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	
AMENDMENT	01/07/2014	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR				
	Total <small>(37 CFR 1.16(i))</small>	* 15	Minus	** 20	= 0	X \$40 = 0	
	Independent <small>(37 CFR 1.16(h))</small>	* 3	Minus	***3	= 0	X \$210 = 0	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						
					TOTAL ADD'L FEE	0	

	(Column 1)	(Column 2)	(Column 3)	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR				
	Total <small>(37 CFR 1.16(i))</small>	*	Minus	**	=	X \$ =	
	Independent <small>(37 CFR 1.16(h))</small>	*	Minus	***	=	X \$ =	
	<input type="checkbox"/> Application Size Fee <small>(37 CFR 1.16(s))</small>						
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM <small>(37 CFR 1.16(j))</small>						
					TOTAL ADD'L FEE		

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
 ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
 *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

LIE
/TONYA MCBRIDE/

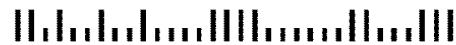
This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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**Courtesy Reminder for
Application Serial No: 13/441,648**

Attorney Docket No: MM0002

Customer Number: 56031

Date of Electronic Notification: 10/07/2013

This is a courtesy reminder that new correspondence is available for this application. If you have not done so already, please review the correspondence. The official date of notification of the outgoing correspondence will be indicated on the form PTOL-90 accompanying the correspondence.

An email notification regarding the correspondence was sent to the following email address(es) associated with your customer number:

JOHN@WLAWGRP.COM
MARCIA@WLAWGRP.COM
anne@wlawgrp.com

To view your correspondence online or update your email addresses, please visit us anytime at <https://sportal.uspto.gov/secure/myportal/privatepair>. If you have any questions, please email the Electronic Business Center (EBC) at EBC@uspto.gov or call 1-866-217-9197.



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Table with columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO.
Rows include application details for Tyler J. Miller, examiner ABU ROUMI, MAHRAN Y, art unit 2455, and notification date 10/07/2013.

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

JOHN@WLAWGRP.COM
MARCIA@WLAWGRP.COM
anne@wlawgrp.com

Office Action Summary	Application No. 13/441,648	Applicant(s) MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	AIA (First Inventor to File) Status No

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) Responsive to communication(s) filed on 08/23/2012.
 A declaration(s)/affidavit(s) under **37 CFR 1.130(b)** was/were filed on _____.
- 2a) This action is **FINAL**.
- 2b) This action is non-final.
- 3) An election was made by the applicant in response to a restriction requirement set forth during the interview on _____; the restriction requirement and election have been incorporated into this action.
- 4) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 5) Claim(s) 1 and 2 is/are pending in the application.
5a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 6) Claim(s) _____ is/are allowed.
- 7) Claim(s) 1 and 2 is/are rejected.
- 8) Claim(s) _____ is/are objected to.
- 9) Claim(s) _____ are subject to restriction and/or election requirement.

* If any claims have been determined allowable, you may be eligible to benefit from the **Patent Prosecution Highway** program at a participating intellectual property office for the corresponding application. For more information, please see http://www.uspto.gov/patents/init_events/pph/index.jsp or send an inquiry to PPHfeedback@uspto.gov.

Application Papers

- 10) The specification is objected to by the Examiner.
- 11) The drawing(s) filed on 04/06/2012 is/are: a) accepted or b) objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

Certified copies:

- a) All b) Some * c) None of the:
 - 1. Certified copies of the priority documents have been received.
 - 2. Certified copies of the priority documents have been received in Application No. _____.
 - 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) Notice of References Cited (PTO-892)
- 2) Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____.
- 3) Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 4) Other: _____.

DETAILED ACTION

This communication is responsive to the application filed on August 23, 2012.

The present application is being examined under the pre-AIA first to invent provisions.

Claims 1-2 are presented for examination.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1 and 2 can be read as claiming a computer program per se or non-statutory subject matter under 35 U.S.C. 101 for not falling in to any of a process, machine, manufacture, or composition of matter.

Regarding Claim 1, the limitation "communication component," "document creation component," "process management component," "invitation generation component," "response receipt component" and "portable document creation component" may be reasonably read to be software (see specification, page 7, lines 3-4); thus, not falling in to any of a process, machine, manufacture, or composition of matter.

Applicant may amend system claim 1 to recite clearly that the system includes a hardware component.

As to Claim 2, Claim 2 depends on rejected Claim 1 and are also rejected under 35 U.S.C. 101 as it does not cure the 101 deficiency of claim 1.

Claim Rejections - 35 USC § 103

The following is a quotation of pre-AIA 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-2 are rejected under pre-AIA 35 U.S.C. 103(a) as being unpatentable over Cuttler et al. (hereinafter Cuttler) US 7346541 B1 in view of Ra et al. (hereinafter Ra) US 7136865 B1.

Regarding Claim 1, Cuttler teaches a system for managing a background investigation of an applicant (Fig. 1), comprising:

a communication component executing on a network-capable computing system, said network-capable computing system operative to receive inbound communications from remote computing systems (Fig. 1 & Col. 4, lines 47-54, FIG. 1 illustrates the overall architecture of the background information management system 100 of the present invention. In response to input received from the user, a personal computer 102 running a browser requests a set, or cluster, of questions via a communications network 104, such as the Internet. The questions are designed to

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obtain information about the life history of the user, such as an applicant for a law enforcement position), **the communication component being further operative to facilitate a log in session between at least one remote computing system and the network-capable computing system** (Fig. 1 & Col. 4, lines 55-67, a questionnaire engine 106, which is discussed in more detail below, retrieves the requested set of questions from a SQL database 108 and transmits the set of questions to the user via the communications network 104. The set of questions is then displayed on the browser running on the personal computer 102. The personal computer receives the user's responses to one or more of the questions in the set. The responses are sent to the questionnaire engine 106, which sends the responses to the SQL database 1116, where they are stored in association with the questions. Based on the user's responses to a set of questions, the questionnaire engine 106 logically determines which questions or set of questions are next presented to the applicant);

a document creation component configured to create questionnaires relevant to the background investigation (Col. 7, lines 41-54, utility is necessarily limited to generation of biodata and resultant scores. The questionnaire engine of the present invention, however, develops comprehensive biographical information that can be used both to organize information for a background investigation tool and to derive biodata indices, which is discussed below. Further, the questionnaire engine gathers information and reports it in a standardized format that can be used by multiple agencies employing applicants in similar job classifications such as law enforcement, public safety, and criminal justice professions), **the questionnaires each being a**

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member of at least one class of questionnaires (Col. 7, lines 41-54, known biodata questionnaires contain specific life history based questions that have been identified as predictive of performance. These are typically focused lists of only objectively scored questions, whose utility is necessarily limited to generation of biodata and resultant scores. The questionnaire engine of the present invention, however, develops comprehensive biographical information that can be used both to organize information for a background investigation tool and to derive biodata indices, which is discussed below. Further, the questionnaire engine gathers information and reports it in a standardized format that can be used by multiple agencies employing applicants in similar job classifications such as law enforcement, public safety, and criminal justice professions), **the at least one class being related to a type of reference for the applicant** (Col. 7, lines 41-54, known biodata questionnaires contain specific life history based questions that have been identified as predictive of performance. These are typically focused lists of only objectively scored questions, whose utility is necessarily limited to generation of biodata and resultant scores. The questionnaire engine of the present invention, however, develops comprehensive biographical information that can be used both to organize information for a background investigation tool and to derive biodata indices, which is discussed below. Further, the questionnaire engine gathers information and reports it in a standardized format that can be used by multiple agencies employing applicants in similar job classifications such as law enforcement, public safety, and criminal justice professions), **the document creation component being further operative to compile a plurality of questions for a particular class of**

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questionnaire based on the type of reference (Col. 7, lines 55-67 & Col. 8, lines 1-4, the questionnaire engine advantageously allows a collection of questions to elicit responses that relate to more than one life event type without revealing the relationship to the applicant. By "life event type," we mean a domain of life events, such as, education, work history or substance use. For example, an applicant may indicate in a collection of questions related to employment, his date of graduation from the police academy. In another collection of questions related to substance use, the applicant provides information about the last time he smoked marijuana. As discussed below, the rules processing engine will chronologically relate these two life events and may generate a negative indicator because the date of the applicant last smoked marijuana is after the graduation date. The applicant, however, is unlikely to detect such a relationship while providing life history information),

Cuttler does not expressly teach the bolded limitation "said document creation component being further operative to compile the plurality of questions **through a drag-and-drop interface** based on an identifier for the class of questionnaire."

However, Ra teaches said document creation component being further operative to compile the plurality of questions **through a drag-and-drop interface** based on an identifier for the class of questionnaire (Fig. 2 & Col. 3, lines 13-27, the logical structure can comprise an ordered set of questions and branching logic that are presented to a customer of the business when the customer contacts the business with an inquiry, such as for a sale or service inquiry or other interaction. A user interface can be

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presented to a customer or agent, with the user interface being based on a logical structure that includes a workflow to achieve a given task. The logical structure is tied to the user interface that is provided to the customer or agent. One embodiment of the flowchart-based tool uses a drag-and-drop interface to build the logical structure, and then questions for the individual components in the logical structure can be composed by the administrator or selected from menus).

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to incorporate drag and drop to an interface of Ra into the system of Cuttler in order to build a certain questioners and relationship between the user and the system (Abstract).

Cuttler further teaches **and a process management component configured to manage a background investigation process for an applicant entry associated with the applicant, the process management component including further sub-components that are operative to facilitate individual tasks within the background investigation process** (Fig. 1 & Col. 5, lines 1-11, An administrative interface 110 is provided to allow a system administrator to edit the questions stored in the SQL database 108 and the logic for determining the questions to be presented to the user. A rule processing engine 112 receives question responses from the SQL database 108 and organizes the questions and responses into a life history report. The rule processing engine 112 also analyzes the questions and answers and establishes a number of life events. A life event is something that occurred during the life of the user); **the sub-components comprising:**

Cuttler further teaches **an invitation generation component operative to assemble a set of questionnaires for transmission to an applicant remote computing system, the set of questionnaires being related to a position within an organization, the invitation generation component being further operative to transmit an invitation to the applicant remote computing system, the invitation including information** (Fig. 1 & Col. 5, lines 1-11, An administrative interface 110 is provided to allow a system administrator to edit the questions stored in the SQL database 108 and the logic for determining the questions to be presented to the user. A rule processing engine 112 receives question responses from the SQL database 108 and organizes the questions and responses into a life history report. The rule processing engine 112 also analyzes the questions and answers and establishes a number of life events. A life event is something that occurred during the life of the user)

Cuttler further teaches **a response receipt component operative to facilitate a log in session the applicant remote computing system and to receive responses from the applicant remote computing system to questions within each of the questionnaires in the set of questionnaires** (Fig. 1 & Col. 5, lines 1-11, An administrative interface 110 is provided to allow a system administrator to edit the questions stored in the SQL database 108 and the logic for determining the questions to be presented to the user. A rule processing engine 112 receives question responses from the SQL database 108 and organizes the questions and responses into a life history report. The rule processing engine 112 also analyzes the questions and

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answers and establishes a number of life events. A life event is something that occurred during the life of the user),

Cuttler further teaches **the response receipt component being further operative to cause the invitation generation component to transmit a second invitation to another remote computing system based on the received responses and to receive further responses from the other remote computing system** (Figs. 17-18 & Fig. 1 & Col. 9, lines 60-67 & Col. 10, lines 1-14, after the life events engine identifies the applicable life events, a critical items engine (the flow of which is illustrated in FIG. 18) determines which life events are critical items. In the preferred embodiment, a critical item is a life event that is assigned a specific value that is used to calculate a biodata index. As shown in FIG. 18, the life events that have been identified by the life event engine as negative indicators are instantiated 800. Next, critical item processing instructions are loaded and each critical item processing instruction is executed 802, 804. Next, each life event created by the life event engine is examined and the critical events engine determines whether the life event is a critical item 806. A critical item is a life event that has an empirically derived biodata value that is associated with the life event. If the life event is a critical item, each field of the critical item is assigned a value by mapping the value from the life event field to the corresponding critical item field 808, 810, 812. If the critical event is not applicable to calculating a biodata index, the next critical item is processed 814 and this process continues until each critical item has been examined),

Cuttler further teaches **and a portable document creation component operative to create portable document format versions of the set of questionnaires** (Fig. 1 & Col. 6, lines 37-44, a report engine 114 generates reports of the life history information accumulated by the questionnaire engine 104. The report engine 114 also generates a report of life events, critical items and biodata indices. The reports may be formatted into an electronic word processing document 116, such as Microsoft Word.RTM.) or Word Perfect.RTM.), output to printer 118, or displayed on a computer 102).

Regarding Claim 2, Cuttler in view of Ra teaches the claimed limitation of Claim 1 above, Cuttler further teaches the system recited in claim 1, wherein the invitation generation component is further configured to generate a pre-selected set of questionnaires based on the position, and to allow the pre-selected set of questionnaires to a final set of questionnaires prior to transmission to the applicant remote computing system (Fig. 14 & Col. 7, lines 14-24, the questionnaire engine then determines whether the next collection of questions should be presented to the applicant 430, 432. If the next collection should be asked, the collection of questions is presented to the user 402 and the process continues as described above. If the collection of questions should not be asked, the next collection of questions is analyzed to determine whether it should be presented to the applicant 434. The process continues until all question collections have been presented to the user. The system then determines whether the user is ready to close the case 436, and if so, the case is

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closed 438 & Col. 7, lines 55-67 & Col. 8, lines 1-3, The questionnaire engine advantageously allows a collection of questions to elicit responses that relate to more than one life event type without revealing the relationship to the applicant. By "life event type," we mean a domain of life events, such as, education, work history or substance use. For example, an applicant may indicate in a collection of questions related to employment, his date of graduation from the police academy. In another collection of questions related to substance use, the applicant provides information about the last time he smoked marijuana. As discussed below, the rules processing engine will chronologically relate these two life events and may generate a negative indicator because the date of the applicant last smoked marijuana is after the graduation date. The applicant, however, is unlikely to detect such a relationship while providing life history information). See also, Col. 9, lines 10-23, after all applicable life events have been identified, each life event field for each applicable life event is assigned a value based on the life history information acquired by the questionnaire engine 610, 612, 614. The elements of the life history information (that is, the applicant's responses to the questions presented by the questionnaire engine) are mapped to the fields of each applicable life event. After values are mapped to each life event field for an applicable life event, the next applicable life event is considered and the process of mapping responses to life event fields continues until all applicable life events have been processed (616, 618). By the process just described, the life events engine identifies the life events that are predictive of a predefined, negative objective outcome.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MAHRAN ABU ROUMI whose telephone number is (571)272-3512. The examiner can normally be reached on Monday - Friday, 8AM - 5PM (EST).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on 571-272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/M. A./
Examiner, Art Unit 2455

/EMMANUEL L. MOISE/
Supervisory Patent Examiner, Art Unit 2455

Notice of References Cited	Application/Control No. 13/441,648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.	
	Examiner MAHRAN ABU ROUMI	Art Unit 2455	Page 1 of 1

U.S. PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A US-7,136,865 B1	11-2006	Ra et al.	1/1
*	B US-7,346,541 B1	03-2008	Cuttler et al.	705/7.14
	C US-			
	D US-			
	E US-			
	F US-			
	G US-			
	H US-			
	I US-			
	J US-			
	K US-			
	L US-			
	M US-			

FOREIGN PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N				
	O				
	P				
	Q				
	R				
	S				
	T				

NON-PATENT DOCUMENTS

*	Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)				
	U				
	V				
	W				
	X				

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.


EAST Search History

EAST Search History (Prior Art)

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	19	((TYLER) near2 (MILLER)).INV.	US-PGPUB; USPAT	OR	ON	2013/09/28 12:06
L2	0	inbound near50 communication\$1 near50 questionair\$2 near50 (background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
L3	0	inbound near50 communication\$1 near50 questionair\$2	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
L4	173	(background adj investigation)	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:15
L5	6	4 near50 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 12:16
L6	433	drag near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:20
L7	1	6 and 4	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:21
L8	135	((drag\$drop) drag near drop) near20 question\$6	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:21
L9	25	((drag\$drop) drag near drop) near20 question\$6 near20 interface	US-PGPUB; USPAT; USOCR; FPRS; EPO; JPO; DERWENT; IBM_TDB	OR	ON	2013/09/28 13:22

9/ 28/ 2013 1:40:23 PM

C:\Users\maburomi\Documents\EAST\Workspaces\13441648.wsp

Search Notes 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

CPC- SEARCHED		
Symbol	Date	Examiner

CPC COMBINATION SETS - SEARCHED		
Symbol	Date	Examiner

US CLASSIFICATION SEARCHED			
Class	Subclass	Date	Examiner
705	7.14	9/28/2013	MA

SEARCH NOTES		
Search Notes	Date	Examiner
Double patenting, East search and inventor's name	9/28/2013	MA

INTERFERENCE SEARCH			
US Class/ CPC Symbol	US Subclass / CPC Group	Date	Examiner

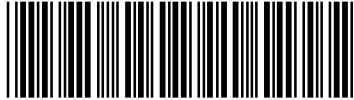
/MAHRAN ABU ROUMI/ Examiner.Art Unit 2455	
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BIB DATA SHEET
CONFIRMATION NO. 9597

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.	
13/441,648	04/06/2012	709	2455	MM0002	
APPLICANTS Tyler J. Miller, Residence Not Provided;					
** CONTINUING DATA ***** This appln claims benefit of 61/472,556 04/06/2011					
** FOREIGN APPLICATIONS *****					
** IF REQUIRED, FOREIGN FILING LICENSE GRANTED ** ** SMALL ENTITY ** 04/18/2012					
Foreign Priority claimed <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 35 USC 119(a-d) conditions met <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Verified and /MAHRAN Y ABU ROUMI/ Acknowledged _____ Examiner's Signature	<input type="checkbox"/> Met after Allowance MA _____ Initials	STATE OR COUNTRY	SHEETS DRAWINGS 59	TOTAL CLAIMS 2	INDEPENDENT CLAIMS 1
ADDRESS Whitaker Law Group 1218 Third Avenue Suite 1809 Seattle, WA 98101 UNITED STATES					
TITLE BACKGROUND INVESTIGATION MANAGEMENT SERVICE					
FILING FEE RECEIVED 530	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees		<input type="checkbox"/> 1.16 Fees (Filing)
			<input type="checkbox"/> 1.17 Fees (Processing Ext. of time)		<input type="checkbox"/> 1.18 Fees (Issue)
			<input type="checkbox"/> Other _____		<input type="checkbox"/> Credit

Index of Claims 	Application/Control No. 13441648	Applicant(s)/Patent Under Reexamination MILLER, TYLER J.
	Examiner MAHRAN ABU ROUMI	Art Unit 2455

✓	Rejected
=	Allowed

-	Cancelled
÷	Restricted

N	Non-Elected
I	Interference

A	Appeal
O	Objected

Claims renumbered in the same order as presented by applicant
 CPA
 T.D.
 R.1.47

CLAIM		DATE							
Final	Original	09/28/2013							
	1	✓							
	2	✓							



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Table with 4 columns: APPLICATION NUMBER (13/441,648), FILING OR 371(C) DATE (04/06/2012), FIRST NAMED APPLICANT (Tyler J. Miller), ATTY. DOCKET NO./TITLE (MM0002)

CONFIRMATION NO. 9597

PUBLICATION NOTICE



56031
Whitaker Law Group
1218 Third Avenue
Suite 1809
Seattle, WA 98101

Title:BACKGROUND INVESTIGATION MANAGEMENT SERVICE

Publication No.US-2012-0317174-A1
Publication Date:12/13/2012

NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at www.uspto.gov. The direct link to access the publication is currently http://www.uspto.gov/patft/.

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Alexandria, VA 22313-1450 or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at www.uspto.gov using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently http://pair.uspto.gov/. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

Further assistance in electronically accessing the publication, or about PAIR, is available by calling the Patent Electronic Business Center at 1-866-217-9197.

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101

PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number
13/441,648

APPLICATION AS FILED - PART I

(Column 1) (Column 2)

FOR	NUMBER FILED	NUMBER EXTRA
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A
SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A
TOTAL CLAIMS (37 CFR 1.16(j))	2 minus 20 = *	*
INDEPENDENT CLAIMS (37 CFR 1.16(h))	1 minus 3 = *	*
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))		

* If the difference in column 1 is less than zero, enter "0" in column 2.

SMALL ENTITY

RATE(\$)	FEE(\$)
N/A	95
N/A	310
N/A	125
x 30 =	0.00
x 125 =	0.00
	0.00
	0.00
TOTAL	530

OR OTHER THAN SMALL ENTITY

RATE(\$)	FEE(\$)
N/A	
N/A	
N/A	
TOTAL	

APPLICATION AS AMENDED - PART II

(Column 1) (Column 2) (Column 3)

AMENDMENT A		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total (37 CFR 1.16(i))	*	Minus	**	=
Independent (37 CFR 1.16(h))	*	Minus	***	=	
Application Size Fee (37 CFR 1.16(s))					
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					

SMALL ENTITY

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

OR OTHER THAN SMALL ENTITY

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

(Column 1) (Column 2) (Column 3)

AMENDMENT B		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total (37 CFR 1.16(i))	*	Minus	**	=
Independent (37 CFR 1.16(h))	*	Minus	***	=	
Application Size Fee (37 CFR 1.16(s))					
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

OR OTHER THAN SMALL ENTITY

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1.



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Table with 7 columns: APPLICATION NUMBER, FILING or 371(c) DATE, GRP ART UNIT, FIL FEE REC'D, ATTY. DOCKET NO, TOT CLAIMS, IND CLAIMS. Row 1: 13/441,648, 04/06/2012, 2178, 530, MM0002, 2, 1

CONFIRMATION NO. 9597

UPDATED FILING RECEIPT



56031
Whitaker Law Group
1218 Third Avenue
Suite 1809
Seattle, WA 98101

Date Mailed: 09/07/2012

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections

Applicant(s)

Tyler J. Miller, Residence Not Provided;

Power of Attorney: The patent practitioners associated with Customer Number 56031

Domestic Priority data as claimed by applicant

This appln claims benefit of 61/472,556 04/06/2011

Foreign Applications (You may be eligible to benefit from the Patent Prosecution Highway program at the USPTO. Please see http://www.uspto.gov for more information.)

If Required, Foreign Filing License Granted: 04/18/2012

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US 13/441,648

Projected Publication Date: 12/13/2012

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

BACKGROUND INVESTIGATION MANAGEMENT SERVICE

Preliminary Class

715

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

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For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor:)	Title:	Background Investigation
Tyler J. Miller)		Management Service
Appln. No.:)	Art Unit:	2178
13/441,648)	Examiner:	TBD
Conf. No.:)		
9597)		
Filed:)		
04/06/2012)		

Response to Notice to File Corrected Application Papers

Via EFS-WEB

Dear Sir:

This paper is responsive to the Notice to File Corrected Application Papers mailed on April 23, 2012, having a two-month period for response.

Please enter a two-month extension of time to respond to the outstanding Notice to File Corrected Application Papers. Payment for the fee is being made electronically in conjunction with the filing of this paper.

There are no proposed claim amendments.

Remarks begin on Page 2 of this paper.

Certificate of EFS-Web Transmission

I hereby certify that this correspondence is being transmitted via the U.S. Patent and Trademark Office electronic filing system (EFS-Web) to the USPTO on the date indicated below.

Date: August 23, 2012

/johnwhitaker/
John Whitaker

REMARKS

This application was filed on April 6, 2012. A Notice to File Corrected Application Papers (the "Notice") was mailed on April 23, 2012. This Paper addresses the deficiencies noted in that Notice. Applicant believes this application is ripe for examination and allowance.

Renumbered Figures

The Notice points out that certain Figure numbers were missing from the originally-submitted application. Those missing Figure numbers were not an oversight, and their omission was intentional. However, in accordance with the requirements set forth in the Notice, substitute Figures are being submitted with this Paper with those Figures properly re-numbered. In addition, a substitute specification is being submitted with this Paper with the references to the Figures properly renumbered. In accordance with 37 CFR 1.121(b)(3) and 1.125, no new matter has been added to the substitute specification.

New Oath or Declaration

The Notice states that the originally-filed Declaration omitted the city and state of the inventor. However, the Declaration that was filed clearly identifies the city and state of the inventor as Seattle, Washington. Accordingly, no new Declaration is believed to be required.

Respectfully submitted,

Dated: August 23, 2012

By: /john whitaker/
John Whitaker
Reg. No. 42,222
Attorney for Applicant
(206) 319-1575

Replacement Sheet

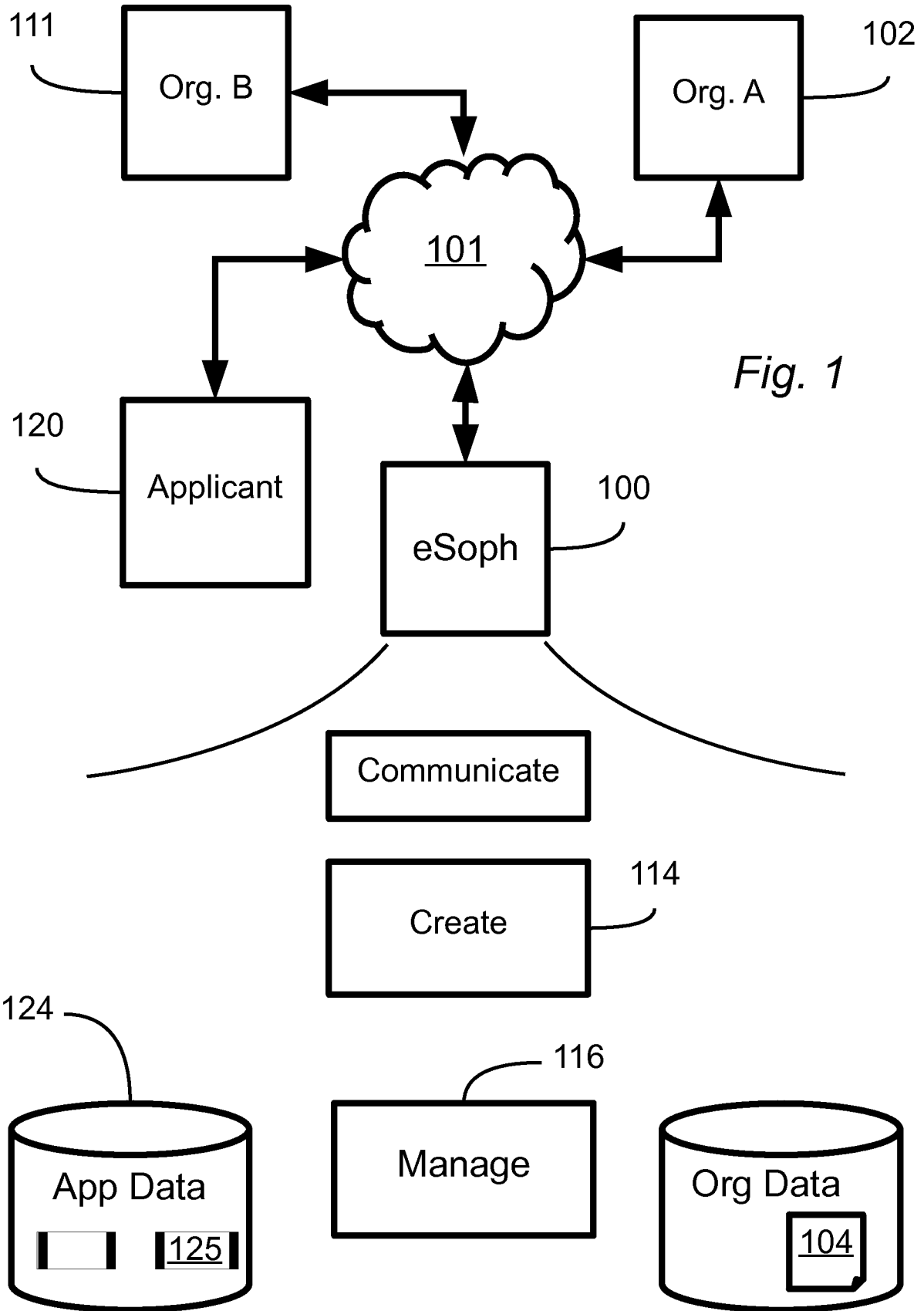


Fig. 1

The screenshot shows the eSOPH web application interface. At the top left is the eSOPH logo with the tagline "a product of eSolutions". The top right shows the user is logged in as "Tyler Miller" with a "Logout" link. Below the logo is a navigation menu with "HOME" selected. The main content area has a "Period: All Months" filter and a "Widget Date Range" selector. A table displays account information with columns for Account Name, Active From, Active Through, Entries Allowed, Entries by Date, Entries Remaining, and More Accounts. A "Show All" link is located to the right of the table. The page number "3/48" is visible on the right side of the screenshot.

Account Name	Active From	Active Through	Entries Allowed	Entries by Date	Entries Remaining	More Accounts
Travel Corp			Unlimited	0/0	Unlimited	0/0
Southwest	02/01/10	02/28/11	Unlimited	0	Unlimited	0
AAA	02/01/10	02/28/11	Unlimited	0	Unlimited	0
12345	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Carry Agency	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Travel Direct	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Reserve	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Corporate	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Corporate Agency	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Agency changed	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Corporate	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Corporate	02/01/11	02/28/11	Unlimited	0	Unlimited	0
Corporate	02/01/11	02/28/11	Unlimited	0	Unlimited	0

Fig. 2

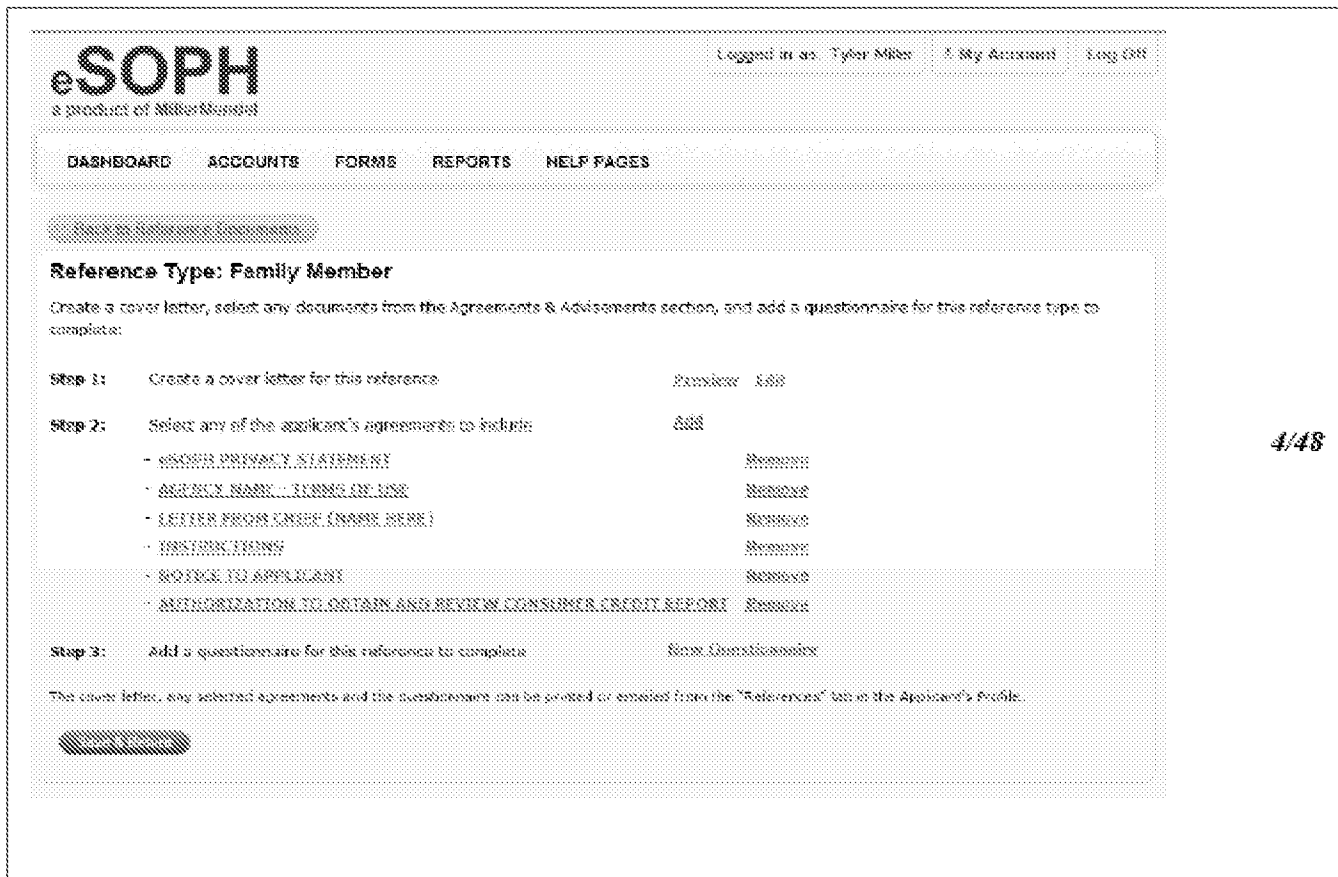


Fig 3

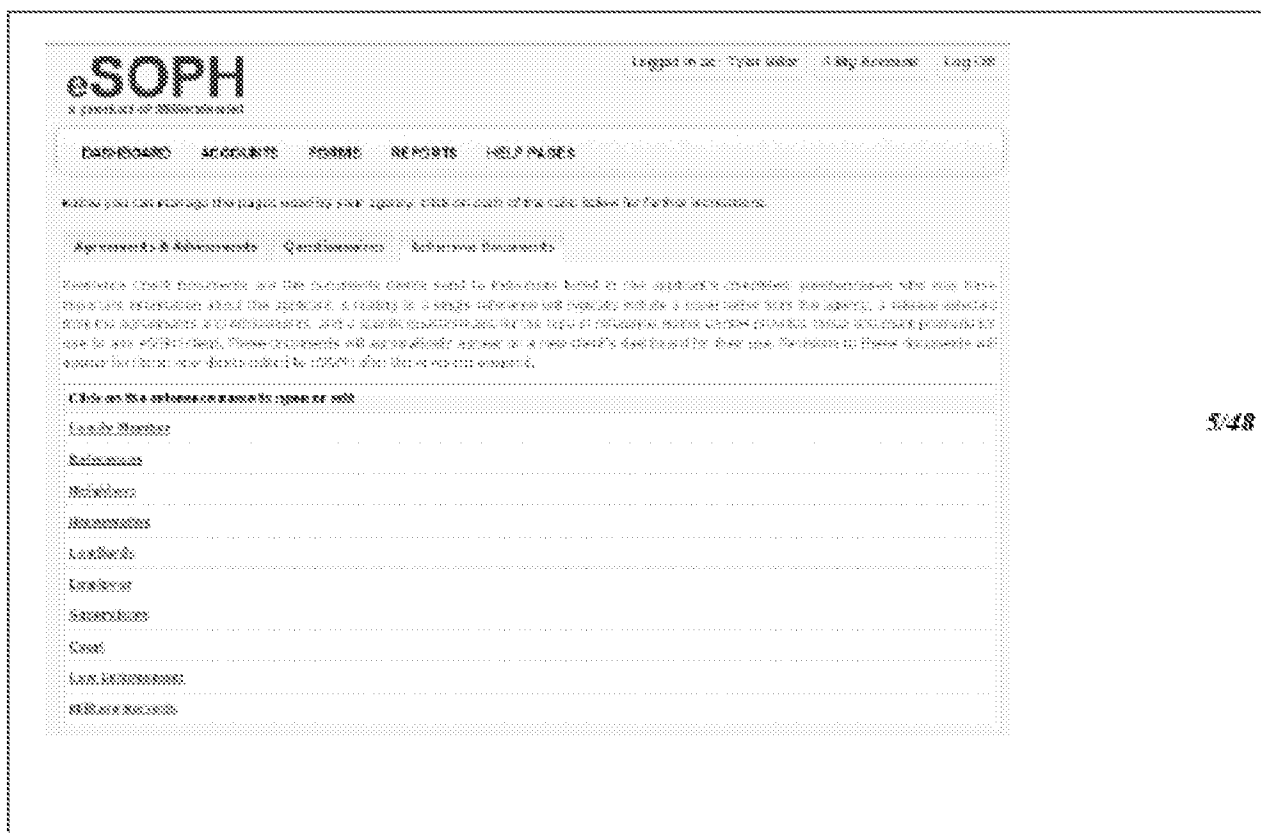


Fig 4

EDIT QUESTIONNAIRE

[Back to Questionnaire](#)

Instructions: Please read before attempting to build or edit a questionnaire. [Read more.](#)

Basic Information

Below you will provide basic, personal information about yourself. Review these questions carefully and provide complete, accurate responses. If you need clarification on any question, or have any questions, contact your assigned background investigator.

Full Name: (first, middle, last)

Have you ever been known by ANY nicknames(s) or aliases?

- No
 Yes

List all nicknames and aliases below:

Drag & drop group question(s) here.

Do you have any scars, marks or tattoos?

- No
 Yes

Build or Edit a Questionnaire

[Add Question](#) [Edit Question](#) [Questionnaire Properties](#)

Select a question type below by clicking on it, holding the click and dragging it across the screen. Release the mouse button when the question is in the location that you would like it placed. Click the pencil icon to edit the question's properties.

Edit the name of the questionnaire or its direction by clicking on the pencil icon closest to the bar in question.

Drag and drop any of the following:

[Create a Group of Questions](#) << [What is this?](#)

Multiple Choice Single Choice Drop Down

True/False Text Box

IMPORTANT: For any questionnaire involving any of the below type of content, you must use the below drag and drop buttons as part of questionnaire. These buttons are programmed with several pre-defined questions tied to the other functionality of the software system. If you choose not to use these buttons below, it will not allow other features of eSOPM to function. If you have questions about this, contact your eSOPM Account Manager.

E Applicant Address	E Supervisor	E Contact
E Address	E Reference	E Neighbor
E Landlord	E Document	E Counter
E Employer		

Fig 5

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

Agreements & Acknowledgments Questionnaires Reference Documents Positions & Checklists Letter Templates

Setup Note: Questionnaires are the documents with questions regarding an applicant's personal history, or questionnaires that will be sent to a reference source (neighbor, employer, friend, family, etc). This is where you are going to list all the questions you want the applicant to answer as a base to evaluate their personal history, and perform any investigation. The questionnaires for reference sources are also managed from this page. ASPM has placed some premade questionnaires below. These premade questionnaires are most commonly used by law enforcement agencies. You can delete or edit any of the questions within each of the questionnaires below to fit your agency's specific needs. You can also create new questionnaires from a blank page by selecting the "Create New Questionnaire" button. Please be sure to review the Help page before attempting to build a new questionnaire.












Name (click to view/edit)	Available for	Positions	Preview	Delete
Basic Information	Applicant	Test Position 1		
Education	Applicant	Test Position 1		
Residence	Applicant	Test Position 1		
Employment	Applicant	Test Position 1		
Applications With Other Agencies	Applicant	Test Position 1		
Military	Applicant	Test Position 1		

Fig. 6

eSOPH
a product of eSolutions

Logged in as: Tyler Miller | My Account | Log Out

DASHBOARD ACCOUNTS FORMS REPORTS HELP PAGES

Edit My Account

First Name:

Middle Name (optional):

Last Name:

Email:
 The Email field is required.

Office:
 The Office field is required.

Mobile:
 The Mobile field is required.

Change Password

New Password:

Confirm New Password:

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Fig 7

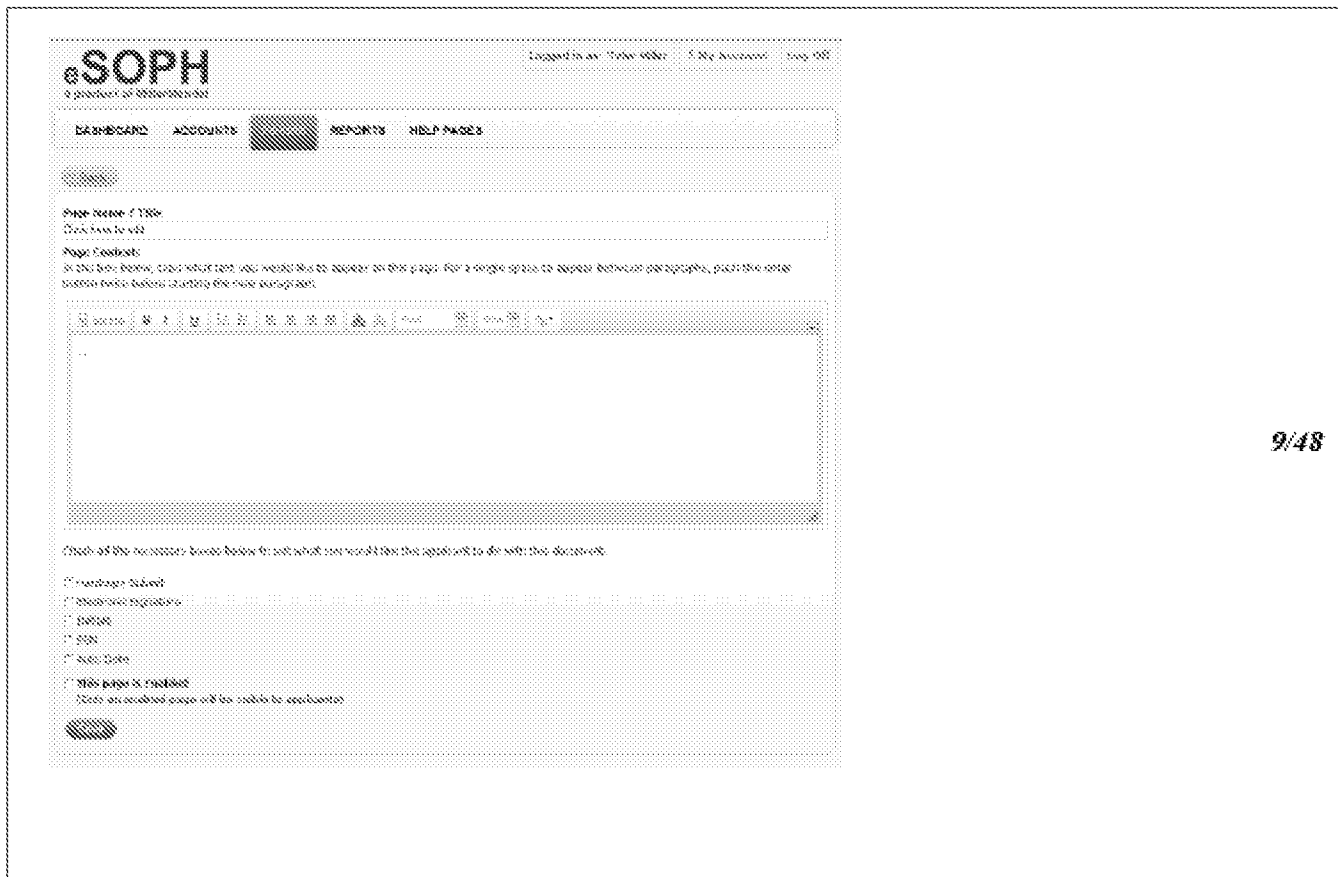


Fig 8

The screenshot displays the eSOPH web application interface. At the top left is the eSOPH logo with the tagline "a product of Millimanet". To the right, there is a user login area showing "Logged in as: Tyler RICE" and a "Log Off" link. Below the logo is a navigation bar with tabs for "DASHBOARD", "ACCOUNTS", "REPORTS", and "HELP PAGES". The "REPORTS" tab is currently selected. Below the navigation bar, there is a main content area with a heading "Here you can manage the different documents used by your agents." and two sub-sections: "APPROVALS & APPROVEDS" and "REMOVED APPROVALS". A paragraph of text explains that approvals and documents are available for use by all agents and that they will automatically appear on a new client's dashboard. Below this text is a table with the following structure:

#	Click on the document name to open or edit	Preview	Status
1	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
2	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
3	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
4	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
5	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
6	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
7	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
8	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
9	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
10	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
11	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
12	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
13	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
14	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
15	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
16	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
17	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
18	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
19	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed
20	11/27/2010 10:30:00 AM 11/27/2010 10:30:00 AM		Completed

On the right side of the interface, there is a vertical sidebar containing a clock that displays the time "10:48".

Fig 9

DASHBOARD	ACCOUNTS	DOCUMENTS	REPORTS	HELP/PAGES
------------------	----------	-----------	---------	------------

Back to Accounts

1. Account Detail 2. Accounts

Client Name:

Client Logo (Optional):

1) Browse and select desired image. 2) Click "Upload" button. 3) Click "Save" button at bottom.

Client Letterhead (Optional):

1) Browse and select desired image. 2) Click "Upload" button. 3) Click "Save" button at bottom.

The recommended size of the image is width: 700px and height: 100px. Accepted formats are: jpg, png, pdf and gif.

Company Name:
 NCAR/ .morph.com

First Name:

Last Name:

Title:

Office Phone Number:

Mobile Phone Number:

Email:

Country:

Address:

ZIP Code:

City:

Country:

State:

Fig. 10

eSOPH
a product of MMSolutions

Logged in as: Tyler Miller | My Account | Log Off

CASHBOOK | **FORUM** | **REPORTS** | **HELP PAGES**

All Accounts

Account Name	License Expires	Entries Allowed	Entries to Date	Entries Remaining
1 Nelson, Deborah	01/01/2010	unlimited	0	unlimited
2 Santa Monica	01/01/2010	unlimited	0	unlimited
3 Test accounts (12/24/11)	04/30/2010	unlimited	0	unlimited
4 Wilson	02/01/2010	unlimited	0	unlimited
5 M. Moore	01/01/2010	unlimited	0	unlimited
6 Southfield	01/01/2010	unlimited	0	unlimited
7 Woodland	01/01/2010	0	0	0
8 Zeman	02/01/2010	unlimited	1	unlimited
9 Newer Account!!!!	01/01/2010	0	1	0
10 East Java account	01/01/2010	unlimited	0	unlimited
11 Nevada	01/01/2010	unlimited	0	unlimited
12 Test 12/11	01/01/2010	unlimited	0	unlimited
13 Ontario	01/01/2010	unlimited	0	unlimited
14 Sacramento Data	01/01/2010	unlimited	0	unlimited
15 Wood	01/01/2010	unlimited	0	unlimited

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Fig 11

The screenshot displays the eSOPH web application interface. At the top left is the eSOPH logo with the tagline "a product of WillsTowersPerry". The top right shows the user is logged in as "Tyler Miller" with options to "My Account" and "Log Off". A navigation bar contains "ACCOUNTS", "FORMS", "REPORTS", and "HELP PAGES".

The main content area is divided into four sections:

- eSOPH Info Requests:** A form with fields for "Name:" and "Organization/ Site Name:" and a "Submit" button.
- Expired Accounts:** A table listing accounts that have expired.

Client Name	Expiration Date
1. ABC	1/15/2011
2. XYZ	2/15/2011
3. ABCDEF	3/15/2011
4. GHIJKL	4/15/2011
5. MNOPQR	5/15/2011
6. STUVWX	6/15/2011
- Completed eSOPH Info Requests:** A form with fields for "Name:", "Organization/ Site Name:", "Reason:", "Company/ Firm:", "Site Name:", and "Notes:", along with an "Email eSOPH Info to:" field and a "Submit" button.
- Expiring Accounts:** A table listing accounts that are about to expire.

Client Name	Expiration Date
1. ABC	6/15/2011
2. DEF	7/15/2011
3. GHIJKL	8/15/2011
4. MNOPQR	9/15/2011
5. STUVWXYZ	10/15/2011
6. ABCDEF	11/15/2011

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Fig 12



Welcome to your Applicant Dashboard.

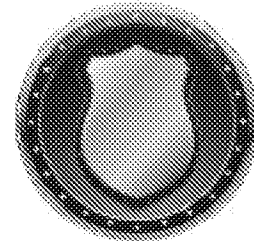
In order to return to your Applicant Profile at a later time, you must bookmark this page, or note the web address shown in your browser's address bar above. When your background is completed, you will no longer be able to access your Applicant Profile, so print documents for your personal record, as you desire.

Thank you for your interest in employment with our agency. Below are some tips for using this system to complete your background investigation documents and other requirements. Use the "Help" button on the menu bar above for additional instructions and answers to commonly asked questions.

Follow Instructions: Proceed with all instructions in mind. To review the instructions you reviewed earlier, click on the Agreements & Adviseements tab and select the document with the instructions you wish to review.

Complete the Questionnaires: Fully and accurately complete each of the questionnaires listed below in the "Questionnaires" section. When you have finished with one questionnaire, move to another until all have been completed. When you are finished answering the questions in each of questionnaires, go back and review your answers to ensure you have made no mistake and are complying with all instructions.

Submitting Information: When you have completed all questionnaires and other requirements you have been given, click the "Submit" button to finish. Once you have clicked the "Submit" button, you cannot change your answers.



Direct all questions to:

Name: [Click Investigator](#)
Office Phone: 575.251.1277
Mailing Address: 1224 office address
Los Angeles, California 90001
Email address: [Click_investigator@...](#)



Agreements & Adviseements Questionnaires Images Other Documents

If you have been instructed to upload any other documents, you will upload these documents by clicking "Upload Document". First, the document must be on the computer you are currently using. If it is not currently on your computer and in paper format, you will need to scan the document so that it is on your computer. If you do not have a scanner, many copy and print centers have this self-service (i.e., FedEx Office/FedEx Printers). You may also choose to consult a knowledgeable friend or family member if you are unfamiliar with scanning documents to a computer. Be sure all scanned documents are 100% legible before you upload the documents to this system. If you have not been advised to upload any other documents, you may bypass this section. If you have any questions, contact the agency representative listed above.

Upload Document

Print Other Documents

#	Title	Date Uploaded	Delete
1	Test Document 1	03/21/2012	
2	Test Document 2	03/21/2012	

Fig. 13

TEST AGENCY Logout | Home | Account | Help

PERSONAL

PERSONAL INFORMATION

First Name (Last Name)

Last Name (Last Name)

Date of Birth

Address (Last Name, Street, City, State, Zip)

Do you currently live there?
 Yes
 No

City

State

Zip

Phone

Mobile

Work

Home

Other

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Fig 14

TEST AGENCY
logged in as: Joe Testeen | log off


Welcome to your Applicant Dashboard!

Thank you for using the Applicant Dashboard. Below are some tips for using the dashboard effectively. For more information, please visit the help page.

Follow Instructions: Please read all instructions in order to ensure the best results for your application. If you have any questions, please contact the help desk.

Check for Updates: The dashboard will be updated with new questions and information. Please check for updates regularly to ensure you have the most current information.

Check for Notifications: You will receive notifications for new questions and information. Please check for notifications regularly to ensure you have the most current information.



Need all questions?

View all questions

View all questions

View all questions

View all questions

Applicant Dashboard | My Questions | My Profile | My Account
09/20/2023

Below are the questions that have been assigned to you. You can click on the question to view the question details. You can also click on the question to view the question details. You can also click on the question to view the question details.

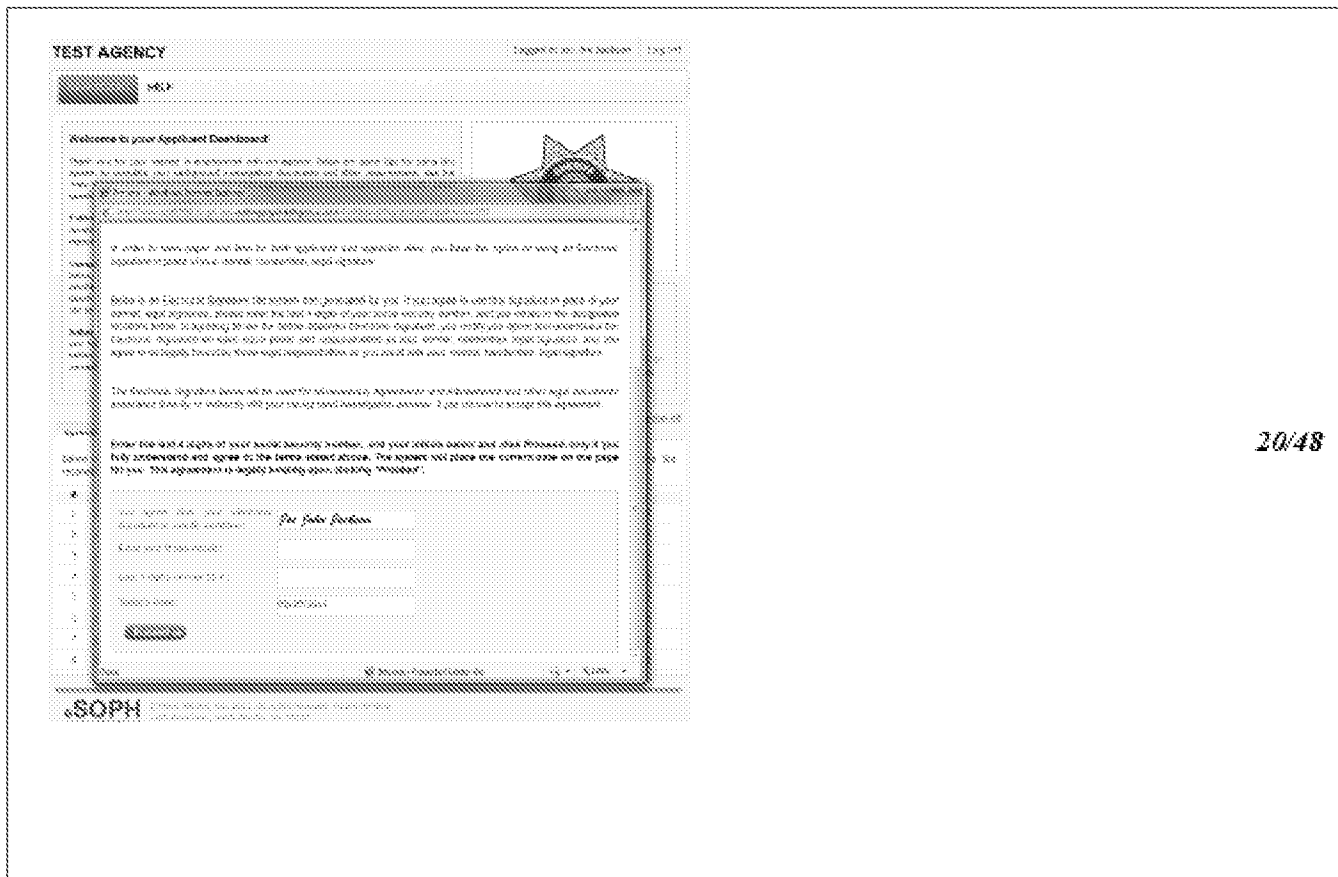
Question ID	Question Title	Status	Completed Date
1	Question 1	Completed	09/20/2023
2	Question 2	Completed	09/20/2023
3	Question 3	Completed	09/20/2023
4	Question 4	Completed	09/20/2023
5	Question 5	Completed	09/20/2023
6	Question 6	Completed	09/20/2023

SOPH | State of Texas | Office of the State Auditor

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Fig 15

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Fig 16

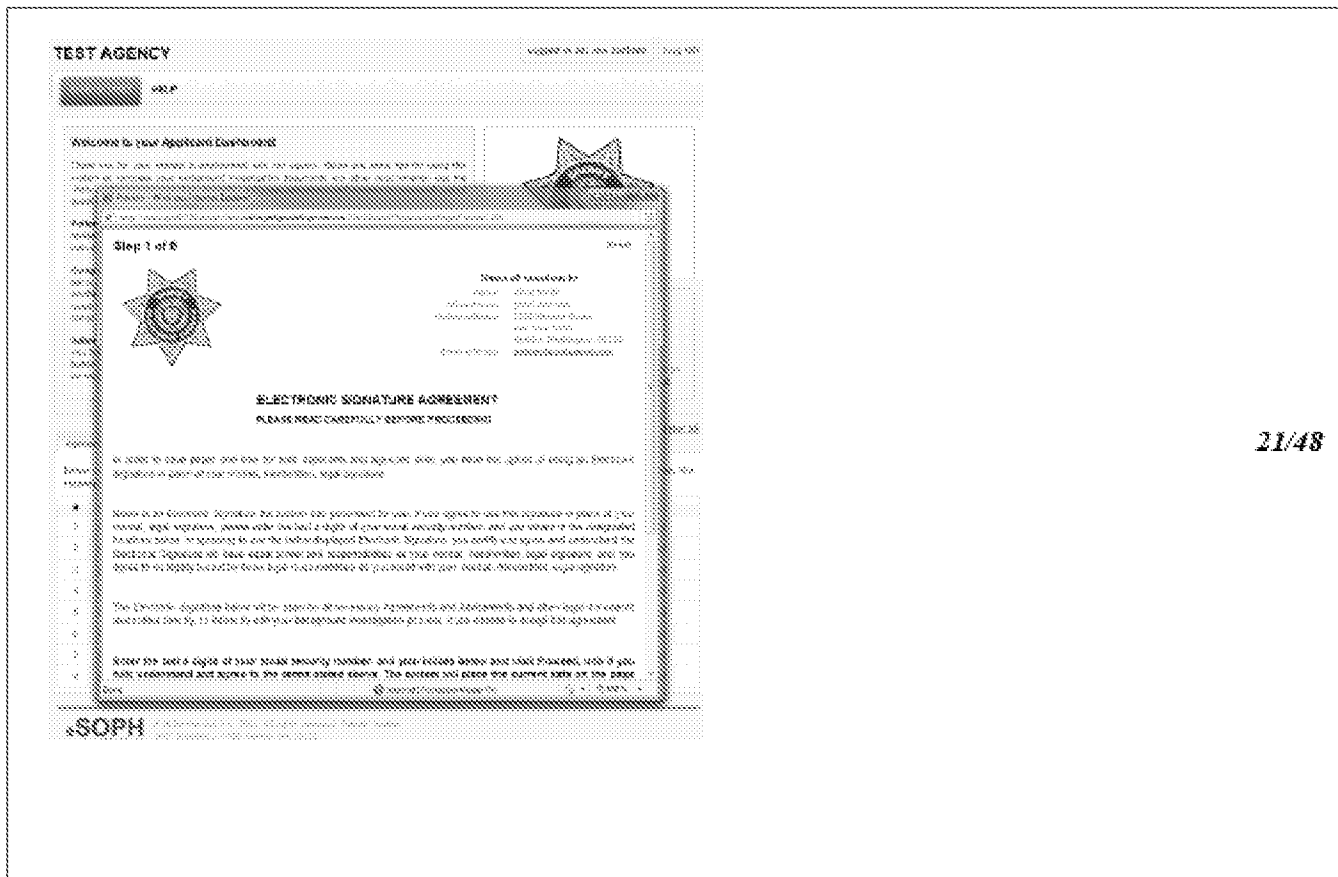


Fig 17

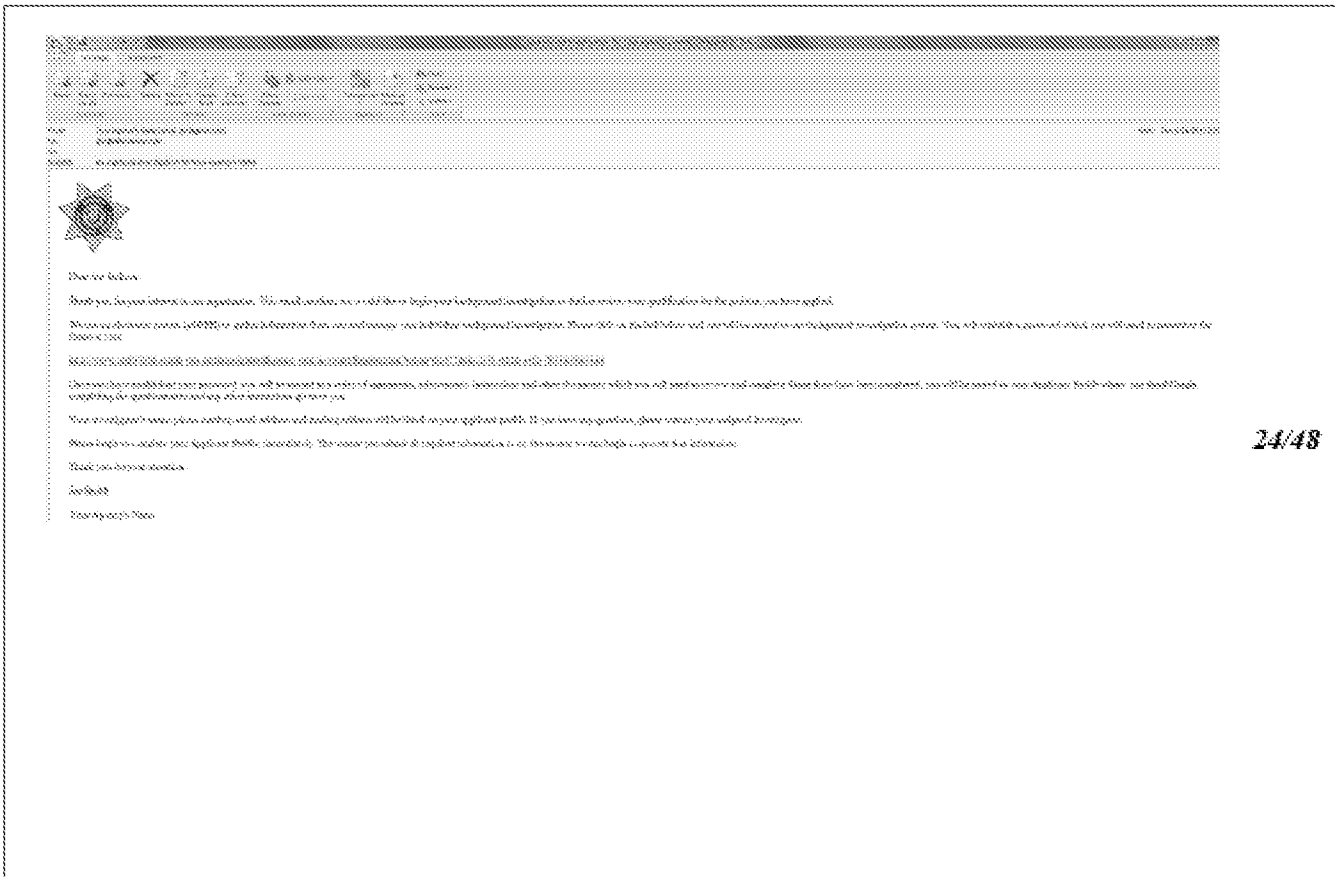


Fig 18

TEST AGENCY Logout | My Account | Help

Dashboard | **Applications** | **Users** | **Forms** | **Settings** | **Reports** | **Admin** | **Help**

Profile Information

First Name:

Last Name:

Address:

City:

State:

Zip:

Phone:

Mobile:

Work:

Home:

Business Email:

Personal Email:

Company:

Job Title:

Department:

Role:

Permissions:

Change Password

Current Password:

New Password:

Confirm Password:

SOPH Software for the Professional

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Fig 19

TEST AGENCY
Logged in as: Joe Smith My Account Log Off

DASHBOARD
APPLICANTS
USERS
FORMS
SHARES
REPORTS
Inbox
HELP

Inbox Refresh

	Date	Content	Delete
<input type="checkbox"/>	03/23/11	Note added to Joe Jackson Applicant Profile.	
<input type="checkbox"/>	03/24/11	Review Joe Jackson Applicant Profile.	
<input type="checkbox"/>	03/24/11	Applicant Joe Jackson has been assigned to Chris Smith.	
<input type="checkbox"/>	03/24/11	Applicant Joe Jackson has been assigned to Chris Smith.	
<input type="checkbox"/>	03/23/11	Note added to Green Murray Applicant Profile.	
<input type="checkbox"/>	03/23/11	Applicant Green Murray has been assigned to Chris Smith.	


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Fig 20

TEST AGENCY Logged in as: Joe Smith | My Account | Log Off

DASHBOARD **APPLICANTS** **USERS** **FORMS** **SHARED** **INBOX** **HELP**

General | **By Position**

Period: All Periods By Dates From: To: 

Position	Approved	Rejected	Suspended	Total	Average Time (in days)
Police Officer Permit	0	0	0	0	0

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Fig 21

TEST AGENCY									
COMPONENT	APPLICATIONS	LEADS	FORMS	REPORTS	INDEX	HELP			
<p>Current: No Subpages</p> <p>Number of Pages: <input type="text"/> By Date: <input type="text"/> <input type="text"/> <input type="text"/></p>									
Title	Total Number	Testing	Available	Approved	Rejected	Suspended	Average	Flow	On Abstract
ASK									
11-15	0	0	0	0	0	0	0	0	0
11-16	1	0	1	0	0	0	0	0	0
11-17	0	0	0	0	0	0	0	0	0
11-18	0	0	0	0	0	0	0	0	0
11-19	0	0	0	0	0	0	0	0	0
11-20	0	0	0	0	0	0	0	0	0
11-21	0	0	0	0	0	0	0	0	0
Other Links									
11-22	0	0	0	0	0	0	0	0	0
11-23	0	0	0	0	0	0	0	0	0
11-24	0	0	0	0	0	0	0	0	0
11-25	0	0	0	0	0	0	0	0	0
11-26	0	0	0	0	0	0	0	0	0
11-27	0	0	0	0	0	0	0	0	0
11-28	0	0	0	0	0	0	0	0	0
11-29	0	0	0	0	0	0	0	0	0
11-30	0	0	0	0	0	0	0	0	0
11-31	0	0	0	0	0	0	0	0	0
11-32	0	0	0	0	0	0	0	0	0
11-33	0	0	0	0	0	0	0	0	0
11-34	0	0	0	0	0	0	0	0	0
11-35	0	0	0	0	0	0	0	0	0
11-36	0	0	0	0	0	0	0	0	0
11-37	0	0	0	0	0	0	0	0	0
11-38	0	0	0	0	0	0	0	0	0
11-39	0	0	0	0	0	0	0	0	0
11-40	0	0	0	0	0	0	0	0	0
11-41	0	0	0	0	0	0	0	0	0
11-42	0	0	0	0	0	0	0	0	0
11-43	0	0	0	0	0	0	0	0	0
11-44	0	0	0	0	0	0	0	0	0
11-45	0	0	0	0	0	0	0	0	0
11-46	0	0	0	0	0	0	0	0	0
11-47	0	0	0	0	0	0	0	0	0
11-48	0	0	0	0	0	0	0	0	0
11-49	0	0	0	0	0	0	0	0	0
11-50	0	0	0	0	0	0	0	0	0
11-51	0	0	0	0	0	0	0	0	0
11-52	0	0	0	0	0	0	0	0	0
11-53	0	0	0	0	0	0	0	0	0
11-54	0	0	0	0	0	0	0	0	0
11-55	0	0	0	0	0	0	0	0	0
11-56	0	0	0	0	0	0	0	0	0
11-57	0	0	0	0	0	0	0	0	0
11-58	0	0	0	0	0	0	0	0	0
11-59	0	0	0	0	0	0	0	0	0
11-60	0	0	0	0	0	0	0	0	0
11-61	0	0	0	0	0	0	0	0	0
11-62	0	0	0	0	0	0	0	0	0
11-63	0	0	0	0	0	0	0	0	0
11-64	0	0	0	0	0	0	0	0	0
11-65	0	0	0	0	0	0	0	0	0
11-66	0	0	0	0	0	0	0	0	0
11-67	0	0	0	0	0	0	0	0	0
11-68	0	0	0	0	0	0	0	0	0
11-69	0	0	0	0	0	0	0	0	0
11-70	0	0	0	0	0	0	0	0	0
11-71	0	0	0	0	0	0	0	0	0
11-72	0	0	0	0	0	0	0	0	0
11-73	0	0	0	0	0	0	0	0	0
11-74	0	0	0	0	0	0	0	0	0
11-75	0	0	0	0	0	0	0	0	0
11-76	0	0	0	0	0	0	0	0	0
11-77	0	0	0	0	0	0	0	0	0
11-78	0	0	0	0	0	0	0	0	0
11-79	0	0	0	0	0	0	0	0	0
11-80	0	0	0	0	0	0	0	0	0
11-81	0	0	0	0	0	0	0	0	0
11-82	0	0	0	0	0	0	0	0	0
11-83	0	0	0	0	0	0	0	0	0
11-84	0	0	0	0	0	0	0	0	0
11-85	0	0	0	0	0	0	0	0	0
11-86	0	0	0	0	0	0	0	0	0
11-87	0	0	0	0	0	0	0	0	0
11-88	0	0	0	0	0	0	0	0	0
11-89	0	0	0	0	0	0	0	0	0
11-90	0	0	0	0	0	0	0	0	0
11-91	0	0	0	0	0	0	0	0	0
11-92	0	0	0	0	0	0	0	0	0
11-93	0	0	0	0	0	0	0	0	0
11-94	0	0	0	0	0	0	0	0	0
11-95	0	0	0	0	0	0	0	0	0
11-96	0	0	0	0	0	0	0	0	0
11-97	0	0	0	0	0	0	0	0	0
11-98	0	0	0	0	0	0	0	0	0
11-99	0	0	0	0	0	0	0	0	0
11-100	0	0	0	0	0	0	0	0	0

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Fig 22

TEST AGENCY Logged in as: Joe Smith [My Account](#) [Log Off](#)

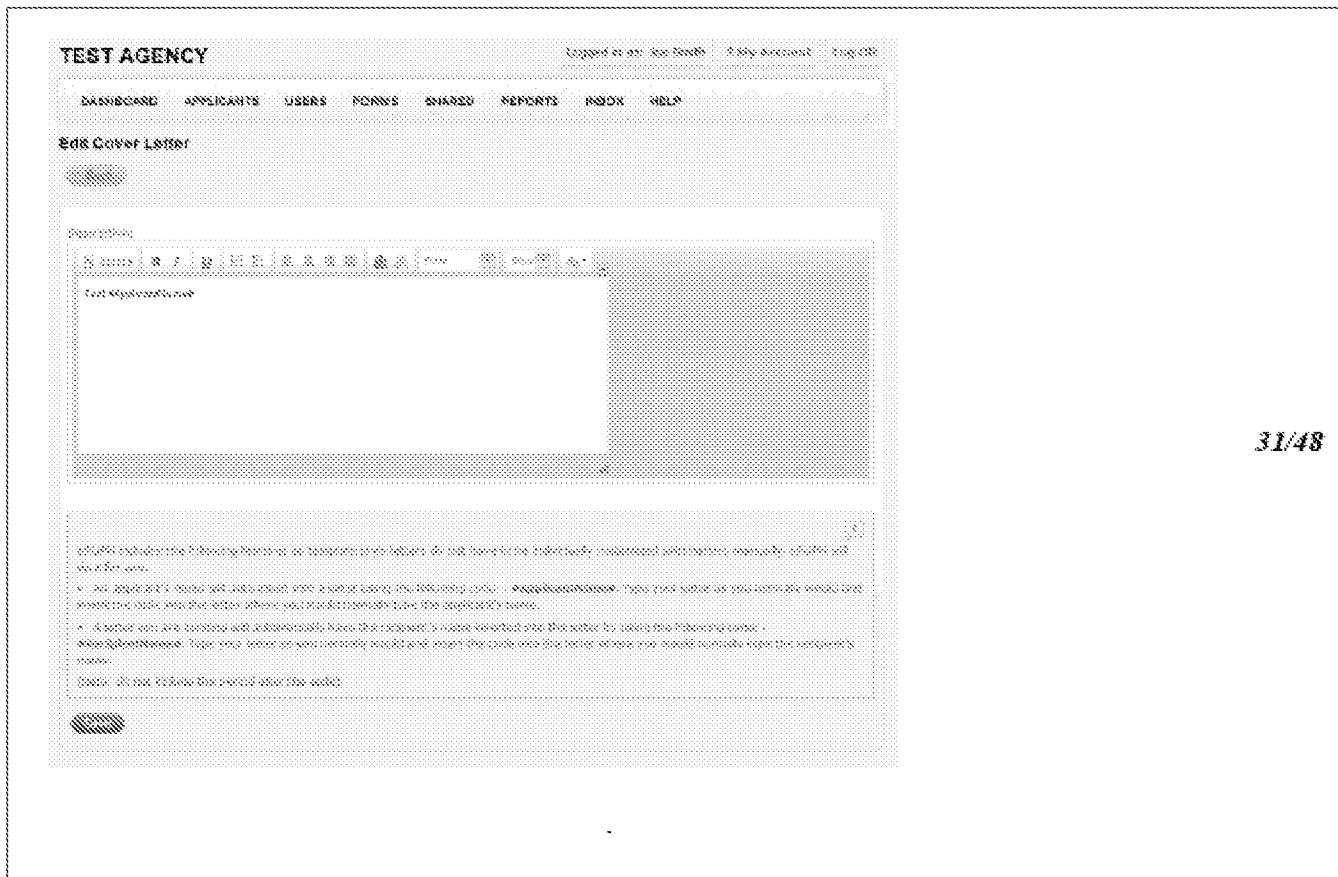
[DASHBOARD](#) [APPLICANTS](#) [USERS](#) [FORMS](#) [REPORTS](#) [INBOX](#) [HELP](#)

Shared Information

Name of applicant	SSN	Viewable from	Viewable to	Recipient agency	Recipient	Details
No Data Found.						

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Fig 23



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Fig 24

TEST AGENCY Logged in as: Joe Smith [My Account](#) [Log Off](#)

[DASHBOARD](#) [APPLICANTS](#) [USERS](#) [FORMS](#) [SHARED](#) [REPORTS](#) [INBOX](#) [HELP](#)

Reference Type: Family Member

Create a cover letter, select any documents from the Agreements & Advisements section, and add a questionnaire for this reference type to complete:

Step 1:	Create a cover letter for this reference:	Preview Edit
Step 2:	Select any of the applicant's agreements to include:	Add
	- AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION	Remove
Step 3:	Add a questionnaire for this reference to complete:	New Questionnaire

The cover letter, any selected agreements and the questionnaire can be printed or emailed from the "References" tab in the Applicant's Profile.

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Fig 25

TEST AGENCY
Logged in as: Joe Smith | My Account | Log Out

[Dashboard](#)
[Applicants](#)
[Users](#)
[Forms](#)
[Shared](#)
[Reports](#)
[Inbox](#)
[Help](#)

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions:

Agreements & Authorizations
Questionnaires
Reference Documents
Checklists

Setup Note: Reference Documents are the documents your agency will use to communicate with the individuals listed in the agency's questionnaires. A typical initial communication with a reference source would include a cover letter, the authorization to release information form that the applicant signed, and a questionnaire with questions specific to the type of reference source (employer, family, personal, landlord, etc.). eSOS has included pre-made cover letters and pre-made questionnaires for each of these common reference sources, shown below. You can edit and manage the cover letter, select the applicant's agreement(s) to include, and the questionnaire for a specific reference source by clicking on the name below. The investigator sends the reference documents by attaching the Applicant's Profile and using "References". The names of individuals listed in specific applicant's questionnaires will automatically be listed there, with the ability to send the references to those listed individuals by email or regular mail.

Click on the reference name to open or edit

Family Member
References
Relatives
Neighbors
Landlords
Employer
Cooperatives
Crew
Law Enforcement
Military Records

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Fig 26

Edit Questionnaire

[Back to Questionnaires](#)

Restrictions: Please read before attempting to build or edit a questionnaire. Read more.

Sample Questionnaire / Form

Test

Drag & drop your question(s) here

Build or Edit a Questionnaire

[Add Question](#) [Edit Question](#) [Questionnaire Properties](#)

Select a question type below by clicking on it, holding the disk and dragging it across the screen. Release the mouse button when the question is in the location that you would like it placed. After the panel can be edit the question's properties.

Edit the name of the questionnaire or the questions by clicking on the pencil icon closest to the box in question.

Drag and drop any of the following:

Create a Group of Questions What is this?

Multiple Choice Single Choice Essay Question

True/False True/Yes

IMPORTANT: For any questionnaire involving any of the below type of contacts, you must use the below drag and drop buttons as part of questionnaire. These buttons are programmed with universal pre-defined questions tied to the other functionality of the software system. If you choose not to use these buttons below, it will not allow other features of eSCRM to function. If you have questions about this, contact your eSCRM Account Manager.

<input type="checkbox"/> Employee Address	<input type="checkbox"/> Supervisor	<input type="checkbox"/> Coach
<input type="checkbox"/> Relative	<input type="checkbox"/> Reference	<input type="checkbox"/> Neighbor
<input type="checkbox"/> Friend	<input type="checkbox"/> Acquaintance	<input type="checkbox"/> Acquaintance
<input type="checkbox"/> Neighbor		

Fig 27

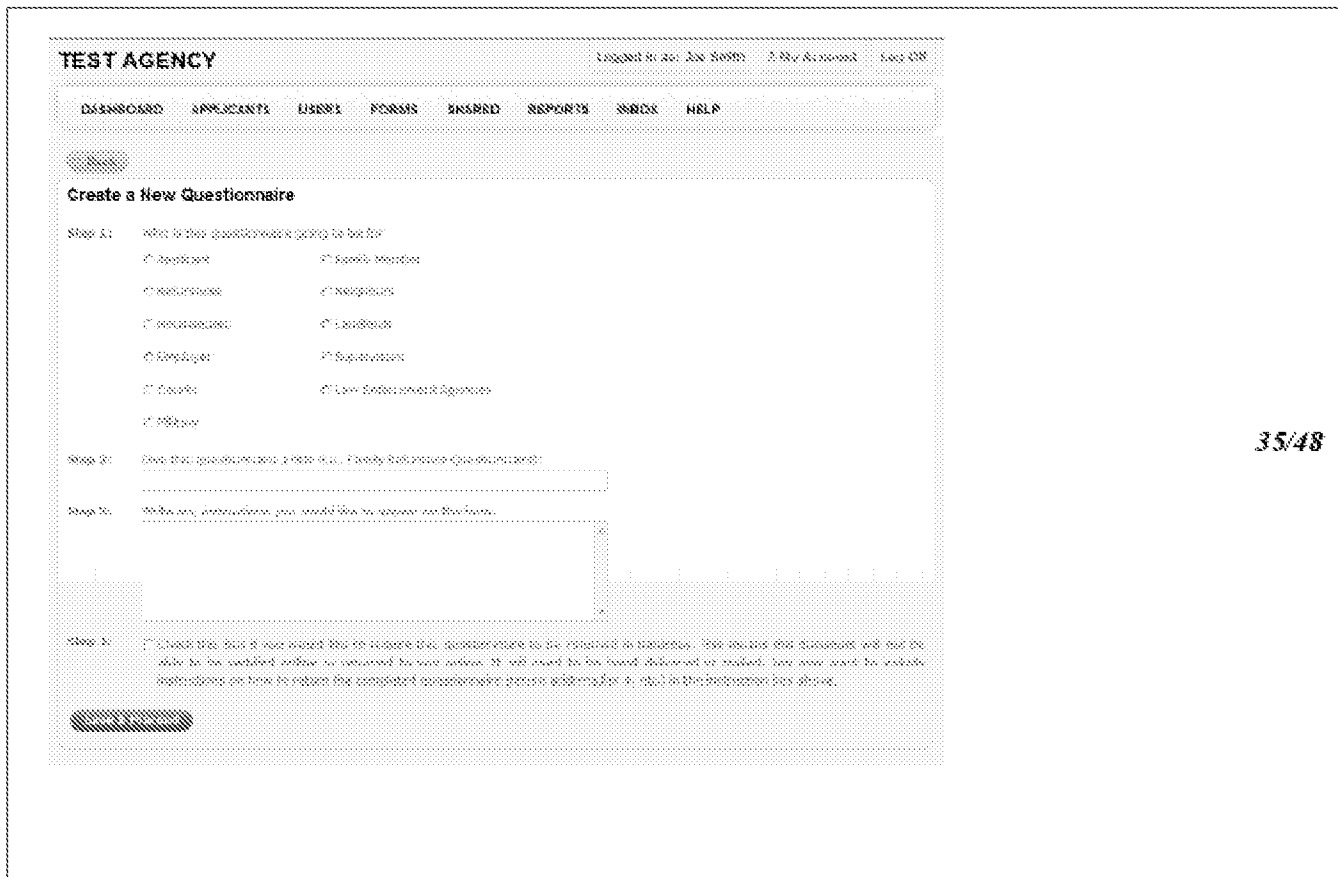


Fig 28

TEST AGENCY logged in as: Joe Smith | My Account | Log out

DOCUMENTS APPLICATIONS CHECKS FORMS SERVICES REPORTS INDEX HELP

Basic Information

Basic Information
Please see instructions

1. First Name (First Name)

2. Middle Name (Middle Name)

3. Mother's Maiden Name

4. Date of Birth

5. Other ID's you are holding (State, Federal, Canada)

6. How long have you been in the US?

Basic Information
Please see instructions

1. First Name (First Name)

2. Middle Name (Middle Name)

3. Mother's Maiden Name

4. Date of Birth

5. Where were you born? (State, Country, City)

6. Are you currently a US citizen?
 Yes
 No

7. Sign

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Fig 29

[DASHBOARD](#)
[ACCOUNTS](#)
[DOCUMENTS](#)
[REPORTS](#)
[HELP PAGE 8](#)

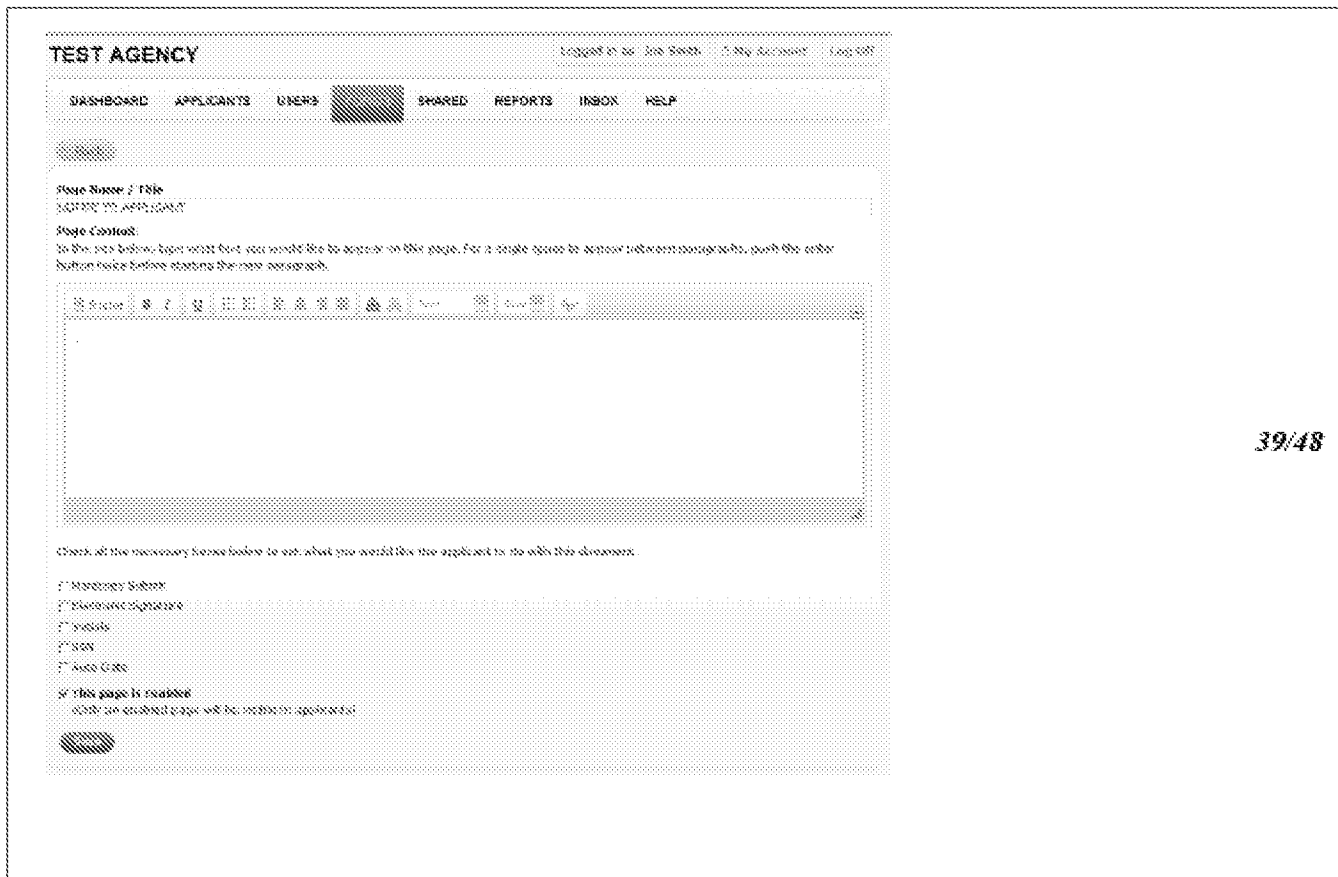
Here you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

[Agreements & Advertisements](#)
[Questionnaires](#)
[Reference Documents](#)
[Letter Templates](#)

Questionnaires available for use by all clients are displayed below. These documents will automatically appear on a new client's dashboard for their use. Questionnaires for both the Applicant and Referrer are displayed and managed here. References to these documents will appear for those new clients added in eSOPW after the resident is scanned.

Name (click to view/edit)	Available for	Positions	Preview	Delete
Basic Information	Applicant			
Education	Applicant			
Residence	Applicant			
Employment	Applicant			
Associations With Other Agencies	Applicant			
Military	Applicant			
Financial	Applicant			
Criminal	Applicant			
Legal	Applicant			

Fig. 31



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Fig 32

TEST AGENCY
Logged in as: Joe Smith | My Account | Log Off

CASHCARS
APPLICANTS
USERS
SHARED
REPORTS
INDEX
HELP

Notes: you can manage the shared documents sent to your agency:

Agreements & Addendums
Qualifications
Reference Documents
Checklist

Setup Note: Agreements & Addendums are documents such as waivers, releases, admissions, acknowledgments, instructions, a welcome note, etc. Are consent you want the applicant to sign and/or acknowledge prior to reading their dashboard and viewing the opportunities. Upload the original document, generate agreements and addendums below. You can review each one and change noted text to your agency name, or edit or remove these documents are restricted for use by your agency. You can edit these documents, delete any of them, or make your own. At the bottom of each of the pages below, you can select how you would like the applicant to acknowledge the document. If you select that the applicant must submit to the document in full, you will want to place the signature lines, date lines, etc. within the text of the document. Documents you require your applicants to submit in full will be stamped and uploaded by the applicant into eMETS, or someone at your agency can scan and upload the hardcopy into the applicant's profile, at anytime.

Click on the document name to open or edit	Preview	Status
1. 0101780001 040001000 0000000001		Completed
2. 010000 100000 010 000		Completed
3. 000000 000000 0 0000000000		Completed
4. 000000 00000 000000 000000 000000		Completed
5. 00000000000000		Completed
6. 000000 000000 000000		Completed
7. 00000000000000 0000000000 0000000000 000000 000000 000000		Completed
8. 00000000000000 000000 000000 000000 000000 000000 000000 000000		Completed
AGENCY 00000... 00000 00000		Completed
Click here to edit		Completed
Click here to edit		Completed
Click here to edit		Completed

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Fig 33

TEST AGENCY

logged in as: Joe Smith | My Account | Log Off

- Dashboard
- Applicants
- Forms**
- Shared
- Reports
- Index
- Help

Add New User

Title:

First Name:

Last Name:

SSN:

Mobile Phone:

Office Phone:

Office Address:

Zip Code:

City:

State:

Full Employment Status:

Employment Start:

* This page is under development. It will be available to all users in the system.
If you are not able to see this page, please contact your administrator.

Next Steps:
This page will require us need with further development to set up their account.
If the user is not visible, please contact your administrator.

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Fig 34

TEST AGENCY Logged in as: Joe Smith [My Account](#) [Log Off](#)

[DASHBOARD](#) [USERS](#) [FORMS](#) [SHARED](#) [REPORTS](#) [INBOX](#) [HELP](#)

Search for an Applicant

[View All Applicants](#)

First Name: Middle Name: Last Name: SSN (###-##-####): [Clear](#)

[Pending Assignment](#) [Assigned](#) [Suspended](#) [Completed](#)

Status	Applicant Name	SSN	Gender	Zip/Postal Code	Entered	Investigator	Questionnaires (?)
Assigned	Joe John Jackson	###-##-####	Male	98104	06/07/2011	Chris Smith	View

47/48

Fig 36

Position Questionnaires - Test Position 1

[Back to Positions](#)

Select questionnaires for this position	Positions
<input checked="" type="checkbox"/> Basic Information	Test Position 1
<input checked="" type="checkbox"/> Education	Test Position 1
<input checked="" type="checkbox"/> Residence	Test Position 1
<input checked="" type="checkbox"/> Employment	Test Position 1
<input checked="" type="checkbox"/> Applications With Other Agencies	Test Position 1
<input checked="" type="checkbox"/> Military	Test Position 1
<input checked="" type="checkbox"/> Financial	Test Position 1
<input checked="" type="checkbox"/> License Use	Test Position 1
<input checked="" type="checkbox"/> Legal	Test Position 1
<input checked="" type="checkbox"/> Motor Vehicle Operation	Test Position 1
<input checked="" type="checkbox"/> Use of Information Technology	Test Position 1
<input checked="" type="checkbox"/> References	Test Position 1
<input checked="" type="checkbox"/> Neighbors	Test Position 1
<input checked="" type="checkbox"/> Other Issues	Test Position 1

Fig 39

DASHBOARD USERS APPLICANTS DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

Agreements & Advisements Questionnaires Reference Documents Positions & Checklists Letter Templates

Setup Note: Checklists are used for managers to create a standard list of requirements for each background investigation for a certain position. Investigators check off the tasks you create as they conduct their investigation. First, create a position by clicking "Add New Position". When you have created the new position, click on "Manage Tasks". From the Manage Tasks screen you can list all the tasks the investigators need to complete for the specific position.


Position	Agreements & Advisements	Questionnaires	Checklists	Delete
Test Position 1	None	None	None	

Fig 40

Position Agreements & Advisements - Test Position 1

[Back to Positions](#)

[Add New Agreement](#)

Select Agreements & Advisements for this position

Positions

Select Agreements & Advisements for this position	Positions
<input type="checkbox"/> ELECTRONIC SIGNATURE AUTHORIZATION	Test Position 1
<input type="checkbox"/> ELOPH TERMS OF USE	Test Position 1
<input type="checkbox"/> WEDPH PRIVACY STATEMENT	Test Position 1
<input checked="" type="checkbox"/> LETTER FROM CHIEF (NAME HERE)	Test Position 1
<input checked="" type="checkbox"/> RESIGNATIONS	Test Position 1
<input checked="" type="checkbox"/> TEST 1	Test Position 1
<input checked="" type="checkbox"/> AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION	Test Position 1
<input checked="" type="checkbox"/> NOTICE TO APPLICANT	Test Position 1
<input checked="" type="checkbox"/> AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT	Test Position 1
<input type="checkbox"/> AUTHORIZATION TO USE YOUR SOCIAL SECURITY NUMBER	Test Position 1
<input checked="" type="checkbox"/> Test 2	Test Position 1
<input checked="" type="checkbox"/> Test 3	Test Position 1

Fig 41

NM TEST Peter Agency-Admin ? My Account Log Off

DASHBOARD USERS APPLICANTS DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Manage Tasks - Test Position 1

[Back to Positions](#) [Add]

* Task Name	Edit	Delete
1 Task Test 1	[Edit]	[Delete]
2 Task Test 2	[Edit]	[Delete]
3 Task Test 3	[Edit]	[Delete]
4 Task Test 4	[Edit]	[Delete]
5 Task Test 5	[Edit]	[Delete]

Fig 42

NM TEST Peter Agency-admin ? My Account Log Off

DASHBOARD USERS APPLICANTS DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Below you can manage the different documents used by your agency.

Agreements & Advertisements Questionnaires Reference Documents Positions & Checklists Letter Templates

Setup Note: Letter Templates allow you to create a premade agency-to-applicant letter that can accessed by all users of your agency. Create a Letter Template below and the template will become available to all users of your agency. To send a letter to an applicant, access the Applicant's Profile and click on the "Letters" tab. Users at your agency can use the templates shown below, or draft their own letter to the applicant. All letters are displayed on your agency's letterhead.

[Add]

Name (click to view/edit)	Preview	Delete
Conditional Offer of Employment	[Preview]	[Delete]
New Selection Notice	[Preview]	[Delete]
Reclassification Notice	[Preview]	[Delete]

Fig 43

Share Applicant Information

Select the documents and files you would like to share:

(Un)check all

Agreements & Advisements

- ELECTRONIC SIGNATURE AUTHORIZATION
- WSOPI TERMS OF USE
- WSOPI PRIVACY STATEMENT
- LETTER FROM CHIEF (NAME HERE)
- INSTRUCTIONS
- Text 1
- AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION
- NOTICE TO APPLICANT
- AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT
- Text 2
- Text 3

Applicant Questionnaires

- Education

Reference Documents

- Non-School
- School Questionnaire

Images

No Data Found.

Audio

No Data Found.

Videos

No Data Found.

Other

No Data Found.

Notes

All Notes



Fig 44

Share Applicant Information Externally

Recipient

Title: First Name: Last Name:

Recipient Address:

Phone Number: Mobile Number: Email:

Recipient's Agency or Company

Agency Name:

Agency Address:

Agency Phone:

Authorization Code:

The selected documents will only be viewable during the date range you set below:

From (mm/dd/yy): To (mm/dd/yy):

Type any message below you wish the recipient to see. Remember to give the recipient the authorization code you chose above. This will open the documents you are sending.



Shared Information

Check

Terms of Access of Applicant Information

You have received a link to access information related to a individual's background investigation. This information is private, sensitive and confidential and is the property of the sender. In consideration for permission to view this information, you must agree and comply with the following terms:

1. You must have signed permission from the individual who the information pertains to. The permission must specifically and clearly state you have permission to obtain and view the information.
2. Forwarding or moving the information is not a violation of any law, policy, agreement or term.
3. You must not print, save or electronically duplicate any part of the information unless specifically authorized by the sender.
4. The information will be kept confidential and secure from unauthorized or unpermitted access.

If you agree to each of these terms, you may enter the Access Code in the box below and proceed. If you do not agree to each of these terms, do not proceed and exit this screen now.

View Test

Applicant	Requested by	Information Base
<p>Name: Chris John Smith</p> <p>Date of Birth: 04/21/1960</p> <p>SSN: 444-44-4444</p> <p>Sex: M</p> <p>Available From: 11/11/2011</p> <p>Available To: 12/31/2011</p> <p>Access Code: 005100000</p>	<p>Name: Mr. Tyler Miller</p> <p>Address: 901 Post Avenue SE Helena, MT 59601</p> <p>Phone #: 406</p> <p>Email Address: tylermiller@montel.com</p> <p>Requester's Agency</p> <p>Name: Columbia County Sheriff's Office</p> <p>Address: 101 Post Avenue SE Helena, MT 59601</p> <p>Agency Phone #: (406) 266-4911</p>	<p>Applicant Questionnaires</p> <p>Basic Information</p> <p>Education</p> <p>Residence</p> <p>Employment</p> <p>Next of Kin/Other Address</p> <p>Military</p> <p>Financial</p> <p>Driver's Lic</p> <p>Motor Vehicle Operation</p> <p>Sex of Information Technology</p> <p>References</p> <p>Neighbors</p> <p>Other Issues</p> <p>Video</p> <p>EE Record Test</p> <p>EE Record Test, California EE for SE</p> <p>Applicant Profile Notes</p> <p>Nil Notes</p>

Fig 46

1. You must have signed permission from the individual who the information pertains to. This permission must specifically and clearly state you have permission to obtain and view the information.
 2. Processing or viewing the information is not a violation of any law, policy, agreement or term.
 3. You must not print, save or electronically duplicate any part of the information unless specifically authorized by the sender.
 4. The information will be kept confidential and secure from unauthorized or unqualified access.
- If you agree to each of these terms, you may enter the Access Code in the box below and proceed. If you do not agree to each of these terms, do not proceed and exit this screen now.

Sender's Remarks

This is a test test.

Applicant

Name: Chris John Smith
Date of Birth: 03/01/1980
SSN: 888-88-2222

Sex: M
Available From: 08/01/2010
Available to: 07/31/2011

Sender

Agency Name: NM 10017
Name: Peter Spencer@NM10017
Address: 901 First Avenue
 Williams, Oregon 97122
Phone #: (503) 542-2122
Email Address: spencer@nm10017.com

You May View the Following Files

- Applicant Questionnaires**
- Basic Information
 - Education
 - Residence
 - Employment
 - Associations With Other Agencies
 - Military
 - Financial
 - Sexual Abuse
 - Motor Vehicle Operation
 - Use of Information Technology
 - Relatives
 - References
 - Background
 - Other Issues
 - Basic Information
 - Education
 - Residence
 - Employment
 - Associations With Other Agencies
 - Military
 - Financial
 - Sexual Abuse
 - Motor Vehicle Operation
 - Use of Information Technology
 - Relatives
 - References
 - Other Issues
- Video**
- An Unsecured Test
 - An Unsecured Test, Questions 20 to 40

Fig 49

APPLICANTS: 479418714113088 1/200

Applicant Name:	Margita Patricia Kesselaar
Date of Birth:	01/12/1964
Sex:	F
Applicant No.:	479418714113088
Applicant Type:	Test Features 2
Address:	27504 St. Catherine Ave Orangeburg, Oregon 97133 United States
Phone #:	(503) 943-1212
Mobile #:	(503) 943-1212
Mobile #:	(503) 943-1212
Email:	dmk133@comcast.com

- Applicant Margita Kesselaar has been assigned to Tyler Miller 04/26/2010 08:27
- Applicant Margita Kesselaar has been assigned to Nija Inoué/Quinn 05/11/2010 11:45
- New Document/Design applied for Margita Kesselaar 05/25/2010 08:10
- New Document/Design applied for Margita Kesselaar 05/25/2010 08:12

Created:	04/26/10 08:27
Last agency review:	04/26/10 08:27
Last applicant login:	04/26/10 08:10
Registration Email:	dmk133@comcast.com

Assigned to: Tyler Miller
 Title: N/A
 Office Address: 27504 St. Catherine Ave
 Orangeburg, Oregon 97133
 United States
 Office #:

Office #:

Mobile #:

Email: tyler.miller@nasa.gov

Agreements & Submissions | Applicant Information | Reference Questionnaires | LS & User Records | Messages | Audio & Video | Other Documents | Letters

#	Name (click to view)	Review Status	% of 25 Completed	Notes
1	Basic Information	not reviewed	not completed	
2	Education	not reviewed	not completed	
3	Work Experience	not reviewed	not completed	
4	Employment	not reviewed	not completed	

Fig 50

Update Status and Assign User

Update Status: Pending Assignment

Assign User: Nija Inoué/Quinn

Save Cancel

Fig 51

Applicant Information

Applicant Name: Kayaba Nicole Woodard

Date of Birth: [REDACTED]

Sex: F

Applied For: Tech Position 2

Address: 12345 E. Colorado Ave
Tulsa, Oklahoma 74106

Phone: (918) 943-1212

Work: (918) 943-1212

Mobile: (918) 943-1212

Email: kayabawoodard@gmail.com

Alerts

- Applicant Kayaba Woodard has been assigned to Tech Office - 04/23/2012 12:02
- Applicant Kayaba Woodard has been assigned to Top Investigation - 03/21/2012 12:02
- New document/image added for Kayaba Woodard - 03/21/2012 09:54
- New document/image added for Kayaba Woodard - 03/21/2012 09:54

Status: Assigned - In Progress

Last update: 04/23/12 12:02

Last updated by: 943912 12:02

Registration Email: Tech 11147000

Assigned to: Tech Office

Office Address: 1234 E Street
Tulsa, Oklahoma 74102
United States

Office: 918-943-1200

Mobile: 918-943-1200

Email: Tech 11147000

Agreements & Acknowledgments Applicant Questionnaires Reference Questionnaires LE & Court Records Images Audio & Video Other Documents Letters

#	Name (click to view)	Review Status	# of 15 Completed	Notes
1	Basic Information	not reviewed	not completed	
2	Education	not reviewed	not completed	
3	Residence	not reviewed	not completed	
4	Employment	not reviewed	not completed	
5	Associations With Other Agencies	not reviewed	not completed	
6	Military	not reviewed	not completed	
7	Financial	not reviewed	not completed	
8	Driving Lic	not reviewed	not completed	
9	Legal	not reviewed	not completed	
10	Motor Vehicle Operation	not reviewed	not completed	
11	Use of Information Technology	not reviewed	not completed	
12	Relatives	not reviewed	not completed	
13	References	not reviewed	not completed	
14	Neighbors	not reviewed	not completed	
15	Other Data	not reviewed	not completed	

Fig 52

DASHBOARD **USERS** DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Task Check Off

Applicant: Raysha Marie Komfort (SSN: 888-88-1111)

Questionnaire Review Checklist Recommendation & Report Seal

Checklist

Task	Completed	Date Completed
1. Task Test 1	<input type="checkbox"/>	
2. Task Test 2	<input type="checkbox"/>	
3. Task Test 3	<input type="checkbox"/>	
4. Task Test 4	<input type="checkbox"/>	
5. Task Test 5	<input type="checkbox"/>	

* Task added after Applicant Profile was created.

Fig 53

Agreements & Assessments				Applicant Questionnaires		Reference Questionnaires		LE & Court Records		Images		Audio & Video		Other Documents		Letters	
0 of 20 Completed																	
Reference Type & Name																	
1 Family Member																	
<input type="checkbox"/> Gary [REDACTED] Add Note Relative/Family Questionnaire (Required File)																	
<input type="checkbox"/> Joel [REDACTED] Add Note Relative/Family Questionnaire (Required File)																	
<input type="checkbox"/> Barbara [REDACTED] Add Note Relative/Family Questionnaire (Required File)																	
<input type="checkbox"/> Melena [REDACTED] Add Note Relative/Family Questionnaire (Required File)																	
<input type="checkbox"/> Christopher [REDACTED] Add Note Relative/Family Questionnaire (Required File)																	
<input type="checkbox"/> Ashley [REDACTED] Add Note Relative/Family Questionnaire (Required File)																	
2 References																	
<input type="checkbox"/> Douglas [REDACTED] Add Note A... Personal Reference Questionnaire (Required File)																	
<input type="checkbox"/> John [REDACTED] Add Note B... Personal Reference Questionnaire (Required File)																	

Fig 54

Agreements & Assessments				Applicant Questionnaires		Reference Questionnaires		LE & Court Records		Images		Audio & Video		Other Documents		Letters	
0 of 26 Completed																	
Reference Type & Name																	
1 Family Member																	
2 References																	
3 Employer																	
4 Supervisors																	
0 of 26 Completed																	
Manually Added References																	
Type																	
No Data Found																	

Fig 55

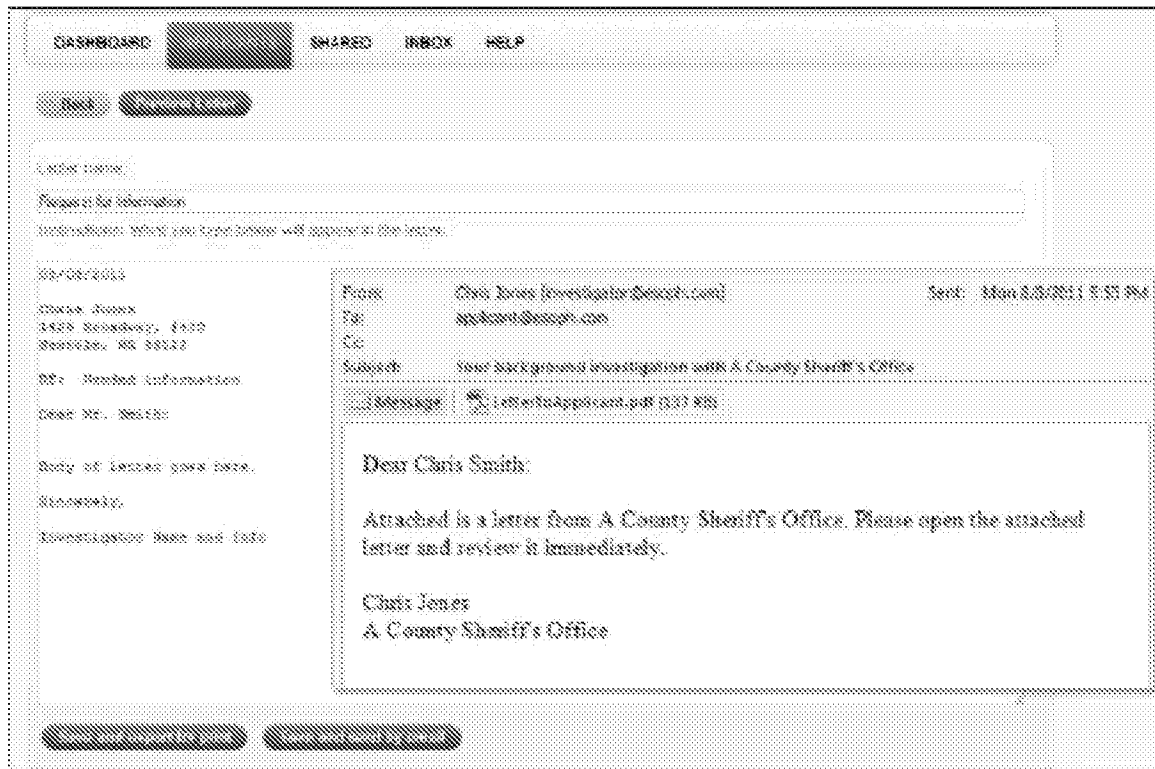


Fig. 36

Dashboard SHARED INBOX HELP

Applicant Information Edit

Applicant name: Chris John Smith
Date of Birth: 04/12/1980
Serial No. #: 000-000-0000
Applied for: Deputy Sheriff Trainee
Address: 1422 Broadway
 #401
 Seattle, Washington 98102
United States
Home #: (206) 335-1211
Work #: (206) 335-1212
Mobile #: (206) 335-1212
Email: ccsmith@starcas.com

Print In Progress
04/11 10:34
04/11 10:08

Print
112
04/11 09:37
United States
012 335-1211
0123 456-7890
Email: ccsmith@starcas.com

Author & Time Added Note

Chris Jones Applicant called to check the status of his background investigation. I advised him he needed to email or call his background investigator directly.
04/08/2011 17:25

Fig 57

Agreements & Acknowledgments		Applicant Questionnaires		Reference Questionnaires		LE & Court Records		Strategies		Aunts & Uncles		Other Documents		Letters	
Address Type				Law Enforcement Agencies				Courts							
Applicant Addresses				Print Documents		Print Documents		Print Documents		Print Documents		Search Agencies		Search Courts	
Applicant Addresses 1234 Beverly Blvd Los Angeles, California 90024				Beverly Hills Police Department 484 N Beverly Dr Beverly Hills, CA 90210		Beverly Hills Police Department 484 N Beverly Dr Beverly Hills, CA 90210		West Los Angeles Municipal Court 1633 Pender Ave Los Angeles, CA 90025		West Los Angeles Municipal Court 1633 Pender Ave Los Angeles, CA 90025		National Document Download Document		National Document Download Document	
				National Document Download Document		National Document Download Document		National Document Download Document		National Document Download Document		Search Agencies Manual Search		Search Courts Manual Search	
References															
Employer															
Big Apple Computers															
Street Address 1234 Sunset Blvd Los Angeles, CA 90024				Vanuys Police Department 4305 S Santa Fe Ave Los Angeles, CA 90010 323-5475171				Los Angeles County Municipal 334 S Peabody Ave Los Angeles, CA 90022 323-7802025				Los Angeles County Municipal 334 S Peabody Ave Los Angeles, CA 90022 323-7802025			
				National Document Download Document				National Document Download Document				National Document Download Document			
				Search Agencies Manual Search				Search Agencies Manual Search				Search Courts Manual Search			
Supervisors															
Robert Miller															
Home Address 1234 Main St Los Angeles, CA 90023				La County Sheriff's Department 2015 S 4th St Los Angeles, CA 90022				Huntington Park Superior Court 4040 Main Ave Huntington Park, CA 90025 323-5849211				Huntington Park Superior Court 4040 Main Ave Huntington Park, CA 90025 323-5849211			
				National Document Download Document				National Document Download Document				National Document Download Document			
				Search Agencies Manual Search				Search Agencies Manual Search				Search Courts Manual Search			

Fig. 58

Back to Profile:

Questionnaire:

Questionnaires

1. Basic Information
2. Education
3. Employment
4. Qualifications, BPS, Other
5. Activities
6. Military
7. Financial
8. Group Life
9. Legal
10. Home, Vehicle, Operation
11. Line of Information
12. References

Questionnaire: Basic Information

Below you will provide basic, personal information about yourself. Review these questions carefully and provide complete, accurate responses. If you need clarification on any question, or have any questions, contact your assigned background investigator.

Add a note to this Questionnaire: Add Another Note

Not Notes Found.

Full Name: (First, middle, last)

Christopher John Smith

Add Note/Remark: Reviewed

Have you ever been known by ANY nickname(s) or aliases?

No

Yes

Add Note/Remark: Reviewed

List all nicknames and aliases below:

Chris Smith

Add Note/Remark: Mark as Reviewed

* Applicant states he mainly goes by "Chris".

Do you have any scars, marks or tattoos?

No

Fig 60

[DASHBOARD](#)
[SHARED](#)
[INBOX](#)
[HELP](#)

Update Status / Add Notes

Applicant: Chris John Smith (SSN: 888-88-3333)

[Questionnaire Review](#)
[Task Checklist](#)
[Recommendation & Report](#)
[Send](#)

Add Closing Notes

[Track my step](#)

My Recommendation:

Update Status?

Select the most appropriate status for this applicant:

Update (Status):

Assign User:

Close out this investigation

Remarks / Report:

Status is updated as needed above, notes are written here, etc. All notes entered in here will also show up in the Applicant Profile's main notes section.

Fig 61

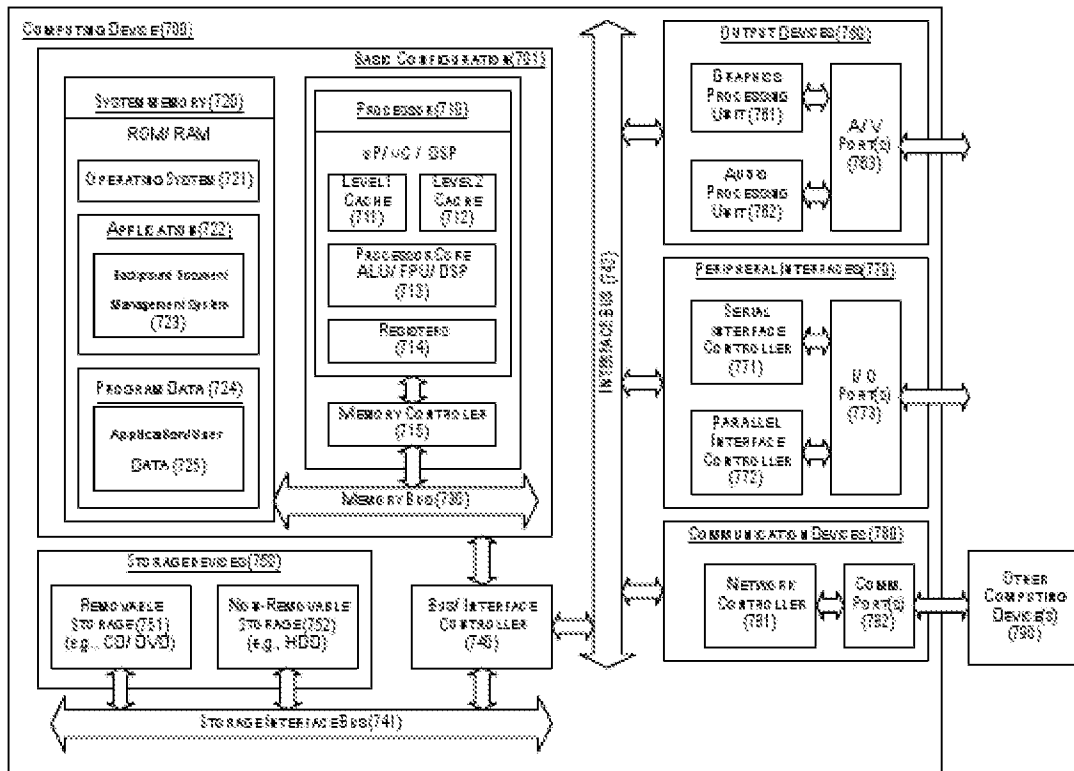


Fig 62

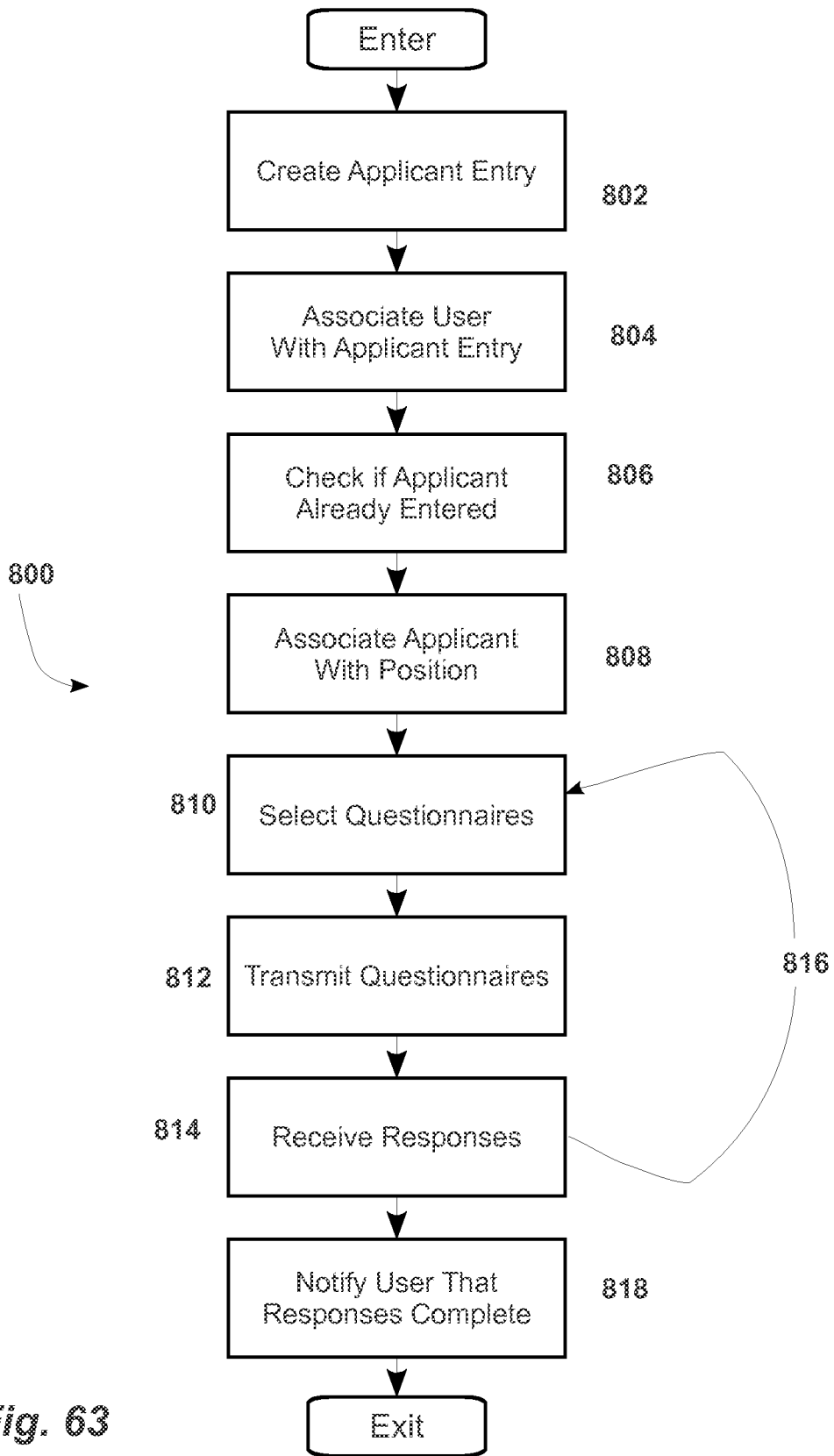


Fig. 63

BACKGROUND INVESTIGATION MANAGEMENT SERVICE

RELATED APPLICATIONS

This application claims priority to and the benefit of previously filed and co-pending
5 provisional Patent Application No. 61/472,556, entitled Background Investigation Web Services,
filed on April 6, 2011, which is hereby incorporated by reference for all purposes.

TECHNICAL FIELD

The subject matter generally relates to a system to facilitate the process of performing
background investigations on a plurality of applicants.

10 BACKGROUND INFORMATION

In many areas, but particularly in the area of law-enforcement pre-employment
background investigations, investigators report they spend, on average, 40 hours per applicant
investigation. During this process, the applicant typically completes a paper packet comprised of
questions pertaining to the applicant's life history, including information on criminal activity,
15 financial history, drug history, listing relatives and personal references, employment history, and
many other in-depth personal questions. The applicant typically submits this packet to the
background investigator along with waivers and permissions (Agreements and Advisements) to
conduct a background investigation. The investigator typically uses resources available to him
or her to confirm the information the applicant provided in the various documents, to include,
20 contacting past employers, supervisors, neighbors, relatives, references, landlords, etc., which
makes up the bulk of the investigator's 40 hours per applicant of spent time.

What has eluded the industry is an automated system to help a background investigator
more efficiently and effectively conduct a background investigation.

BRIEF DESCRIPTION OF THE DRAWINGS

25 The subject matter of this patent will become more readily appreciated and better
understood by reference to the following detailed description, when taken in conjunction with the
accompanying drawings, wherein:

Figure 1 is a functional block diagram generally illustrating core components of a
background investigation management system in accordance with one illustrative embodiment of
30 the invention.

Figure 2 is a screen display of an account information page.

Figure 3 is a screen display of a page on which content for a reference type is managed.

Figure 4 is a screen display showing different reference types that can be selected to manage associated content.

5 Figure 5 is a screen display of an edit mode in building/editing questionnaires/forms within the system.

Figure 6 is a screen display of a page that lists different questionnaires/forms, who they are available for, and what position the questionnaire/form is presently assigned to.

10 Figure 7 is a screen display of a currently logged in user's My Account page where their account information can be edited.

Figure 8 is a screen display of the edit mode of a form within the Agreements & Advisements section of the system, and certain properties that can be selected for it.

Figure 9 is a screen display of a page showing documents under Agreements & Advisements, and their status.

15 Figure 10 is a screen display of an account editing function of the system wherein account-specific information for an account on the system may be edited.

Figure 11 is a screen display of a page where accounts entered on the system can be viewed, along with their associated account information.

20 Figure 12 is a screen display of a "dashboard" of an administrative user, wherein information about entered accounts and information requests is displayed.

Figure 13 is a screen display of a page where an applicant can upload and manage documents in their account "Applicant Profile."

25

Figure 14 is a screen display of a fill-able questionnaire/form where an applicant types in responses to questions.

Figure 15 is a screen display of a page where questionnaire documents selected for an applicant appear for the applicant to open and complete.

30 Figure 16 is a screen display of a document ("Agreement & Advisement"), showing different methods in which an applicant acknowledges the document.

Figure 17 is a screen display of part of a document (“Agreement & Advisement”), showing the agency user’s contact info who has been assigned to the applicant and the documents title.

5

Figure 18 is a screen display of a registration email sent to an applicant inviting them to click on a link to enter the system for the first time.

Figure 19 is a screen display of an account editing function within the system wherein the user can edit their account information.

10

Figure 20 is a screen display of an inbox feature showing a user their messages and alerts received related to applicants assigned, or messages received with edit functionality.

Figure 21 is a screen display of “By Position” data the system may generate based on other data and use within an account.

15

Figure 22 is a screen display of “General” data the system may generate based on other data and use within an account.

Figure 23 is a screen display that shows a record of “shared” information and related information such as SSN, Viewable dates, Recipient, and other a link to additional details.

20

Figure 24 is a screen display showing a page to generate template letters with HTML and other codes that the agency uses to send to applicants.

Figure 25 is a screen display showing a page where documents can be associated with a certain type of reference.

Figure 26 is a screen display showing different reference types the system supports.

25

Figure 27 is a screen display showing a page where questionnaires and forms can be built or edited for use with applicants.

Figure 28 is a screen display showing the initial properties setup of a new questionnaire/form.

Figure 29 are two screen displays showing and edit mode of a questionnaire/form and a preview mode of the same questionnaire/form.

30

Figure 30 is a screen display showing a page for building questionnaires using drag and drop functionality.

Figure 31 is a screen display of questionnaires in an account with certain functionality associated to them such as edit, preview and delete.

Figure 32 is another screen display of a document in edit mode where an agency can write certain content and select how the applicant acknowledges it.

5

Figure 33 is a screen display of a page where different types of documents can be managed from with a display of their title, status and preview option.

Figure 34 is a screen display of a page for adding a new agency user into an agency's account on the system.

10

Figure 35 is a screen display of a page to allow entering applicant's into the account on the system.

15 Figure 36 is a screen display of a page to assign applicant entries into different categories such as Pending Assignment, Assigned, Suspended and Completed.

Figure 37 is a screen display of a page to show important account and system information.

20 Figure 38 is a screen display of a page to display and manage certain documents and related functions intended to be sent to and used by applicants.

Figure 39 is a screen display of a page for assigning questionnaires to a position.

Figure 40 is a screen display of a page to allow management of documents and task checklists for a position within an account.

25 Figure 41 is a screen display of a page for assigning documents/Agreements and Advisements to one or more positions.

Figure 42 is a screen display of a page to allow the creation and edit of a task checklist related to a position within an account.

30 Figure 43 is a screen display of the system's functionality to allow the creation and management of saved/letter templates which can be used by any agency user of the system after created.

Figure 44 is a screen display of the system's functionality to allow a user to select information from an applicant's profile to be viewable to an invited external individual.

Figure 45 is a screen display of the system's functionality to establish who can view information from a certain applicant's profile, along with authorization code and link expiration
5 time frame.

Figure 46 is a screen display of the system's functionality to reproduce detailed information on previous detail of shared information.

Figure 47 is a screen display of the system's functionality to produce basic information on previous, certain detail of shared information

10 Figure 48 is a screen display of the system's functionality to send a link and other content via email notifying a third party of their invitation to view information they had requested about an applicant.

Figure 49 is a screen display of the system's functionality to display selected information
15 to the recipient who has given access to such information by the sending agency.

Figures 50 - 61 are screen displays of additional components implementing embodiments of the software system.

Figure 62 is a block diagram illustrating an example computing device that may be used
20 to implement one or more components of the illustrative software system, in accordance with the present disclosure

Figure 63 is an operational flow diagram generally illustrating a process that may be implemented by various embodiments of the background investigation management system.

DETAILED DESCRIPTION OF EMBODIMENTS

25 Various embodiments of the subject matter provide an automated system for organizing, managing, and reporting on pre-employment background investigations. Generally stated, the subject matter is directed to a web based software system for managing the process of performing pre-employment background investigations. Although described here as web based, other embodiments may be implemented that are not web based.

30 Referring now to Figure 1, a software system 100 allows an organization 102 the ability to create and customize electronic documents 104 to be sent to applicants to complete via the

software system 100, and returned to the software system 100 in similar fashion. The software system 100 includes a document creation component 114 and a document management component 116. The system 100 automates the majority of the tasks of a common pre-employment background investigation so that fewer hardcopy documents are necessary, thus
5 creating more efficient management of individual background investigations. One feature among many is the electronic sharing of applicant information 124 between organizations (e.g., Org A 102 and Org B 111) so the software system 100 may alert an organizational user (Org A 102) that an applicant 120 has already been entered into the system by another organizational user (Org B 111) of the software system 100. For example, among other types of information
10 shared, organizations can be alerted if an applicant 120 was previously entered into the software system 100 by other organizations that use the software system 100. In that way, the second organization would have access to applicant information 125 about the applicant 120 that had been previously compiled, thus avoiding duplication of effort.

The software system 100 not only allows organizations to create 114 and manage 116
15 documents 104 used for background investigations, but included in this subject matter, the system 100 also automatically processes information entered in the documents to save organizations time and allow quicker turnaround of the background investigation.

The subject matter is anticipated to save organizations time and other costly resources. Organizations are given tools and resources that previously were not available to them without
20 this software system.

Generally stated, the technical functions and features of the described system are initiated when a remote terminal communicates with a central computer (server) via the Internet or other network , such as an internal network, communicate with one another using the software system. A verified and authenticated connection is made between the central computer and the remote
25 computer once the individual user's credentials are entered into login field(s) and then validated by the central computer, via the software system 100.

Organizational user accounts are created when a main master admin account (Personnel) user creates an admin account for a specific user group (customer's user group). The admin account for the user group is created when the Main Master Admin (Personnel) Account logs in
30 and connects to the central computer via the remote computer and enters an email address and

the customer's information. The user group admin account can add, edit, or delete (manage) other users within that user group. Once the connection is made, the connection is valid and features below will function provided the connection is maintained. If a pre-set amount of time passes without any activity on the remote terminal end, the application will terminate (session
5 time out) the connection of the two computers and the user re-login. The software system 100 offers operative functionality to remote terminals (users) after successful connection to the central computer. This functionality is available when the remote terminal makes an authenticated connection with the central computer (server) via a network 101, such as the Internet.

10 Specific functionality of one illustrative embodiment of the system will now be described with reference to several exemplary components which may be incorporated into one or more exemplary embodiments. Each of the following components and features may be implemented using software methods and processes executing on one or more computing systems, such as the illustrative computing system shown in Figure 50 and described below. These exemplary
15 components are not presented as being an exhaustive list, as the system 100 may implement other components in addition to these. Still further, certain of the following components may be omitted from the larger system without deviating in any material way from the scope and teachings of the core system 100.

Applicant Electronic Signature: (Figs. 32 , , 33 , 16 , 17 , , 9 , 38 , 41) Upon the
20 applicant's registration process (first log in), the software system prompts the applicant to adopt an electronic signature. This is one of the first Agreements and Advisements (see the following "Agreements & Advisements" section) the applicant reviews and acknowledges during their first software session. The software system auto generates an electronic signature and displays it to the applicant. The applicant can agree to use the system suggested electronic signature, or not
25 agree to the signature.

Agreement and Advisements: (Figs. 3 , 9 , 8 , 16 , 17 , , 25 , 32 , , 33 , 38 , 40 , 41 ,
44) Organization users can establish documents they wish an applicant to review and acknowledge the first time they log into the software. An applicant is sent an email with an invitation type message to let them know they have been selected to take part in a background

investigation. They click on a link exclusive for them which take them into the software system. The first screen they see is a place to establish a private password and proceed.

When the applicant proceeds, they are routed to the first documents (Agreement or Advisement) the organization has selected for them to review. The content of the Agreements and Advisements documents can be anything the organization has imputed. The organization also chooses how they would like the applicant to acknowledge (certify/sign) the document. This can include the electronic signature the applicant has agreed to use, social security number (or any part of it), or initials. When certification fields that are required by the organization have been completed by the applicant for that specific document, the applicant can click a Proceed button which takes the applicant to the next Agreement and Advisement document (if one exists). An Agreement or Advisement document can also be set to "Hardcopy Submit" by the organization. This will cause a Print button to appear at the bottom of the page in addition to the Proceed button. If Hardcopy Submit is activated for that particular Agreement or Advisement document, the applicant will not see any way to certify the document online, and he or she print the document and follow instructions the organization has included in the body of the document.

Organization users control the different properties of the Agreements and Advisement documents by accessing their user dashboard, clicking on an Agreement and Advisements folder, and then selecting on the individual document they would like to edit.

Form / Questionnaire Builder: (Figs. 28 , 29 , 31 , 27 , 30 , 5) The software system includes a form builder. This feature allows users at an organization to build questionnaires (forms) with questions and choose various styles of answers an applicant can give in response to a question. Text boxes for applicant responses can be set to expand as the applicant types. If an applicant answers a certain way (in example, the applicant answers "yes" to a yes or no question), the form builder can be set to ask additional sub questions based on the applicant's response. This eliminates the need for the applicant to see multiple questions that may not apply to the applicant's situation due to the applicant's previous response. Questions on any existing questionnaire can easily be edited or deleted at any time, even after the questionnaire is saved. There is no limit on the number of questionnaires that can be built. Questions can be programmed so that a certain response to a question creates a "flag" to draw the any reviewer's attention to that particular question. The software system also features a drag and drop feature

that allows the users to arrange questionnaires as they would like to see them. How they are arranged is also the order they are presented to the applicant.

Dashboard: (Figs , 37) Each user of the software system is routed to a user dashboard once their login credentials are authenticated with the central computer (server). In this
5 embodiment, there are 6 types of dashboards: Admin dashboard, Agency Admin dashboard, Agency User dashboard, Applicant dashboard, Image Processor dashboard, and Administrative Agency dashboard. The system knows what dashboard to give a new user based on their account type, which is selected when the user is first entered into the software system. Each dashboard is programmed to display information specific to the type of user's needs and the job they are
10 tasked with completing. On the dashboard page (and every other page) there is a menu bar at top where different pages of the software system can be accessed. The dashboard has a number view of applicants and their current status, an inbox with a number of most recent alerts and messages, a calendar display with upcoming appointments and controls for appointments, a summary of sharing activity, contact information for help, alert settings, and the agency's image and license
15 information. From the dashboard, the user can access even more in-depth information, such as alerts and images, by clicking on the inbox link, which will route the user to main inbox page with the user's alerts with further ability to control the inbox functionality.

Managing Users: (Fig. 34 , ,) An Admin account for each organization is created at the time the organization's account is created within the software system. This main admin account
20 at the organization can create additional admin accounts at the agency, or regular user accounts within the organization by accessing a "Users" page within the software system and completing questions related to adding a new user. The admin users can update, delete, or suspend any regular users within the organization. Admin users can be updated, deleted, or suspended by the main admin account. The main admin account can be edited by a representative of a company
25 that administers the software system.

User Electronic Signature: Upon entering a user into the software system, an electronic signature can be uploaded for that user. The system is able to save the signature for a specific member so signatures are always associated with a specific login. The user is therefore able to insert their electronic signature in any document they generate on the software system. This
30 feature was originally designed for the user to insert their signature during the creation of letters

to external sources which may be contacted as part of an applicant's background investigation process.

Entering Applicants: (Figs. 35 , , 36) Any user at an organization can enter new applicants into the software system. To do this, the user clicks on "Applicants" and then clicks a
5 button that functions to bring up various fields which are required to enter a new applicant into the system (Such as names, date of birth, social security number, address, phone numbers, position applying for, etc). Upon entering the applicant's name and other information into the system, the system performs a check of the central computer (server) to see if the applicant has
10 match, the system produces information including the other agency's information (name, contact info, point of contact, etc.), and also what position the applicant applied for and a brief summary of the applicant's current status with the agency. When an applicant is entered into the system, the applicant is suitably put in a Pending Assignment status or assigned to one of the User's at the organization. When assigned to a user, the user will receive an alert to their dashboard inbox
15 and their external email (if activated).

Managing Applicants: (Figs. 36 , 37) Each user at an organization can view the status of applicants the agency has entered into the software system via their user dashboard. The applicants are presented by their current status, including applicants that are: "Pending Assignment" (entered into the software system but pending assignment to an organization's user
20 for investigation), "Assigned" (currently assigned to a user at the organization), "Suspended" (a user at the organization as temporarily suspended the investigation), "Completed" (the applicant's background investigation has been completed by the organization).

Applicant Status: (Figs. 36 , 37 , 50 , 51) Applicant's status is always displayed on their Applicant Profile where applicants are displayed in the system. Statuses include, but are
25 not limited to: Pending Assignment, Assigned, Suspended, Completed, Hired, Conditional Job Offer, Admin Review, Not Selected – eligible to reapply, Not selected – ineligible to reapply, Appeal, Reopened.

Any user at an organization can access the list of applicants from the users dashboard view and update the status of an applicant. The status can also be updated from an organization
30 user accessing the Applicant's Profile.

Investigation Management: (Fig. 52) Users can access an Applicant's Profile and view the status of the investigation by checking the files within the Applicant's Profile. One file contains the questionnaires and forms the applicant has been assigned by the organization to complete. When an applicant completes one questionnaire, the organization's user can see the
5 date and time it was completed.

Positions: (Figs. 39 , 40 , 41) Organization users can create positions they conduct background investigations for within their organizations. This feature allows the organization users to select Agreements and Advisements, questionnaires, and other documents specific for a position to be saved under a position name. For example, these documents could be selected for
10 the "Confidential Secretary" position. When a new applicant is entered into the software system for the first time, this feature allows expedited assignment of requirements (documents, etc) for that position by simply assigning the position name to the newly entered applicant, opposed to having to select each individual document for the applicant to complete; requirements are saved under the position!

Checklists: (Figs. 42 , 53) Checklists is a feature in the software system which allows organization users to establish a check off list of tasks/duties associated with each applicant's background investigation, based on the position. This checklist feature is to ensure the organization user (background investigator) is completing each and every task or duty required by management or supervisors for the type of position the applicant has applied for. This
15 ensures no steps are missed in an applicant's background investigation.

Alerts: (Figs. 20 , 37 , 50) When an applicant is assigned to a user at the organization, that user is able to select if they would like to receive alerts regarding activity relating to the applicant from the software system. Alerts include: an alert showing date and time an applicant logged into the software system, when the applicant has completed certain documents or other
20 requirements assigned to them, when a reference returns a questionnaire, when a note is added to an assigned applicant's profile, and when an applicant is assigned to a user at the organization.

An alert is also sent to the user at the organization if another, separate organization enters the applicant into the software system, as long as the first organization has not yet completed the applicant's investigation.

Reference Management: (Figs. 3 , 4 , 25 , 54 , 55) The software system uses the names, addresses, email addresses and phone numbers applicants supply from the questionnaires in the software system to build a reference file within the Applicant's Profile. Here, the system displays reference sources (names and info) to include relatives, employers, supervisors, 5 co-workers, neighbors, and personal references. The software system allows the user at an organization to access this file and print a cover letter, a questionnaire, and select any Agreements and Advisement to include, which will print grouped together and be addressed to the correct reference. A second print button will also print the address on envelopes.

If an email address was provided for a reference source, the organization's user can select 10 how to mail the reference documents to the individual (by email, or by mail, or by both). If by email, the reference receives an email with a link to log into the software system. Here the reference is presented with the documents the organization has selected them to see and complete. When the reference is done, they can save the questionnaire and come back to it later to add more info, or they can send it back to the organization. When the reference has submitted 15 their documents, the user assigned to the applicant's background investigation at the organization receives an alert.

The content of documents sent to references is controllable by the organization's user through the Forms page, and through the Reference Documents file within an Applicant's Profile.

An organization user can add notes under any reference name within this file. This is 20 helpful if the organization user has to contact the reference by phone. The user can take notes as they speak to the reference source on the phone.

The organization user can also add a new reference (name, address, email, phone numbers, relationship, etc.) to the file that was not included in the applicant's Responses.

Mailed or emailed references can be programmed so that if a reference is not received 25 back within a set amount of time (Days), the system prompts an alert to the organization user assigned to the investigation indicating no response received for the specific reference. A "Resend" button appears (for email references), "Dismiss," or a set a new flag, which allows the user to set a new date and time to remind the user about the reference at a later time. The organization's admin account sets the number of days that have to pass before an alert flag is

produced to the assigned user at the organization who is conducting the investigation, for the first flag.

Inbox: (Fig. 20) Each software system user (including applicants) has an inbox on their user dashboard. This inbox collects the incoming alerts and messages related to each user and displays them to the user in an inbox section on the user's dashboard, and through an inbox page, which is accessible via a link in the dashboard's inbox or via the main menu bar.

Messaging System: An investigator can send a message to an applicant or any of the organization's users by clicking a "Compose Message" button and selecting the name of the user or applicant on the software system. If an organization's user accesses an applicant's profile and then clicks a "send message" or similarly named button, the message will be sent to that applicant and the message is added to a "messages" folder within the applicant's profile. When a message is opened by an applicant, it is noted next to the actual message in the Organization's user's sent mail folder. The purpose of the messages folder is so that any hiring authority conducting a review of the investigation can look back over communication between the applicant and the organization's user(s). It also helps to create an official, undisputable record of communication between the applicant and organization users.

Organization To Applicant Letter: (Figs. 43 , , 56) A feature of the software system allows a user at the organization to send an official letter to the applicant (more formal than the email type messaging listed above). This letter appears on the organization's pre-loaded letter head. The system allows the letterhead to be sent electronically through the system to the applicant, or printed, with an envelope, and mail to the applicant. If sent electronically, the system notifies the applicant on their dashboard the letter was received in the inbox (or via the inbox page). The applicant can open and review the letter and print it, if they decide. An external notification about the letter is also sent to the applicant's external email address on file with the software system.

The system stores letters sent to the applicant in the Applicant's Profile in a designated file for any future reference.

Electronic Notes: (Fig. 57) The software system includes an electronic note section within each Applicant's Profile. Here, any organization user can type a note/comment which is related to the applicant. The note is stamped by the system with the date and time it was added,

and the user's full name who added the note. When a note is added, the user at the organization who is assigned to the Applicant's background investigation receives an alert on their dashboard (and inbox page) and/or to external email address (if the user has External Notifications feature turned on/activated).

5 **Address Locator:** (Figs. 58 , 59) The software system contains a feature that will retrieve law enforcement and court names, addresses and phone numbers for a pre-defined radius around the applicant's past and current addresses, and those addresses of the applicant's employer's and relatives.

10 The system does this by taking the address information the applicant provided on questionnaires he or she submitted to the organization via the software system. The system then conducts a search using an Internet search engine for agencies and courts around the selected address. A list of agencies and courts is presented to the user at which time the organization user selects which agencies and courts the organization will send reference letters and requests for records checks to. The user can also edit the address in case of any system mistake.

15 A print button next to each selected agency will print a cover letter to the agency, a questionnaire with questions for the agency or court to complete and any of the applicant's Agreements and Advisements that are selected to include in the mailing. A second print button will print the envelope for the agency or court. Both the cover letter and the envelope auto print with the correct name and address for the selected agencies and courts, individually, or a Print
20 All feature will print selected with two clicks (one click for documents, one click for envelopes).

Document Upload: (Fig. 13) The software system has a feature that allows a user to upload any hardcopy document into a specific location within an Applicant's Profile. The user does this by first logging into the software system, selecting the applicable applicant and then clicking on the location within the Applicant's profile where the document is to be uploaded.
25 The software system allows the user to type information about the document such as its name, details, etc. The system also logs and displays the date and time the document was uploaded. If a document is uploaded to an Applicant's Profile, the user assigned to the applicant's investigation receives a notification on their dashboard (and inbox page), and an external notification to the email address on file in the software system for the particular user (if the
30 external notification option is turned on/activated).

Answer Review: (Fig. 60) Organization users can review an applicant's answers to questionnaires and other documents by accessing the applicant's profile, and clicking on the folder with the documents they wish to review. The organization user reviewing the documents can add a note to each of the applicant's Responses, which (the note) is viewable to the organization. As the organization user reviews each response in a document, the system allows a check off feature next to each question to ensure applicant responses are reviewed.

Electronic Summary Report: (Fig. 61) The software system allows the organization user conducting an applicant's background investigation to write a report when they have completed their investigation. This report is written inside a file within the Applicant's Profile and then saved. The system auto dates and time stamps the entry and also the name of the user writing the report.

Electronic Review: (Fig. 51) The software system allows organization users to send an applicant's profile back and forth to one another for review and comment. This feature is designed to allow supervisors and managers the ability to receive a notification on their user dashboard and/or external email address that an Applicant Profile is ready for their review. The user can open the Applicant Profile, review information contained in the Applicant Profile and then note their recommendation within the Applicant Profile notes section, then route the Applicant Profile to another organization user within the software system, or send it to an external email address for review.

Information Sharing: (Figs. 44 , 45 , 46 , 47 , 48 , , 49) The software system contains a feature allowing organizations to select specific information from an Applicant's Profile to send to a third party. Upon selecting information from an individual's Applicant Profile, the organization's user is given a form to complete with the software system to include the name of the individual the information is being sent to, their organization's name, contact info, and a set a password that allows the information to be opened. A time frame can also be set to establish within what dates the information can be viewed.

The receiving individual receives an email with a link to the software system. Here, the receiving party is given a warning that the information they are receiving is confidential and can be accessed, viewed, or distributed in accordance with their agreement with the sender. If the receiver agrees to this, they enter the password the sender gave them to access the information.

The system will then allow the receiving party to view the information the sender selected for them to view.

Export Information: (Figs. 13 , 50 , 62) Text information that is part of an Applicant's Profile is exportable to PDF, and therefore savable/printable by the organization on a drive of
5 their choice. When the Applicant's Profile is accessed by the organization user, there is an Export feature/button that will export documents in the Applicant's Profile into a PDF file. Audio and/or video files can be exported by clicking on the file folder the desired files are in and downloading them to the source of the user's choice.

Re-Open an investigation: (Fig. 51) An applicant's investigation can be reopened by
10 going to the Applicant's Profile and updating the status to Reopen or "Appeal." Either status will reopen the investigation so it can be assigned to a user at the organization for further processing per that organization's policy. Features noted herein are reactivated during a reopened investigation.

Flag an Applicant: This feature allows organizations to create a flag on an applicant
15 they have entered into the software system. The flag is used to note specific information about the applicant which the organization has deemed important for other organizations to know about. Other organizations can see the flag if they enter the same applicant into the software system.

Administrative Agency Account: Each state has a state regulatory agency which
20 generally oversees the standards for background investigations of law enforcement officers and other public safety related positions. Some of these agencies inspect organization's files to make sure their background files contain the required, on-file information about the applicant's background investigation. The Administrative Agency Account feature allows and Organization's admin account to create an "Administrative Agency Account," which gives an
25 external user access to that organization's background files. The Administrative Agency Account is selectively limited for reviewing information for that specific organization during a specified time frame. The Agency Admin account at the organization has the ability to edit this account, including suspending it or deleting it.

Session Timeout: The admin user at an organization can set the time for session time
30 out timers for a user who is logged in to the software system. The set time will apply to users

within that Organization's user group. The selectable time may be 1 to 120 minutes, or no session time out.

Admin Messages: Users can send out message from the control panel/dashboard. These messages will go to every user on the system's inbox on their dashboard and inbox page. These
5 messages will be used to announce enhancements or any message that is applicable for users on the software system to receive.

Organization List: This feature is a button located on the dashboard and/or menu bar of each user (except applicant). If clicked, the system produces a list of agencies (who wish to be known) so the other organizations can see the network of users. This helps with information
10 sharing.

Report a problem: This feature places a button on users' dashboard (except applicants). If clicked, it produces a form that can be completed to tell an admin about a problem the user encountered with the software system. Upon clicking send, the information is transmitted to admin personnel in the form of an email to any designated email address(es).

Account Manager: (Fig. 37) This feature allows admin to input an account manager for each organization, which the information imputed displays on the dashboard of users at the organization. This information includes the account manager's name, phone numbers, and email address. This allows any organization user who is having problems a quick reference of who
15 their account manager is and the ways to contact the account manager.

System Access: (Figs. 2, 10 ,) The admin can set the access limitations for each organization's use. This includes the number of the applicants the organization can enter into the system within a specified date range. If the organization attempts to enter an applicant into the software system and it's outside the parameters set by the admin, the organization's user will be informed to contact the managing company that manages the software system to arrange for
20 additional system access. Organizations can view and access information for applicants which they have previously entered into the software system.

Reports: (Fig. 21) Reports for organizations include the following parameters: By Position (allows organization personnel to see reports on the number of applicants approved, suspended, Not Selected – eligible to reapply, Not Selected – ineligible to reapply).

General reports include the following parameters: By age range, by ethnic origin, gender and by agency user. The categories for each of the above is: Pending Assignment, Assigned, approved, suspended, Not Selected – eligible to reapply, Not Selected – ineligible to reapply and the average time of an investigation for each of these parameters. Users can also specify a date range to search.

On the company control panel/dashboard, the following reports are features of the software system, for each Account in the system: Active From (date), Active Through (date), Applicants entries allowed, Applicants entered into the system to date, Remaining number of applicant entries, and number of users at the user organization.

Help Pages: Help content is available to each user on the system by clicking on the "Help" button on the menu bar while the user is logged in. The system produces a page of help content. The help content is specific to the type of user (Admin, User, and Applicant). The help content is changeable through the control panel/dashboard.

While the preferred embodiment of the subject matter has been illustrated and described, it will be appreciated that various changes can be made therein without departing from the spirit and scope of the subject matter.

Figure 62 is a block diagram illustrating an example computing device 700 that may be used to implement one or more embodiments of the software system 100, in accordance with the present disclosure. In a very basic configuration 701, computing device 700 typically includes one or more processors 710 and system memory 720. A memory bus 730 can be used for communicating between the processor 710 and the system memory 720.

Depending on the desired configuration, processor 710 can be of any type including but not limited to a microprocessor (μ P), a microcontroller (μ C), a digital signal processor (DSP), or any combination thereof. Processor 710 can include one more levels of caching, such as a level one cache 711 and a level two cache 712, a processor core 713, and registers 714. The processor core 713 can include an arithmetic logic unit (ALU), a floating point unit (FPU), a digital signal processing core (DSP Core), or any combination thereof. A memory controller 715 can also be used with the processor 710, or in some implementations the memory controller 715 can be an internal part of the processor 710.

Depending on the desired configuration, the system memory 720 can be of any type including but not limited to volatile memory (such as RAM), non-volatile memory (such as ROM, flash memory, etc.) or any combination thereof. System memory 720 typically includes an operating system 721, one or more applications 722, and program data 724. Application 722
5 may include background document management software system 723, in accordance with the present disclosure. Program Data 724 may include applicant or organizational data 725 that may be useful as has been further described above. In some embodiments, application 722 can be arranged to operate with program data 724 on an operating system 721 such that operation of a system may be facilitated on general purpose computers. This described basic configuration is
10 illustrated in Figure 50 by those components within line 701.

Computing device 700 can have additional features or functionality, and additional interfaces to facilitate communications between the basic configuration 701 and any required devices and interfaces. For example, a bus/interface controller 740 can be used to facilitate communications between the basic configuration 701 and one or more data storage devices 750
15 via a storage interface bus 741. The data storage devices 750 can be removable storage devices 751, non-removable storage devices 752, or a combination thereof. Examples of removable storage and non-removable storage devices include magnetic disk devices such as flexible disk drives and hard-disk drives (HDD), optical disk drives such as compact disk (CD) drives or digital versatile disk (DVD) drives, solid state drives (SSD), and tape drives to name a few.
20 Example computer storage media can include volatile and nonvolatile, removable and non-removable media implemented in any method or technology for storage of information, such as computer readable instructions, data structures, program modules, or other data.

System memory 720, removable storage 751 and non-removable storage 752 are all examples of computer storage media. Computer storage media (or computer-readable medium)
25 includes, but is not limited to, RAM, ROM, EEPROM, flash memory or other memory technology, CD-ROM, digital versatile disks (DVD) or other optical storage, magnetic cassettes, magnetic tape, magnetic disk storage or other magnetic storage devices, or any other medium which can be used to store the desired information and which can be accessed by computing device 700. Any such computer storage media can be part of device 700.

Computing device 700 can also include an interface bus 742 for facilitating communication from various interface devices (e.g., output interfaces, peripheral interfaces, and communication interfaces) to the basic configuration 701 via the bus/interface controller 740. Example output devices 760 include a graphics processing unit 761 and an audio processing unit 5 762, which can be configured to communicate to various external devices such as a display or speakers via one or more A/V ports 763. Example peripheral interfaces 770 include a serial interface controller 771 or a parallel interface controller 772, which can be configured to communicate with external devices such as input devices (e.g., keyboard, mouse, pen, voice input device, touch input device, etc.) or other peripheral devices (e.g., printer, scanner, etc.) via 10 one or more I/O ports 773. An example communication device 780 includes a network controller 781, which can be arranged to facilitate communications with one or more other computing devices 790 over a network communication via one or more communication ports 782. The communication link is one example of a communication media. Communication media may typically be embodied by computer readable instructions, data structures, program 15 modules, or other data in a modulated data signal, such as a carrier wave or other transport mechanism, and includes any information delivery media. A “modulated data signal” can be a signal that has one or more of its characteristics set or changed in such a manner as to encode information in the signal. By way of example, and not limitation, communication media can include wired media such as a wired network or direct-wired connection, and wireless media 20 such as acoustic, radio frequency (RF), infrared (IR) and other wireless media. The term computer readable media as used herein can include both storage media and communication media.

Computing device 700 can be implemented as a portion of a small-form factor portable (or mobile) computer such as a cell phone, a personal data assistant (PDA), a personal media 25 player device, a wireless web-watch device, a personal headset device, an application specific device, or a hybrid device that include any of the above functions. Computing device 700 can also be implemented as a personal computer including both laptop computer and non-laptop computer configurations.

Referring now to Figure 63 , a conceptual flow diagram illustrates one illustrative process 30 800 that may be embodied by the system 100. The steps of the process 800 are illustrated

sequentially, but it should be appreciated that these steps may be performed in any random order and the process 800 is not defined by this particular illustrative order. The process 800 begins after an applicant applies for a position with an organization. In one specific example, the organization is a law-enforcement organization and the position is one requiring a background investigation. Accordingly, process 800 begins once an individual has been selected for a background check.

At step 802, the organization creates an applicant entry in the system. As used herein, the term “organization” generally refers to a particular organizational user, such as an administrative or other higher-rights user affiliated with the organization. Alternatively, the term “organization” may refer to any non-applicant user of the software system. The applicant entry represents a system record associated with the applicant for the position with the organization, and for whom the background check will be performed. Any organizational user with appropriate rights may create the applicant entry.

At step 804, the organization associates a particular organizational user with the applicant entry. Generally, this step assigns responsibility for the applicant's background check to that particular organizational user.

At optional step 806, the system may perform an internal check to determine if the individual associated with the applicant entry already has another applicant entry from a different or previous organization, or perhaps from an earlier background check with the same organization. This check enables the system to notify the organization early in case there were some issues with the individual earlier, possibly obviating the need to perform another background investigation.

At step 808, the organization associates the applicant entry with a particular “position” within the organization. Each position may have its own requirements and background criteria that should be investigated. Accordingly, each “position” has an associated set of pre-defined electronic documents (questionnaires) that have been pre-prepared with questions relevant to that position. See Figs. 28 , 29 , 31 , 27 , 30 , 5 .

At step 810, the organizational user is presented with an option to select additional documents for the applicant to fill out, to deselect one or more of the pre-selected documents, or to accept the set of pre-selected documents.

At step 812, with the operative set of documents selected, the organizational user causes to be transmitted that set of documents to the applicant. There are two distinct options for transmitting the set of documents to the applicant. In a first option, the system may automatically generate portable document format (“PDF”) versions of the documents and deliver the PDF versions of the documents directly to the applicant, such as by e-mail. In a second option, an e-mail transmission is sent to the applicant with an electronic invitation (such as an electronic link back) to return and login to the system and electronically “fill out” the documents online. The latter option results in greater efficiency in that hardcopy documents may be eliminated, and the applicant's information may be entered only once, thereby eliminating human error. In one enhancement, the applicant may be presented with a page that allows the applicant to upload additional documents or images, such as supporting documents, from the applicant's remote system.

At step 814, if and when the applicant responds to the invitation (e.g., logs on to the system), the applicant is prompted to answer the questions in each of the set of questionnaires. In one example, the applicant may be requested to provide information that generates additional transmissions, such as to identify additional individuals (e.g., character references, or the like). If the applicant identifies additional individuals, the system may generate second-order invitations for transmission to those additional individuals, such as references. In one example, an applicant may identify a character reference while filling out the applicant's online documents. In response, the system may automatically generate a second set of documents related to that class of reference (e.g, relative, former employer, or creditor).

At step 816, the system iterates over the preceding steps until necessary documentation has been transmitted to all or substantially all interested individuals.

At step 818, once the required amount of information has been provided by those who have been invited to respond (applicant and any references), the system may initiate an alert to inform the organizational user of that fact, thus ensuring the organizational user has any information that would be necessary for the background investigation in one location, and easily accessible. In this way, the organizational user need not be concerned with personally tracking whether all the necessary information is available prior to performing the complete background investigation.

While various embodiments have been disclosed herein, other aspects and embodiments will be apparent to those skilled in art. The various embodiments disclosed herein are for purposes of illustration and are not intended to be limiting, with the true scope and spirit being limited only by the following claims.

CLAIMS

The embodiments of the invention in which an exclusive property or privilege is claimed are defined as follows:

1. A system for managing a background investigation of an applicant, comprising:

5 a communication component executing on a network-capable computing system, said network-capable computing system operative to receive inbound communications from remote computing systems, the communication component being further operative to facilitate a log in session between at least one remote computing system and the network-capable computing system;

10 a document creation component configured to create questionnaires relevant to the background investigation, the questionnaires each being a member of at least one class of questionnaires, the at least one class being related to a type of reference for the applicant, the document creation component being further operative to compile a plurality of questions for a particular class of questionnaire based on the type of reference, said document creation
15 component being further operative to compile the plurality of questions through a drag-and-drop interface based on an identifier for the class of questionnaire; and

a process management component configured to manage a background investigation process for an applicant entry associated with the applicant, the process management component including further sub-components that are operative to facilitate individual tasks within the
20 background investigation process; the sub-components comprising:

an invitation generation component operative to assemble a set of questionnaires for transmission to an applicant remote computing system, the set of questionnaires being related to a position within an organization, the invitation generation component being further operative to transmit an invitation to the applicant remote computing system, the invitation including
25 information

a response receipt component operative to facilitate a log in session the applicant remote computing system and to receive responses from the applicant remote computing system to questions within each of the questionnaires in the set of questionnaires, the response receipt component being further operative to cause the invitation generation component to transmit a

second invitation to another remote computing system based on the received responses and to receive further responses from the other remote computing system, and

a portable document creation component operative to create portable document format versions of the set of questionnaires.

5

2. The system recited in claim 1, wherein the invitation generation component is further configured to generate a pre-selected set of questionnaires based on the position, and to allow the pre-selected set of questionnaires to a final set of questionnaires prior to transmission to the applicant remote computing system.

10

ABSTRACT

A web based software system generally designed for processing pre-employment background investigations is described. The software system allows an organization the ability to create and customize electronic documents to be sent to their applicants to complete via the web based software system, and returned in the same fashion. The subject matter turns much of a common pre-employment background investigation electronic, so that fewer hardcopy documents are necessary, thus creating more efficient management of individual background investigations.

BACKGROUND INVESTIGATION MANAGEMENT SERVICE

RELATED APPLICATIONS

This application claims priority to and the benefit of previously filed and co-pending
5 provisional Patent Application No. 61/472,556, entitled Background Investigation Web Services,
filed on April 6, 2011, which is hereby incorporated by reference for all purposes.

TECHNICAL FIELD

The subject matter generally relates to a system to facilitate the process of performing
background investigations on a plurality of applicants.

10 BACKGROUND INFORMATION

In many areas, but particularly in the area of law-enforcement pre-employment
background investigations, investigators report they spend, on average, 40 hours per applicant
investigation. During this process, the applicant typically completes a paper packet comprised of
questions pertaining to the applicant's life history, including information on criminal activity,
15 financial history, drug history, listing relatives and personal references, employment history, and
many other in-depth personal questions. The applicant typically submits this packet to the
background investigator along with waivers and permissions (Agreements and Advisements) to
conduct a background investigation. The investigator typically uses resources available to him
or her to confirm the information the applicant provided in the various documents, to include,
20 contacting past employers, supervisors, neighbors, relatives, references, landlords, etc., which
makes up the bulk of the investigator's 40 hours per applicant of spent time.

What has eluded the industry is an automated system to help a background investigator
more efficiently and effectively conduct a background investigation.

BRIEF DESCRIPTION OF THE DRAWINGS

25 The subject matter of this patent will become more readily appreciated and better
understood by reference to the following detailed description, when taken in conjunction with the
accompanying drawings, wherein:

Figure 1 is a functional block diagram generally illustrating core components of a
background investigation management system in accordance with one illustrative embodiment of
30 the invention.

~~Figure 2 is a screen display of an editing function wherein specific content can be saved for viewing to a specific account user type.~~

Figure ~~2_3~~ is a screen display of an account information page.

Figure ~~3_4~~ is a screen display of a page on which content for a reference type is managed.

5 Figure ~~4_5~~ is a screen display showing different reference types that can be selected to manage associated content.

Figure ~~5_6~~ is a screen display of an edit mode in building/editing questionnaires/forms within the system.

10 Figure ~~6_7~~ is a screen display of a page that lists different questionnaires/forms, who they are available for, and what position the questionnaire/form is presently assigned to.

Figure ~~7_8~~ is a screen display of a currently logged in user's My Account page where their account information can be edited.

Figure ~~8_9~~ is a screen display of the edit mode of a form within the Agreements & Advisements section of the system, and certain properties that can be selected for it.

15 Figure ~~9_10~~ is a screen display of a page showing documents under Agreements & Advisements, and their status.

Figure ~~10_11~~ is a screen display of an account editing function of the system wherein account-specific information for an account on the system may be edited.

20 Figure ~~11_12~~ is a screen display of a page where accounts entered on the system can be viewed, along with their associated account information.

~~Figure 13 is a screen display of a login page on the system.~~

Figure ~~12_14~~ is a screen display of a "dashboard" of an administrative user, wherein information about entered accounts and information requests is displayed.

~~Figure 15 is a screen display of a help page when signed in as an applicant.~~

25 Figure ~~13_16~~ is a screen display of a page where an applicant can upload and manage documents in their account "Applicant Profile."

~~Figure 17 is a screen display of a page where an applicant can upload and manage images in their account "Applicant Profile."~~

30 Figure ~~14_18~~ is a screen display of a fill-able questionnaire/form where an applicant types in responses to questions.

Figure ~~15.19~~ is a screen display of a page where questionnaire documents selected for an applicant appear for the applicant to open and complete.

Figure ~~16.20~~ is a screen display of a document (“Agreement & Advisement”), showing different methods in which an applicant acknowledges the document.

5 Figure ~~17.21~~ is a screen display of part of a document (“Agreement & Advisement”), showing the agency user’s contact info who has been assigned to the applicant and the documents title.

~~Figure 22 is a screen display of the documents (“Agreements & Advisements”) the applicant reviews and acknowledges per the agency’s settings for each document.~~

10 ~~Figure 23 is a screen display of a page where the system routes a new system user to establish their password before their first login to the system.~~

Figure ~~18.34~~ is a screen display of a registration email sent to an applicant inviting them to click on a link to enter the system for the first time.

15 Figure ~~19.25~~ is a screen display of an account editing function within the system wherein the user can edit their account information.

~~Figure 26 is a screen display of a page where the user can view system help information relevant for their specific user type.~~

Figure ~~20.27~~ is a screen display of an inbox feature showing a user their messages and alerts received related to applicants assigned, or messages received with edit functionality.

20 Figure ~~21.28~~ is a screen display of “By Position” data the system may generate based on other data and use within an account.

Figure ~~22.29~~ is a screen display of “General” data the system may generate based on other data and use within an account.

25 Figure ~~23.30~~ is a screen display that shows a record of “shared” information and related information such as SSN, Viewable dates, Recipient, and other a link to additional details.

Figure ~~24.31~~ is a screen display showing a page to generate template letters with HTML and other codes that the agency uses to send to applicants.

Figure ~~25.32~~ is a screen display showing a page where documents can be associated with a certain type of reference.

30 Figure ~~26.33~~ is a screen display showing different reference types the system supports.

Figure ~~27_34~~ is a screen display showing a page where questionnaires and forms can be built or edited for use with applicants.

Figure ~~28_35~~ is a screen display showing the initial properties setup of a new questionnaire/form.

5 | Figure ~~29_36~~ are two screen displays showing and edit mode of a questionnaire/form and a preview mode of the same questionnaire/form.

Figure ~~30_37~~ is a screen display showing a page for building questionnaires using drag and drop functionality.

10 | Figure ~~31_38~~ is a screen display of questionnaires in an account with certain functionality associated to them such as edit, preview and delete.

Figure ~~32_39~~ is another screen display of a document in edit mode where an agency can write certain content and select how the applicant acknowledges it.

~~Figure 40 is a screen display of a view mode that shows the applicant's view.~~

15 | Figure ~~33_41~~ is a screen display of a page where different types of documents can be managed from with a display of their title, status and preview option.

Figure ~~34_42~~ is a screen display of a page for adding a new agency user into an agency's account on the system.

~~Figure 43 is a screen display of a page to allow editing an agency user already in the agency's account on the system.~~

20 | ~~Figure 44 is a screen display of a page to display information on user's entered in a specific agency's account on the system.~~

Figure ~~35_45~~ is a screen display of a page to allow entering applicant's into the account on the system.

25 | ~~Figure 46 is another screen display of a page to allow entering applicant's into the account on the system.~~

Figure ~~36_47~~ is a screen display of a page to assign applicant entries into different categories such as Pending Assignment, Assigned, Suspended and Completed.

Figure ~~37_48~~ is a screen display of a page to show important account and system information.

Figure ~~38_49~~ is a screen display of a page to display and manage certain documents and related functions intended to be sent to and used by applicants.

Figure ~~39_50~~ is a screen display of a page for assigning questionnaires to a position.

5 Figure ~~40_51~~ is a screen display of a page to allow management of documents and task checklists for a position within an account.

~~Figure 52 is a screen display of a page to allow the creation of a new position for an account.~~

Figure ~~41_53~~ is a screen display of a page for assigning documents/Agreements and Advisements to one or more positions.

10 Figure ~~42_54~~ is a screen display of a page to allow the creation and edit of a task checklist related to a position within an account.

Figure ~~43_55~~ is a screen display of the system's functionality to allow the creation and management of saved/letter templates which can be used by any agency user of the system after created.

15 ~~Figure 56 is a screen display of the system's functionality to allow the content of a letter template to be entered and saved.~~

Figure ~~44_57~~ is a screen display of the system's functionality to allow a user to select information from an applicant's profile to be viewable to an invited external individual.

20 Figure ~~45_58~~ is a screen display of the system's functionality to establish who can view information from a certain applicant's profile, along with authorization code and link expiration time frame.

Figure ~~46_59~~ is a screen display of the system's functionality to reproduce detailed information on previous detail of shared information.

25 Figure ~~47_60~~ is a screen display of the system's functionality to produce basic information on previous, certain detail of shared information

Figure ~~48_61~~ is a screen display of the system's functionality to send a link and other content via email notifying a third party of their invitation to view information they had requested about an applicant.

~~Figure 62 is a screen display of the system's functionality to route the recipient of shared information to a screen where they can read any message from the sender, and must enter a valid authorization code to proceed.~~

5 Figure ~~49~~⁶³ is a screen display of the system's functionality to display selected information to the recipient who has given access to such information by the sending agency.

~~Figure 64 is a screen display of an account editing function of the system wherein account-specific information for any one or more accounts on the system may be edited.~~

10 Figures ~~50 - 61~~⁶⁵⁻⁷⁶ are screen displays of additional components implementing embodiments of the software system.

Figure ~~62~~⁷⁷ is a block diagram illustrating an example computing device that may be used to implement one or more components of the illustrative software system, in accordance with the present disclosure

Figure ~~63~~⁷⁸ is an operational flow diagram generally illustrating a process that may be implemented by various embodiments of the background investigation management system.

15 DETAILED DESCRIPTION OF EMBODIMENTS

Various embodiments of the subject matter provide an automated system for organizing, managing, and reporting on pre-employment background investigations. Generally stated, the subject matter is directed to a web based software system for managing the process of performing pre-employment background investigations. Although described here as web based,
20 other embodiments may be implemented that are not web based.

Referring now to Figure 1, a software system 100 allows an organization 102 the ability to create and customize electronic documents 104 to be sent to applicants to complete via the software system 100, and returned to the software system 100 in similar fashion. The software system 100 includes a document creation component 114 and a document management
25 component 116. The system 100 automates the majority of the tasks of a common pre-employment background investigation so that fewer hardcopy documents are necessary, thus creating more efficient management of individual background investigations. One feature among many is the electronic sharing of applicant information 124 between organizations (e.g., Org A 102 and Org B 111) so the software system 100 may alert an organizational user (Org A
30 102) that an applicant 120 has already been entered into the system by another organizational

user (Org B 111) of the software system 100. For example, among other types of information shared, organizations can be alerted if an applicant 120 was previously entered into the software system 100 by other organizations that use the software system 100. In that way, the second organization would have access to applicant information 125 about the applicant 120 that had
5 been previously compiled, thus avoiding duplication of effort.

The software system 100 not only allows organizations to create 114 and manage 116 documents 104 used for background investigations, but included in this subject matter, the system 100 also automatically processes information entered in the documents to save organizations time and allow quicker turnaround of the background investigation.

10 The subject matter is anticipated to save organizations time and other costly resources. Organizations are given tools and resources that previously were not available to them without this software system.

Generally stated, the technical functions and features of the described system are initiated when a remote terminal communicates with a central computer (server) via the Internet or other
15 network , such as an internal network, communicate with one another using the software system. A verified and authenticated connection is made between the central computer and the remote computer once the individual user's credentials are entered into login field(s) and then validated by the central computer, via the software system 100.

Organizational user accounts are created when a main master admin account (Personnel)
20 user creates an admin account for a specific user group (customer's user group). The admin account for the user group is created when the Main Master Admin (Personnel) Account logs in and connects to the central computer via the remote computer and enters an email address and the customer's information. The user group admin account can add, edit, or delete (manage) other users within that user group. Once the connection is made, the connection is valid and
25 features below will function provided the connection is maintained. If a pre-set amount of time passes without any activity on the remote terminal end, the application will terminate (session time out) the connection of the two computers and the user re-login. The software system 100 offers operative functionality to remote terminals (users) after successful connection to the central computer. This functionality is available when the remote terminal makes an

authenticated connection with the central computer (server) via a network 101, such as the Internet.

Specific functionality of one illustrative embodiment of the system will now be described with reference to several exemplary components which may be incorporated into one or more exemplary embodiments. Each of the following components and features may be implemented using software methods and processes executing on one or more computing systems, such as the illustrative computing system shown in Figure 50-65 and described below. These exemplary components are not presented as being an exhaustive list, as the system 100 may implement other components in addition to these. Still further, certain of the following components may be omitted from the larger system without deviating in any material way from the scope and teachings of the core system 100.

Applicant Electronic Signature: (Figs. 32-39, 40, 33-44, 16-20, 17-21, 22, 9-10, 38-49, 41-53) Upon the applicant's registration process (first log in), the software system prompts the applicant to adopt an electronic signature. This is one of the first Agreements and Advisements (see the following "Agreements & Advisements" section) the applicant reviews and acknowledges during their first software session. The software system auto generates an electronic signature and displays it to the applicant. The applicant can agree to use the system suggested electronic signature, or not agree to the signature.

Agreement and Advisements: (Figs. 3-4, 9-10, 8-9, 16-20, 17-21, 22, 25-32, 32-39, 40, 33-44, 38-49, 40-54, 41-53, 44-57) Organization users can establish documents they wish an applicant to review and acknowledge the first time they log into the software. An applicant is sent an email with an invitation type message to let them know they have been selected to take part in a background investigation. They click on a link exclusive for them which take them into the software system. The first screen they see is a place to establish a private password and proceed.

When the applicant proceeds, they are routed to the first documents (Agreement or Advisement) the organization has selected for them to review. The content of the Agreements and Advisements documents can be anything the organization has imputed. The organization also chooses how they would like the applicant to acknowledge (certify/sign) the document. This can include the electronic signature the applicant has agreed to use, social security number

(or any part of it), or initials. When certification fields that are required by the organization have been completed by the applicant for that specific document, the applicant can click a Proceed button which takes the applicant to the next Agreement and Advisement document (if one exists). An Agreement or Advisement document can also be set to "Hardcopy Submit" by the organization. This will cause a Print button to appear at the bottom of the page in addition to the Proceed button. If Hardcopy Submit is activated for that particular Agreement or Advisement document, the applicant will not see any way to certify the document online, and he or she print the document and follow instructions the organization has included in the body of the document.

Organization users control the different properties of the Agreements and Advisement documents by accessing their user dashboard, clicking on an Agreement and Advisements folder, and then selecting on the individual document they would like to edit.

Form / Questionnaire Builder: (Figs. 28-35, 29-36, 31-38, 27-34, 30-37, 5-6) The software system includes a form builder. This feature allows users at an organization to build questionnaires (forms) with questions and choose various styles of answers an applicant can give in response to a question. Text boxes for applicant responses can be set to expand as the applicant types. If an applicant answers a certain way (in example, the applicant answers "yes" to a yes or no question), the form builder can be set to ask additional sub questions based on the applicant's response. This eliminates the need for the applicant to see multiple questions that may not apply to the applicant's situation due to the applicant's previous response. Questions on any existing questionnaire can easily be edited or deleted at any time, even after the questionnaire is saved. There is no limit on the number of questionnaires that can be built. Questions can be programmed so that a certain response to a question creates a "flag" to draw the any reviewer's attention to that particular question. The software system also features a drag and drop feature that allows the users to arrange questionnaires as they would like to see them. How they are arranged is also the order they are presented to the applicant.

Dashboard: (Figs: 22, 37-48) Each user of the software system is routed to a user dashboard once their login credentials are authenticated with the central computer (server). In this embodiment, there are 6 types of dashboards: Admin dashboard, Agency Admin dashboard, Agency User dashboard, Applicant dashboard, Image Processor dashboard, and Administrative Agency dashboard. The system knows what dashboard to give a new user based on their account

type, which is selected when the user is first entered into the software system. Each dashboard is programmed to display information specific to the type of user's needs and the job they are tasked with completing. On the dashboard page (and every other page) there is a menu bar at top where different pages of the software system can be accessed. The dashboard has a number view
5 of applicants and their current status, an inbox with a number of most recent alerts and messages, a calendar display with upcoming appointments and controls for appointments, a summary of sharing activity, contact information for help, alert settings, and the agency's image and license information. From the dashboard, the user can access even more in-depth information, such as alerts and images, by clicking on the inbox link, which will route the user to main inbox page
10 with the user's alerts with further ability to control the inbox functionality.

Managing Users: (Figs. 34-42, 43, 44) An Admin account for each organization is created at the time the organization's account is created within the software system. This main admin account at the organization can create additional admin accounts at the agency, or regular user accounts within the organization by accessing a "Users" page within the software system
15 and completing questions related to adding a new user. The admin users can update, delete, or suspend any regular users within the organization. Admin users can be updated, deleted, or suspended by the main admin account. The main admin account can be edited by a representative of a company that administers the software system.

User Electronic Signature: Upon entering a user into the software system, an electronic
20 signature can be uploaded for that user. The system is able to save the signature for a specific member so signatures are always associated with a specific login. The user is therefore able to insert their electronic signature in any document they generate on the software system. This feature was originally designed for the user to insert their signature during the creation of letters to external sources which may be contacted as part of an applicant's background investigation
25 process.

Entering Applicants: (Figs. 35-45, 46, 36-47) Any user at an organization can enter new applicants into the software system. To do this, the user clicks on "Applicants" and then clicks a button that functions to bring up various fields which are required to enter a new applicant into the system (Such as names, date of birth, social security number, address, phone numbers,
30 position applying for, etc). Upon entering the applicant's name and other information into the

system, the system performs a check of the central computer (server) to see if the applicant has previously been entered by any other organization on the software system. If the system finds a match, the system produces information including the other agency's information (name, contact info, point of contact, etc.), and also what position the applicant applied for and a brief summary of the applicant's current status with the agency. When an applicant is entered into the system, the applicant is suitably put in a Pending Assignment status or assigned to one of the User's at the organization. When assigned to a user, the user will receive an alert to their dashboard inbox and their external email (if activated).

Managing Applicants: (Figs. 36-47, 37-48) Each user at an organization can view the status of applicants the agency has entered into the software system via their user dashboard. The applicants are presented by their current status, including applicants that are: "Pending Assignment" (entered into the software system but pending assignment to an organization's user for investigation), "Assigned" (currently assigned to a user at the organization), "Suspended" (a user at the organization as temporarily suspended the investigation), "Completed" (the applicant's background investigation has been completed by the organization).

Applicant Status: (Figs. 36-47, 37-48, 50-65, 51-66) Applicant's status is always displayed on their Applicant Profile where applicants are displayed in the system. Statuses include, but are not limited to: Pending Assignment, Assigned, Suspended, Completed, Hired, Conditional Job Offer, Admin Review, Not Selected – eligible to reapply, Not selected – ineligible to reapply, Appeal, Reopened.

Any user at an organization can access the list of applicants from the users dashboard view and update the status of an applicant. The status can also be updated from an organization user accessing the Applicant's Profile.

Investigation Management: (Fig. 52-67) Users can access an Applicant's Profile and view the status of the investigation by checking the files within the Applicant's Profile. One file contains the questionnaires and forms the applicant has been assigned by the organization to complete. When an applicant completes one questionnaire, the organization's user can see the date and time it was completed.

Positions: (Figs. 39-50, 40-54, 52, 41-53) Organization users can create positions they conduct background investigations for within their organizations. This feature allows the

organization users to select Agreements and Advisements, questionnaires, and other documents specific for a position to be saved under a position name. For example, these documents could be selected for the "Confidential Secretary" position. When a new applicant is entered into the software system for the first time, this feature allows expedited assignment of requirements (documents, etc) for that position by simply assigning the position name to the newly entered applicant, opposed to having to select each individual document for the applicant to complete; requirements are saved under the position!

Checklists: (Figs. 42-54, 53-68) Checklists is a feature in the software system which allows organization users to establish a check off list of tasks/duties associated with each applicant's background investigation, based on the position. This checklist feature is to ensure the organization user (background investigator) is completing each and every task or duty required by management or supervisors for the type of position the applicant has applied for. This ensures no steps are missed in an applicant's background investigation.

Alerts: (Figs. 20-27, 37-48, 50-65) When an applicant is assigned to a user at the organization, that user is able to select if they would like to receive alerts regarding activity relating to the applicant from the software system. Alerts include: an alert showing date and time an applicant logged into the software system, when the applicant has completed certain documents or other requirements assigned to them, when a reference returns a questionnaire, when a note is added to an assigned applicant's profile, and when an applicant is assigned to a user at the organization.

An alert is also sent to the user at the organization if another, separate organization enters the applicant into the software system, as long as the first organization has not yet completed the applicant's investigation.

Reference Management: (Figs. 3-4, 4-5, 25-32, 54-69, 55-70) The software system uses the names, addresses, email addresses and phone numbers applicants supply from the questionnaires in the software system to build a reference file within the Applicant's Profile. Here, the system displays reference sources (names and info) to include relatives, employers, supervisors, co-workers, neighbors, and personal references. The software system allows the user at an organization to access this file and print a cover letter, a questionnaire, and select any

Agreements and Advisement to include, which will print grouped together and be addressed to the correct reference. A second print button will also print the address on envelopes.

If an email address was provided for a reference source, the organization's user can select how to mail the reference documents to the individual (by email, or by mail, or by both). If by
5 email, the reference receives an email with a link to log into the software system. Here the reference is presented with the documents the organization has selected them to see and complete. When the reference is done, they can save the questionnaire and come back to it later to add more info, or they can send it back to the organization. When the reference has submitted their documents, the user assigned to the applicant's background investigation at the organization
10 receives an alert.

The content of documents sent to references is controllable by the organization's user through the Forms page, and through the Reference Documents file within an Applicant's Profile.

An organization user can add notes under any reference name within this file. This is helpful if the organization user has to contact the reference by phone. The user can take notes as
15 they speak to the reference source on the phone.

The organization user can also add a new reference (name, address, email, phone numbers, relationship, etc.) to the file that was not included in the applicant's Responses.

Mailed or emailed references can be programmed so that if a reference is not received back within a set amount of time (Days), the system prompts an alert to the organization user
20 assigned to the investigation indicating no response received for the specific reference. A "Resend" button appears (for email references), "Dismiss," or a set a new flag, which allows the user to set a new date and time to remind the user about the reference at a later time. The organization's admin account sets the number of days that have to pass before an alert flag is produced to the assigned user at the organization who is conducting the investigation, for the first
25 flag.

Inbox: (Fig. 20.27) Each software system user (including applicants) has an inbox on their user dashboard. This inbox collects the incoming alerts and messages related to each user and displays them to the user in an inbox section on the user's dashboard, and through an inbox page, which is accessible via a link in the dashboard's inbox or via the main menu bar.

Messaging System: An investigator can send a message to an applicant or any of the organization's users by clicking a "Compose Message" button and selecting the name of the user or applicant on the software system. If an organization's user accesses an applicant's profile and then clicks a "send message" or similarly named button, the message will be sent to that applicant and the message is added to a "messages" folder within the applicant's profile. When a message is opened by an applicant, it is noted next to the actual message in the Organization's user's sent mail folder. The purpose of the messages folder is so that any hiring authority conducting a review of the investigation can look back over communication between the applicant and the organization's user(s). It also helps to create an official, undisputable record of communication between the applicant and organization users.

Organization To Applicant Letter: (Figs. 43-55, 56, 56-71) A feature of the software system allows a user at the organization to send an official letter to the applicant (more formal than the email type messaging listed above). This letter appears on the organization's pre-loaded letter head. The system allows the letterhead to be sent electronically through the system to the applicant, or printed, with an envelope, and mail to the applicant. If sent electronically, the system notifies the applicant on their dashboard the letter was received in the inbox (or via the inbox page). The applicant can open and review the letter and print it, if they decide. An external notification about the letter is also sent to the applicant's external email address on file with the software system.

The system stores letters sent to the applicant in the Applicant's Profile in a designated file for any future reference.

Electronic Notes: (Fig. 57-72) The software system includes an electronic note section within each Applicant's Profile. Here, any organization user can type a note/comment which is related to the applicant. The note is stamped by the system with the date and time it was added, and the user's full name who added the note. When a note is added, the user at the organization who is assigned to the Applicant's background investigation receives an alert on their dashboard (and inbox page) and/or to external email address (if the user has External Notifications feature turned on/activated).

Address Locator: (Figs. 58-73, 59-74) The software system contains a feature that will retrieve law enforcement and court names, addresses and phone numbers for a pre-defined radius

around the applicant's past and current addresses, and those addresses of the applicant's employer's and relatives.

The system does this by taking the address information the applicant provided on questionnaires he or she submitted to the organization via the software system. The system then
5 conducts a search using an Internet search engine for agencies and courts around the selected address. A list of agencies and courts is presented to the user at which time the organization user selects which agencies and courts the organization will send reference letters and requests for records checks to. The user can also edit the address in case of any system mistake.

A print button next to each selected agency will print a cover letter to the agency, a
10 questionnaire with questions for the agency or court to complete and any of the applicant's Agreements and Advisements that are selected to include in the mailing. A second print button will print the envelope for the agency or court. Both the cover letter and the envelope auto print with the correct name and address for the selected agencies and courts, individually, or a Print All feature will print selected with two clicks (one click for documents, one click for envelopes).

15 **Document Upload:** (Fig. 13.16) The software system has a feature that allows a user to upload any hardcopy document into a specific location within an Applicant's Profile. The user does this by first logging into the software system, selecting the applicable applicant and then clicking on the location within the Applicant's profile where the document is to be uploaded. The software system allows the user to type information about the document such as its name,
20 details, etc. The system also logs and displays the date and time the document was uploaded. If a document is uploaded to an Applicant's Profile, the user assigned to the applicant's investigation receives a notification on their dashboard (and inbox page), and an external notification to the email address on file in the software system for the particular user (if the external notification option is turned on/activated).

25 **Answer Review:** (Fig. 60.75) Organization users can review an applicant's answers to questionnaires and other documents by accessing the applicant's profile, and clicking on the folder with the documents they wish to review. The organization user reviewing the documents can add a note to each of the applicant's Responses, which (the note) is viewable to the organization. As the organization user reviews each response in a document, the system allows a
30 check off feature next to each question to ensure applicant responses are reviewed.

Electronic Summary Report: (Fig. 61-76) The software system allows the organization user conducting an applicant's background investigation to write a report when they have completed their investigation. This report is written inside a file within the Applicant's Profile and then saved. The system auto dates and time stamps the entry and also the name of the user writing the report.

Electronic Review: (Fig. 51-66) The software system allows organization users to send an applicant's profile back and forth to one another for review and comment. This feature is designed to allow supervisors and managers the ability to receive a notification on their user dashboard and/or external email address that an Applicant Profile is ready for their review. The user can open the Applicant Profile, review information contained in the Applicant Profile and then note their recommendation within the Applicant Profile notes section, then route the Applicant Profile to another organization user within the software system, or send it to an external email address for review.

Information Sharing: (Figs. 44-57, 45-58, 46-59, 47-60, 48-61, 62, 49-63) The software system contains a feature allowing organizations to select specific information from an Applicant's Profile to send to a third party. Upon selecting information from an individual's Applicant Profile, the organization's user is given a form to complete with the software system to include the name of the individual the information is being sent to, their organization's name, contact info, and a set a password that allows the information to be opened. A time frame can also be set to establish within what dates the information can be viewed.

The receiving individual receives an email with a link to the software system. Here, the receiving party is given a warning that the information they are receiving is confidential and can be accessed, viewed, or distributed in accordance with their agreement with the sender. If the receiver agrees to this, they enter the password the sender gave them to access the information. The system will then allow the receiving party to view the information the sender selected for them to view.

Export Information: (Figs. 13-16, 50-65, 62-77) Text information that is part of an Applicant's Profile is exportable to PDF, and therefore savable/printable by the organization on a drive of their choice. When the Applicant's Profile is accessed by the organization user, there is an Export feature/button that will export documents in the Applicant's Profile into a PDF file.

Audio and/or video files can be exported by clicking on the file folder the desired files are in and downloading them to the source of the user's choice.

Re-Open an investigation: (Fig. 51.66) An applicant's investigation can be reopened by going to the Applicant's Profile and updating the status to Reopen or "Appeal." Either status will
5 reopen the investigation so it can be assigned to a user at the organization for further processing per that organization's policy. Features noted herein are reactivated during a reopened investigation.

Flag an Applicant: This feature allows organizations to create a flag on an applicant they have entered into the software system. The flag is used to note specific information about
10 the applicant which the organization has deemed important for other organizations to know about. Other organizations can see the flag if they enter the same applicant into the software system.

Administrative Agency Account: Each state has a state regulatory agency which generally oversees the standards for background investigations of law enforcement officers and
15 other public safety related positions. Some of these agencies inspect organization's files to make sure their background files contain the required, on-file information about the applicant's background investigation. The Administrative Agency Account feature allows and Organization's admin account to create an "Administrative Agency Account," which gives an external user access to that organization's background files. The Administrative Agency
20 Account is selectively limited for reviewing information for that specific organization during a specified time frame. The Agency Admin account at the organization has the ability to edit this account, including suspending it or deleting it.

Session Timeout: The admin user at an organization can set the time for session time out timers for a user who is logged in to the software system. The set time will apply to users
25 within that Organization's user group. The selectable time may be 1 to 120 minutes, or no session time out.

Admin Messages: Users can send out message from the control panel/dashboard. These messages will go to every user on the system's inbox on their dashboard and inbox page. These messages will be used to announce enhancements or any message that is applicable for users on
30 the software system to receive.

Organization List: This feature is a button located on the dashboard and/or menu bar of each user (except applicant). If clicked, the system produces a list of agencies (who wish to be known) so the other organizations can see the network of users. This helps with information sharing.

5 **Report a problem:** This feature places a button on users' dashboard (except applicants). If clicked, it produces a form that can be completed to tell an admin about a problem the user encountered with the software system. Upon clicking send, the information is transmitted to admin personnel in the form of an email to any designated email address(es).

10 **Account Manager:** (Fig. 37.48) This feature allows admin to input an account manager for each organization, which the information imputed displays on the dashboard of users at the organization. This information includes the account manager's name, phone numbers, and email address. This allows any organization user who is having problems a quick reference of who their account manager is and the ways to contact the account manager.

15 **System Access:** (Figs. 23, 10.44, 64) The admin can set the access limitations for each organization's use. This includes the number of the applicants the organization can enter into the system within a specified date range. If the organization attempts to enter an applicant into the software system and it's outside the parameters set by the admin, the organization's user will be informed to contact the managing company that manages the software system to arrange for additional system access. Organizations can view and access information for applicants which
20 they have previously entered into the software system.

Reports: (Fig. 21.28) Reports for organizations include the following parameters: By Position (allows organization personnel to see reports on the number of applicants approved, suspended, Not Selected – eligible to reapply, Not Selected – ineligible to reapply).

25 General reports include the following parameters: By age range, by ethnic origin, gender and by agency user. The categories for each of the above is: Pending Assignment, Assigned, approved, suspended, Not Selected – eligible to reapply, Not Selected – ineligible to reapply and the average time of an investigation for each of these parameters. Users can also specify a date range to search.

30 On the company control panel/dashboard, the following reports are features of the software system, for each Account in the system: Active From (date), Active Through (date),

Applicants entries allowed, Applicants entered into the system to date, Remaining number of applicant entries, and number of users at the user organization.

Help Pages: Help content is available to each user on the system by clicking on the "Help" button on the menu bar while the user is logged in. The system produces a page of help content. The help content is specific to the type of user (Admin, User, and Applicant). The help content is changeable through the control panel/dashboard.

While the preferred embodiment of the subject matter has been illustrated and described, it will be appreciated that various changes can be made therein without departing from the spirit and scope of the subject matter.

Figure 62-77 is a block diagram illustrating an example computing device 700 that may be used to implement one or more embodiments of the software system 100, in accordance with the present disclosure. In a very basic configuration 701, computing device 700 typically includes one or more processors 710 and system memory 720. A memory bus 730 can be used for communicating between the processor 710 and the system memory 720.

Depending on the desired configuration, processor 710 can be of any type including but not limited to a microprocessor (μ P), a microcontroller (μ C), a digital signal processor (DSP), or any combination thereof. Processor 710 can include one more levels of caching, such as a level one cache 711 and a level two cache 712, a processor core 713, and registers 714. The processor core 713 can include an arithmetic logic unit (ALU), a floating point unit (FPU), a digital signal processing core (DSP Core), or any combination thereof. A memory controller 715 can also be used with the processor 710, or in some implementations the memory controller 715 can be an internal part of the processor 710.

Depending on the desired configuration, the system memory 720 can be of any type including but not limited to volatile memory (such as RAM), non-volatile memory (such as ROM, flash memory, etc.) or any combination thereof. System memory 720 typically includes an operating system 721, one or more applications 722, and program data 724. Application 722 may include background document management software system 723, in accordance with the present disclosure. Program Data 724 may include applicant or organizational data 725 that may be useful as has been further described above. In some embodiments, application 722 can be arranged to operate with program data 724 on an operating system 721 such that operation of a

system may be facilitated on general purpose computers. This described basic configuration is illustrated in Figure 50.65 by those components within line 701.

Computing device 700 can have additional features or functionality, and additional interfaces to facilitate communications between the basic configuration 701 and any required devices and interfaces. For example, a bus/interface controller 740 can be used to facilitate communications between the basic configuration 701 and one or more data storage devices 750 via a storage interface bus 741. The data storage devices 750 can be removable storage devices 751, non-removable storage devices 752, or a combination thereof. Examples of removable storage and non-removable storage devices include magnetic disk devices such as flexible disk drives and hard-disk drives (HDD), optical disk drives such as compact disk (CD) drives or digital versatile disk (DVD) drives, solid state drives (SSD), and tape drives to name a few. Example computer storage media can include volatile and nonvolatile, removable and non-removable media implemented in any method or technology for storage of information, such as computer readable instructions, data structures, program modules, or other data.

System memory 720, removable storage 751 and non-removable storage 752 are all examples of computer storage media. Computer storage media (or computer-readable medium) includes, but is not limited to, RAM, ROM, EEPROM, flash memory or other memory technology, CD-ROM, digital versatile disks (DVD) or other optical storage, magnetic cassettes, magnetic tape, magnetic disk storage or other magnetic storage devices, or any other medium which can be used to store the desired information and which can be accessed by computing device 700. Any such computer storage media can be part of device 700.

Computing device 700 can also include an interface bus 742 for facilitating communication from various interface devices (e.g., output interfaces, peripheral interfaces, and communication interfaces) to the basic configuration 701 via the bus/interface controller 740. Example output devices 760 include a graphics processing unit 761 and an audio processing unit 762, which can be configured to communicate to various external devices such as a display or speakers via one or more A/V ports 763. Example peripheral interfaces 770 include a serial interface controller 771 or a parallel interface controller 772, which can be configured to communicate with external devices such as input devices (e.g., keyboard, mouse, pen, voice input device, touch input device, etc.) or other peripheral devices (e.g., printer, scanner, etc.) via

one or more I/O ports 773. An example communication device 780 includes a network controller 781, which can be arranged to facilitate communications with one or more other computing devices 790 over a network communication via one or more communication ports 782. The communication link is one example of a communication media. Communication media may typically be embodied by computer readable instructions, data structures, program modules, or other data in a modulated data signal, such as a carrier wave or other transport mechanism, and includes any information delivery media. A “modulated data signal” can be a signal that has one or more of its characteristics set or changed in such a manner as to encode information in the signal. By way of example, and not limitation, communication media can include wired media such as a wired network or direct-wired connection, and wireless media such as acoustic, radio frequency (RF), infrared (IR) and other wireless media. The term computer readable media as used herein can include both storage media and communication media.

Computing device 700 can be implemented as a portion of a small-form factor portable (or mobile) computer such as a cell phone, a personal data assistant (PDA), a personal media player device, a wireless web-watch device, a personal headset device, an application specific device, or a hybrid device that include any of the above functions. Computing device 700 can also be implemented as a personal computer including both laptop computer and non-laptop computer configurations.

Referring now to Figure 63-78, a conceptual flow diagram illustrates one illustrative process 800 that may be embodied by the system 100. The steps of the process 800 are illustrated sequentially, but it should be appreciated that these steps may be performed in any random order and the process 800 is not defined by this particular illustrative order. The process 800 begins after an applicant applies for a position with an organization. In one specific example, the organization is a law-enforcement organization and the position is one requiring a background investigation. Accordingly, process 800 begins once an individual has been selected for a background check.

At step 802, the organization creates an applicant entry in the system. As used herein, the term “organization” generally refers to a particular organizational user, such as an administrative or other higher-rights user affiliated with the organization. Alternatively, the term

“organization” may refer to any non-applicant user of the software system. The applicant entry represents a system record associated with the applicant for the position with the organization, and for whom the background check will be performed. Any organizational user with appropriate rights may create the applicant entry.

5 At step 804, the organization associates a particular organizational user with the applicant entry. Generally, this step assigns responsibility for the applicant's background check to that particular organizational user.

 At optional step 806, the system may perform an internal check to determine if the individual associated with the applicant entry already has another applicant entry from a different
10 or previous organization, or perhaps from an earlier background check with the same organization. This check enables the system to notify the organization early in case there were some issues with the individual earlier, possibly obviating the need to perform another background investigation.

 At step 808, the organization associates the applicant entry with a particular “position”
15 within the organization. Each position may have its own requirements and background criteria that should be investigated. Accordingly, each “position” has an associated set of pre-defined electronic documents (questionnaires) that have been pre-prepared with questions relevant to that position. See Figs. [28-35](#), [29-36](#), [31-38](#), [27-34](#), [30-37](#), [5-6](#).

 At step 810, the organizational user is presented with an option to select additional
20 documents for the applicant to fill out, to deselect one or more of the pre-selected documents, or to accept the set of pre-selected documents.

 At step 812, with the operative set of documents selected, the organizational user causes to be transmitted that set of documents to the applicant. There are two distinct options for transmitting the set of documents to the applicant. In a first option, the system may
25 automatically generate portable document format (“PDF”) versions of the documents and deliver the PDF versions of the documents directly to the applicant, such as by e-mail. In a second option, an e-mail transmission is sent to the applicant with an electronic invitation (such as an electronic link back) to return and login to the system and electronically “fill out” the documents online. The latter option results in greater efficiency in that hardcopy documents may be
30 eliminated, and the applicant's information may be entered only once, thereby eliminating human

error. In one enhancement, the applicant may be presented with a page that allows the applicant to upload additional documents or images, such as supporting documents, from the applicant's remote system.

At step 814, if and when the applicant responds to the invitation (e.g., logs on to the system), the applicant is prompted to answer the questions in each of the set of questionnaires. In one example, the applicant may be requested to provide information that generates additional transmissions, such as to identify additional individuals (e.g., character references, or the like). If the applicant identifies additional individuals, the system may generate second-order invitations for transmission to those additional individuals, such as references. In one example, an applicant may identify a character reference while filling out the applicant's online documents. In response, the system may automatically generate a second set of documents related to that class of reference (e.g., relative, former employer, or creditor).

At step 816, the system iterates over the preceding steps until necessary documentation has been transmitted to all or substantially all interested individuals.

At step 818, once the required amount of information has been provided by those who have been invited to respond (applicant and any references), the system may initiate an alert to inform the organizational user of that fact, thus ensuring the organizational user has any information that would be necessary for the background investigation in one location, and easily accessible. In this way, the organizational user need not be concerned with personally tracking whether all the necessary information is available prior to performing the complete background investigation.

While various embodiments have been disclosed herein, other aspects and embodiments will be apparent to those skilled in art. The various embodiments disclosed herein are for purposes of illustration and are not intended to be limiting, with the true scope and spirit being limited only by the following claims.

CLAIMS

The embodiments of the invention in which an exclusive property or privilege is claimed are defined as follows:

1. A system for managing a background investigation of an applicant, comprising:

5 a communication component executing on a network-capable computing system, said network-capable computing system operative to receive inbound communications from remote computing systems, the communication component being further operative to facilitate a log in session between at least one remote computing system and the network-capable computing system;

10 a document creation component configured to create questionnaires relevant to the background investigation, the questionnaires each being a member of at least one class of questionnaires, the at least one class being related to a type of reference for the applicant, the document creation component being further operative to compile a plurality of questions for a particular class of questionnaire based on the type of reference, said document creation
15 component being further operative to compile the plurality of questions through a drag-and-drop interface based on an identifier for the class of questionnaire; and

a process management component configured to manage a background investigation process for an applicant entry associated with the applicant, the process management component including further sub-components that are operative to facilitate individual tasks within the
20 background investigation process; the sub-components comprising:

an invitation generation component operative to assemble a set of questionnaires for transmission to an applicant remote computing system, the set of questionnaires being related to a position within an organization, the invitation generation component being further operative to transmit an invitation to the applicant remote computing system, the invitation including
25 information

a response receipt component operative to facilitate a log in session the applicant remote computing system and to receive responses from the applicant remote computing system to questions within each of the questionnaires in the set of questionnaires, the response receipt component being further operative to cause the invitation generation component to transmit a

second invitation to another remote computing system based on the received responses and to receive further responses from the other remote computing system, and

a portable document creation component operative to create portable document format versions of the set of questionnaires.

5

2. The system recited in claim 1, wherein the invitation generation component is further configured to generate a pre-selected set of questionnaires based on the position, and to allow the pre-selected set of questionnaires to a final set of questionnaires prior to transmission to the applicant remote computing system.

10

ABSTRACT

A web based software system generally designed for processing pre-employment background investigations is described. The software system allows an organization the ability to create and customize electronic documents to be sent to their applicants to complete via the web based software system, and returned in the same fashion. The subject matter turns much of a common pre-employment background investigation electronic, so that fewer hardcopy documents are necessary, thus creating more efficient management of individual background investigations.

Electronic Patent Application Fee Transmittal

Application Number:	13441648
Filing Date:	06-Apr-2012
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Filer:	John Whitaker
Attorney Docket Number:	MM0002

Filed as Small Entity

Utility under 35 USC 111(a) Filing Fees

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Extension - 2 months with \$0 paid	2252	1	280	280

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Total in USD (\$)				280

Electronic Acknowledgement Receipt

EFS ID:	13577575
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J. Miller
Customer Number:	56031
Filer:	John Whitaker
Filer Authorized By:	
Attorney Docket Number:	MM0002
Receipt Date:	23-AUG-2012
Filing Date:	06-APR-2012
Time Stamp:	22:09:00
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$280
RAM confirmation Number	6939
Deposit Account	
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
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1	Miscellaneous Incoming Letter	ResponseMissingParts.pdf	78132	no	2
			8fe28372ef1701103e89f107111fd299ff079a1		
Warnings:					
Information:					
2	Drawings-only black and white line drawings	Figs1-25.pdf	1618736	no	25
			81ba2a05c0dfadd46fbc6395ad569303f6117b2e		
Warnings:					
Information:					
3	Drawings-only black and white line drawings	Figs26-63.pdf	3158081	no	33
			9dab1ffc986341135d02dcff77b18adcbaafd88		
Warnings:					
Information:					
4	Specification	SubstituteSpec.pdf	142925	no	26
			03ff782117e24e6392945aa178c4f5c4052b3982		
Warnings:					
Information:					
5	Specification	SubstituteSpecRedline.pdf	153040	no	26
			becf1dcbff1ded0a2f46d425172a37be4514db		
Warnings:					
Information:					
6	Fee Worksheet (SB06)	fee-info.pdf	30408	no	2
			b2e8b1aa3a7bf438b8bd6a04cad0e71732a8e8cc		
Warnings:					
Information:					
Total Files Size (in bytes):			5181322		

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

SCORE Placeholder Sheet for IFW Content

Application Number: 13441648

Document Date: 8/23/2012

The presence of this form in the IFW record indicates that the following document type was received in electronic format on the date identified above. This content is stored in the SCORE database.

- Drawings – Other than Black and White Line Drawings

Since this was an electronic submission, there is no physical artifact folder, no artifact folder is recorded in PALM, and no paper documents or physical media exist. The TIFF images in the IFW record were created from the original documents that are stored in SCORE.

To access the documents in the SCORE database, refer to instructions developed by SIRA.

At the time of document entry (noted above):

- Examiners may access SCORE content via the eDAN interface.
- Other USPTO employees can bookmark the current SCORE URL (<http://es/ScoreAccessWeb/>).
- External customers may access SCORE content via the Public and Private PAIR interfaces.



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Table with 4 columns: APPLICATION NUMBER (13/441,648), FILING OR 371(C) DATE (04/06/2012), FIRST NAMED APPLICANT (Tyler J. Miller), ATTY. DOCKET NO./TITLE (MM0002)

CONFIRMATION NO. 9597

FORMALITIES LETTER



56031
Whitaker Law Group
1218 Third Avenue
Suite 1809
Seattle, WA 98101

Date Mailed: 04/23/2012

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121(d) are required. The drawings submitted are not acceptable because:
- The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 1.
- The drawings must be made on paper that has a white background (see 37 CFR 1.84(e)). For example, drawings on graph paper, lined paper, or paper that has a non-white background are not acceptable. See Figure(s) 1.

The following item(s) appear to have been omitted from the application:

- Figure(s) 2, 13, 15, 17, 22, 23, 26, 40, 43, 44, 46, 52, 56, 62, 64 described in the specification.

Applicant must reply to this notice within the time period set forth in this notice to avoid abandonment of this application. Applicant must select one of the three following options and the reply must comply with the requirements set forth in the selected option and any other requirements set forth in this notice. The reply should also indicate which option applicant has selected.

I. Petition for date of deposit: Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$400.00 petition fee (37 CFR 1.17(f))) with evidence of such deposit must be filed within TWO MONTHS of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO. THIS TWO MONTH PERIOD IS EXTENDABLE UNDER 37 CFR 1.136(a) or (b).

II. Petition for later filing date: Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$400.00 petition fee (37 CFR 1.17(f))) requesting the later filing date must be filed within TWO MONTHS of the date of this Notice. THIS TWO MONTH PERIOD IS EXTENDABLE UNDER 37 CFR 1.136(a) or (b).

Applicant is advised that generally the filing fee required for an application is the filing fee in effect on the filing date accorded the application and that payment of the requisite basic filing fee on a date later than the filing date of the application requires payment of a surcharge (37 CFR 1.16(f)). To avoid processing delays and payment of a surcharge, applicant should submit any balance due for the requisite filing fee based on the later filing date being requested when submitting the omitted item(s) and the petition (and petition fee) requesting the later filing date.

III. Acceptance of application as deposited: Applicant may accept the application as deposited in the USPTO by filing an appropriate amendment as set forth in either (A) or (B) below within **TWO MONTHS** of the date of this Notice. **THIS TWO MONTH PERIOD IS EXTENDABLE UNDER 37 CFR 1.136(a) or (b)**. The application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (i.e., the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit. A petition is not required for this option.

(A) If applicant wants to accept the application as deposited without adding the subject matter that was in the omitted item (e.g., a missing page or figure), applicant is required to submit one or more of the following items without adding any new matter (see 35 U.S.C. 132(a)):

1. For a missing page of the specification,
 - a) a substitute specification including claims that amends the specification to renumber the pages consecutively and cancels any incomplete sentences, and
 - b) a statement that the substitute specification includes no new matter, in compliance with 37 CFR 1.121(b)(3) and 1.125;
2. For a missing figure of the drawings,
 - a) replacement drawing sheets in compliance with 37 CFR 1.121(d) to renumber the drawing figures consecutively (if necessary),
 - b) a substitute specification excluding claims that amends the specification to cancel any references to any omitted drawing(s) and corrects the references in the specification to the drawing figures to correspond with any relabeled drawing figures, and
 - c) a statement that the substitute specification includes no new matter, in compliance with 37 CFR 1.121(b)(3) and 1.125;
3. For a missing page of the claim listing only, a replacement claim listing with the claims renumbered consecutively or, if amendment to the claims is also necessary, then a complete claim listing in compliance with 37 CFR 1.121(c);
4. For a missing or unreadable compact disc,
 - a) a substitute specification (excluding the claims) deleting the reference to the compact disc and the files contained on the compact disc, and
 - b) a statement that the substitute specification includes no new matter, in compliance with 37 CFR 1.121(b)(3) and 1.125; and
5. For a missing or unreadable file submitted on a compact disc,
 - a) a substitute specification (excluding the claims) deleting the reference to the missing or unreadable file, and a statement that the substitute specification includes no new matter, in compliance with 37 CFR 1.121(b)(3) and 1.125; and
 - b) a replacement transmittal letter listing all of the files except the missing or unreadable file in compliance with 37 CFR 1.52(e)(3)(ii).

(B) Alternatively, if applicant wants to accept the application as deposited but wishes to add the subject matter in the omitted item (e.g., a missing page or figure) by relying on an incorporation by reference under 37 CFR 1.57 or other portions of the original disclosure, applicant is required to submit one or more of the following items without adding any new matter (see 35 U.S.C. 132(a)):

1. To add the subject matter in a missing page of specification,
 - a) a substitute specification excluding claims and
 - b) a statement that the substitute specification includes no new matter, in compliance with 37 CFR 1.121(b)(3) and 1.125;

2. To add a missing figure of the drawings, new and replacement drawing sheets in compliance with 37 CFR 1.121(d);
3. To add the subject matter in a missing page of the claim listing, a complete claim listing in compliance with 37 CFR 1.121(c) (e.g., a claim in the missing page should be submitted as a new claim);
4. To add the subject matter in a missing or unreadable compact disc,
 - a) a replacement compact disc and a duplicate copy of the compact disc, in compliance with 37 CFR 1.52(e); and
 - b) a statement that the replacement compact disc contains no new matter in compliance with 37 CFR 1.52(e)(4); and,
5. To add the subject matter in a missing or unreadable file submitted on a compact disc,
 - a) a replacement compact disc that contains all of the files listed in the specification including the missing or unreadable file and a duplicate copy of the compact disc, in compliance with 37 CFR 1.52(e); and
 - b) a statement that the replacement compact disc contains no new matter in compliance with 37 CFR 1.52(e)(4).

If applicant is relying on an incorporation by reference under 37 CFR 1.57 to add the omitted subject matter, then applicant must also comply with the requirements of 37 CFR 1.57.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

Items Required To Avoid Processing Delays:

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

- A new oath or declaration, identifying this application number is required. The oath or declaration does not comply with 37 CFR 1.63 in that it:
- does not identify the residence (e.g., city and either state or foreign country) of each inventor.

Replies should be mailed to:

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.

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For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

/mgabre/

Office of Data Management, Application Assistance Unit (571) 272-4000, or (571) 272-4200, or 1-888-786-0101

PATENT APPLICATION FEE DETERMINATION RECORD

Substitute for Form PTO-875

Application or Docket Number
13/441,648

APPLICATION AS FILED - PART I

(Column 1) (Column 2)

FOR	NUMBER FILED	NUMBER EXTRA
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A
SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A
TOTAL CLAIMS (37 CFR 1.16(j))	2 minus 20 = *	
INDEPENDENT CLAIMS (37 CFR 1.16(h))	1 minus 3 = *	
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$310 (\$155 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))		

* If the difference in column 1 is less than zero, enter "0" in column 2.

SMALL ENTITY

RATE(\$)	FEE(\$)
N/A	95
N/A	310
N/A	125
x 30 =	0.00
x 125 =	0.00
	0.00
	0.00
TOTAL	530

OR OTHER THAN SMALL ENTITY

RATE(\$)	FEE(\$)
N/A	
N/A	
N/A	
TOTAL	

APPLICATION AS AMENDED - PART II

(Column 1) (Column 2) (Column 3)

AMENDMENT A		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total (37 CFR 1.16(i))	*	Minus	**	=
	Independent (37 CFR 1.16(h))	*	Minus	***	=
	Application Size Fee (37 CFR 1.16(s))				
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					

SMALL ENTITY

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

OR OTHER THAN SMALL ENTITY

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

(Column 1) (Column 2) (Column 3)

AMENDMENT B		CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
	Total (37 CFR 1.16(i))	*	Minus	**	=
	Independent (37 CFR 1.16(h))	*	Minus	***	=
	Application Size Fee (37 CFR 1.16(s))				
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

OR OTHER THAN SMALL ENTITY

RATE(\$)	ADDITIONAL FEE(\$)
x =	
x =	
TOTAL ADD'L FEE	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest found in the appropriate box in column 1.



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Table with 7 columns: APPLICATION NUMBER, FILING or 371(c) DATE, GRP ART UNIT, FIL FEE REC'D, ATTY. DOCKET NO, TOT CLAIMS, IND CLAIMS. Row 1: 13/441,648, 04/06/2012, 2178, 530, MM0002, 2, 1

CONFIRMATION NO. 9597

FILING RECEIPT



56031
Whitaker Law Group
1218 Third Avenue
Suite 1809
Seattle, WA 98101

Date Mailed: 04/23/2012

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections

Applicant(s)

Tyler J. Miller, Residence Not Provided;

Power of Attorney: The patent practitioners associated with Customer Number 56031

Domestic Priority data as claimed by applicant

This appln claims benefit of 61/472,556 04/06/2011

Foreign Applications (You may be eligible to benefit from the Patent Prosecution Highway program at the USPTO. Please see http://www.uspto.gov for more information.)

If Required, Foreign Filing License Granted: 04/18/2012

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US 13/441,648

Projected Publication Date: To Be Determined - pending completion of Corrected Papers

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

BACKGROUND INVESTIGATION MANAGEMENT SERVICE

Preliminary Class

715

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

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BACKGROUND INVESTIGATION MANAGEMENT SERVICE

RELATED APPLICATIONS

This application claims priority to and the benefit of previously filed and co-pending
5 provisional Patent Application No. 61/472,556, entitled Background Investigation Web Services,
filed on April 6, 2011, which is hereby incorporated by reference for all purposes.

TECHNICAL FIELD

The subject matter generally relates to a system to facilitate the process of performing
background investigations on a plurality of applicants.

10 BACKGROUND INFORMATION

In many areas, but particularly in the area of law-enforcement pre-employment
background investigations, investigators report they spend, on average, 40 hours per applicant
investigation. During this process, the applicant typically completes a paper packet comprised of
questions pertaining to the applicant's life history, including information on criminal activity,
15 financial history, drug history, listing relatives and personal references, employment history, and
many other in-depth personal questions. The applicant typically submits this packet to the
background investigator along with waivers and permissions (Agreements and Advisements) to
conduct a background investigation. The investigator typically uses resources available to him
or her to confirm the information the applicant provided in the various documents, to include,
20 contacting past employers, supervisors, neighbors, relatives, references, landlords, etc., which
makes up the bulk of the investigator's 40 hours per applicant of spent time.

What has eluded the industry is an automated system to help a background investigator
more efficiently and effectively conduct a background investigation.

BRIEF DESCRIPTION OF THE DRAWINGS

25 The subject matter of this patent will become more readily appreciated and better
understood by reference to the following detailed description, when taken in conjunction with the
accompanying drawings, wherein:

Figure 1 is a functional block diagram generally illustrating core components of a
background investigation management system in accordance with one illustrative embodiment of
30 the invention.

Figure 2 is a screen display of an editing function wherein specific content can be saved for viewing to a specific account user type.

Figure 3 is a screen display of an account information page.

Figure 4 is a screen display of a page on which content for a reference type is managed.

5 Figure 5 is a screen display showing different reference types that can be selected to manage associated content.

Figure 6 is a screen display of an edit mode in building/editing questionnaires/forms within the system.

10 Figure 7 is a screen display of a page that lists different questionnaires/forms, who they are available for, and what position the questionnaire/form is presently assigned to.

Figure 8 is a screen display of a currently logged in user's My Account page where their account information can be edited.

Figure 9 is a screen display of the edit mode of a form within the Agreements & Advisements section of the system, and certain properties that can be selected for it.

15 Figure 10 is a screen display of a page showing documents under Agreements & Advisements, and their status.

Figure 11 is a screen display of an account editing function of the system wherein account-specific information for an account on the system may be edited.

20 Figure 12 is a screen display of a page where accounts entered on the system can be viewed, along with their associated account information.

Figure 13 is a screen display of a login page on the system.

Figure 14 is a screen display of a "dashboard" of an administrative user, wherein information about entered accounts and information requests is displayed.

Figure 15 is a screen display of a help page when signed in as an applicant.

25 Figure 16 is a screen display of a page where an applicant can upload and manage documents in their account "Applicant Profile."

Figure 17 is a screen display of a page where an applicant can upload and manage images in their account "Applicant Profile."

30 Figure 18 is a screen display of a fill-able questionnaire/form where an applicant types in responses to questions.

Figure 19 is a screen display of a page where questionnaire documents selected for an applicant appear for the applicant to open and complete.

Figure 20 is a screen display of a document (“Agreement & Advisement”), showing different methods in which an applicant acknowledges the document.

5 Figure 21 is a screen display of part of a document (“Agreement & Advisement”), showing the agency user’s contact info who has been assigned to the applicant and the documents title.

Figure 22 is a screen display of the documents (“Agreements & Advisements”) the applicant reviews and acknowledges per the agency’s settings for each document.

10 Figure 23 is a screen display of a page where the system routes a new system user to establish their password before their first login to the system.

Figure 24 is a screen display of a registration email sent to an applicant inviting them to click on a link to enter the system for the first time.

15 Figure 25 is a screen display of an account editing function within the system wherein the user can edit their account information.

Figure 26 is a screen display of a page where the user can view system help information relevant for their specific user type.

Figure 27 is a screen display of an inbox feature showing a user their messages and alerts received related to applicants assigned, or messages received with edit functionality.

20 Figure 28 is a screen display of “By Position” data the system may generate based on other data and use within an account.

Figure 29 is a screen display of “General” data the system may generate based on other data and use within an account.

25 Figure 30 is a screen display that shows a record of “shared” information and related information such as SSN, Viewable dates, Recipient, and other a link to additional details.

Figure 31 is a screen display showing a page to generate template letters with HTML and other codes that the agency uses to send to applicants.

Figure 32 is a screen display showing a page where documents can be associated with a certain type of reference.

30 Figure 33 is a screen display showing different reference types the system supports.

Figure 34 is a screen display showing a page where questionnaires and forms can be built or edited for use with applicants.

Figure 35 is a screen display showing the initial properties setup of a new questionnaire/form.

5 Figure 36 are two screen displays showing and edit mode of a questionnaire/form and a preview mode of the same questionnaire/form.

Figure 37 is a screen display showing a page for building questionnaires using drag and drop functionality.

10 Figure 38 is a screen display of questionnaires in an account with certain functionality associated to them such as edit, preview and delete.

Figure 39 is another screen display of a document in edit mode where an agency can write certain content and select how the applicant acknowledges it.

Figure 40 is a screen display of a view mode that shows the applicant's view.

15 Figure 41 is a screen display of a page where different types of documents can be managed from with a display of their title, status and preview option.

Figure 42 is a screen display of a page for adding a new agency user into an agency's account on the system.

Figure 43 is a screen display of a page to allow editing an agency user already in the agency's account on the system.

20 Figure 44 is a screen display of a page to display information on user's entered in a specific agency's account on the system.

Figure 45 is a screen display of a page to allow entering applicant's into the account on the system.

25 Figure 46 is another screen display of a page to allow entering applicant's into the account on the system.

Figure 47 is a screen display of a page to assign applicant entries into different categories such as Pending Assignment, Assigned, Suspended and Completed.

Figure 48 is a screen display of a page to show important account and system information.

Figure 49 is a screen display of a page to display and manage certain documents and related functions intended to be sent to and used by applicants.

Figure 50 is a screen display of a page for assigning questionnaires to a position.

Figure 51 is a screen display of a page to allow management of documents and task
5 checklists for a position within an account.

Figure 52 is a screen display of a page to allow the creation of a new position for an account.

Figure 53 is a screen display of a page for assigning documents/Agreements and Advisements to one or more positions.

10 Figure 54 is a screen display of a page to allow the creation and edit of a task checklist related to a position within an account.

Figure 55 is a screen display of the system's functionality to allow the creation and management of saved/letter templates which can be used by any agency user of the system after created.

15 Figure 56 is a screen display of the system's functionality to allow the content of a letter template to be entered and saved.

Figure 57 is a screen display of the system's functionality to allow a user to select information from an applicant's profile to be viewable to an invited external individual.

20 Figure 58 is a screen display of the system's functionality to establish who can view information from a certain applicant's profile, along with authorization code and link expiration time frame.

Figure 59 is a screen display of the system's functionality to reproduce detailed information on previous detail of shared information.

25 Figure 60 is a screen display of the system's functionality to produce basic information on previous, certain detail of shared information

Figure 61 is a screen display of the system's functionality to send a link and other content via email notifying a third party of their invitation to view information they had requested about an applicant.

Figure 62 is a screen display of the system's functionality to route the recipient of shared information to a screen where they can read any message from the sender, and must enter a valid authorization code to proceed.

Figure 63 is a screen display of the system's functionality to display selected information to the recipient who has given access to such information by the sending agency.

Figure 64 is a screen display of an account editing function of the system wherein account-specific information for any one or more accounts on the system may be edited.

Figures 65-76 are screen displays of additional components implementing embodiments of the software system.

Figure 77 is a block diagram illustrating an example computing device that may be used to implement one or more components of the illustrative software system, in accordance with the present disclosure

Figure 78 is an operational flow diagram generally illustrating a process that may be implemented by various embodiments of the background investigation management system.

DETAILED DESCRIPTION OF EMBODIMENTS

Various embodiments of the subject matter provide an automated system for organizing, managing, and reporting on pre-employment background investigations. Generally stated, the subject matter is directed to a web based software system for managing the process of performing pre-employment background investigations. Although described here as web based, other embodiments may be implemented that are not web based.

Referring now to Figure 1, a software system 100 allows an organization 102 the ability to create and customize electronic documents 104 to be sent to applicants to complete via the software system 100, and returned to the software system 100 in similar fashion. The software system 100 includes a document creation component 114 and a document management component 116. The system 100 automates the majority of the tasks of a common pre-employment background investigation so that fewer hardcopy documents are necessary, thus creating more efficient management of individual background investigations. One feature among many is the electronic sharing of applicant information 124 between organizations (e.g., Org A 102 and Org B 111) so the software system 100 may alert an organizational user (Org A 102) that an applicant 120 has already been entered into the system by another organizational

user (Org B 111) of the software system 100. For example, among other types of information shared, organizations can be alerted if an applicant 120 was previously entered into the software system 100 by other organizations that use the software system 100. In that way, the second organization would have access to applicant information 125 about the applicant 120 that had
5 been previously compiled, thus avoiding duplication of effort.

The software system 100 not only allows organizations to create 114 and manage 116 documents 104 used for background investigations, but included in this subject matter, the system 100 also automatically processes information entered in the documents to save organizations time and allow quicker turnaround of the background investigation.

10 The subject matter is anticipated to save organizations time and other costly resources. Organizations are given tools and resources that previously were not available to them without this software system.

Generally stated, the technical functions and features of the described system are initiated when a remote terminal communicates with a central computer (server) via the Internet or other
15 network , such as an internal network, communicate with one another using the software system. A verified and authenticated connection is made between the central computer and the remote computer once the individual user's credentials are entered into login field(s) and then validated by the central computer, via the software system 100.

Organizational user accounts are created when a main master admin account (Personnel)
20 user creates an admin account for a specific user group (customer's user group). The admin account for the user group is created when the Main Master Admin (Personnel) Account logs in and connects to the central computer via the remote computer and enters an email address and the customer's information. The user group admin account can add, edit, or delete (manage) other users within that user group. Once the connection is made, the connection is valid and
25 features below will function provided the connection is maintained. If a pre-set amount of time passes without any activity on the remote terminal end, the application will terminate (session time out) the connection of the two computers and the user re-login. The software system 100 offers operative functionality to remote terminals (users) after successful connection to the central computer. This functionality is available when the remote terminal makes an

authenticated connection with the central computer (server) via a network 101, such as the Internet.

Specific functionality of one illustrative embodiment of the system will now be described with reference to several exemplary components which may be incorporated into one or more
5 exemplary embodiments. Each of the following components and features may be implemented using software methods and processes executing on one or more computing systems, such as the illustrative computing system shown in Figure 65 and described below. These exemplary components are not presented as being an exhaustive list, as the system 100 may implement
10 other components in addition to these. Still further, certain of the following components may be omitted from the larger system without deviating in any material way from the scope and teachings of the core system 100.

Applicant Electronic Signature: (Figs. 39, 40, 41, 20, 21, 22, 10, 49, 53) Upon the applicant's registration process (first log in), the software system prompts the applicant to adopt an electronic signature. This is one of the first Agreements and Advisements (see the following
15 "Agreements & Advisements" section) the applicant reviews and acknowledges during their first software session. The software system auto generates an electronic signature and displays it to the applicant. The applicant can agree to use the system suggested electronic signature, or not agree to the signature.

Agreement and Advisements: (Figs. 4, 10, 9, 20, 21, 22, 32, 39, 40, 41, 49, 51, 53, 57)
20 Organization users can establish documents they wish an applicant to review and acknowledge the first time they log into the software. An applicant is sent an email with an invitation type message to let them know they have been selected to take part in a background investigation. They click on a link exclusive for them which take them into the software system. The first screen they see is a place to establish a private password and proceed.

25 When the applicant proceeds, they are routed to the first documents (Agreement or Advisement) the organization has selected for them to review. The content of the Agreements and Advisements documents can be anything the organization has imputed. The organization also chooses how they would like the applicant to acknowledge (certify/sign) the document. This can include the electronic signature the applicant has agreed to use, social security number
30 (or any part of it), or initials. When certification fields that are required by the organization have

been completed by the applicant for that specific document, the applicant can click a Proceed button which takes the applicant to the next Agreement and Advisement document (if one exists). An Agreement or Advisement document can also be set to "Hardcopy Submit" by the organization. This will cause a Print button to appear at the bottom of the page in addition to the Proceed button. If Hardcopy Submit is activated for that particular Agreement or Advisement document, the applicant will not see any way to certify the document online, and he or she print the document and follow instructions the organization has included in the body of the document.

Organization users control the different properties of the Agreements and Advisement documents by accessing their user dashboard, clicking on an Agreement and Advisements folder, and then selecting on the individual document they would like to edit.

Form / Questionnaire Builder: (Figs. 35, 36, 38, 34, 37, 6) The software system includes a form builder. This feature allows users at an organization to build questionnaires (forms) with questions and choose various styles of answers an applicant can give in response to a question. Text boxes for applicant responses can be set to expand as the applicant types. If an applicant answers a certain way (in example, the applicant answers "yes" to a yes or no question), the form builder can be set to ask additional sub questions based on the applicant's response. This eliminates the need for the applicant to see multiple questions that may not apply to the applicant's situation due to the applicant's previous response. Questions on any existing questionnaire can easily be edited or deleted at any time, even after the questionnaire is saved. There is no limit on the number of questionnaires that can be built. Questions can be programmed so that a certain response to a question creates a "flag" to draw the any reviewer's attention to that particular question. The software system also features a drag and drop feature that allows the users to arrange questionnaires as they would like to see them. How they are arranged is also the order they are presented to the applicant.

Dashboard: (Figs. 22, 48) Each user of the software system is routed to a user dashboard once their login credentials are authenticated with the central computer (server). In this embodiment, there are 6 types of dashboards: Admin dashboard, Agency Admin dashboard, Agency User dashboard, Applicant dashboard, Image Processor dashboard, and Administrative Agency dashboard. The system knows what dashboard to give a new user based on their account type, which is selected when the user if first entered into the software system. Each dashboard is

programmed to display information specific to the type of user's needs and the job they are tasked with completing. On the dashboard page (and every other page) there is a menu bar at top where different pages of the software system can be accessed. The dashboard has a number view of applicants and their current status, an inbox with a number of most recent alerts and messages, a calendar display with upcoming appointments and controls for appointments, a summary of sharing activity, contact information for help, alert settings, and the agency's image and license information. From the dashboard, the user can access even more in-depth information, such as alerts and images, by clicking on the inbox link, which will route the user to main inbox page with the user's alerts with further ability to control the inbox functionality.

10 **Managing Users:** (Figs. 42, 43, 44) An Admin account for each organization is created at the time the organization's account is created within the software system. This main admin account at the organization can create additional admin accounts at the agency, or regular user accounts within the organization by accessing a "Users" page within the software system and completing questions related to adding a new user. The admin users can update, delete, or suspend any regular users within the organization. Admin users can be updated, deleted, or suspended by the main admin account. The main admin account can be edited by a representative of a company that administers the software system.

20 **User Electronic Signature:** Upon entering a user into the software system, an electronic signature can be uploaded for that user. The system is able to save the signature for a specific member so signatures are always associated with a specific login. The user is therefore able to insert their electronic signature in any document they generate on the software system. This feature was originally designed for the user to insert their signature during the creation of letters to external sources which may be contacted as part of an applicant's background investigation process.

25 **Entering Applicants:** (Figs. 45, 46, 47) Any user at an organization can enter new applicants into the software system. To do this, the user clicks on "Applicants" and then clicks a button that functions to bring up various fields which are required to enter a new applicant into the system (Such as names, date of birth, social security number, address, phone numbers, position applying for, etc). Upon entering the applicant's name and other information into the system, the system performs a check of the central computer (server) to see if the applicant has

previously been entered by any other organization on the software system. If the system finds a match, the system produces information including the other agency's information (name, contact info, point of contact, etc.), and also what position the applicant applied for and a brief summary of the applicant's current status with the agency. When an applicant is entered into the system, the applicant is suitably put in a Pending Assignment status or assigned to one of the User's at the organization. When assigned to a user, the user will receive an alert to their dashboard inbox and their external email (if activated).

Managing Applicants: (Figs. 47, 48) Each user at an organization can view the status of applicants the agency has entered into the software system via their user dashboard. The applicants are presented by their current status, including applicants that are: "Pending Assignment" (entered into the software system but pending assignment to an organization's user for investigation), "Assigned" (currently assigned to a user at the organization), "Suspended" (a user at the organization as temporarily suspended the investigation), "Completed" (the applicant's background investigation has been completed by the organization).

Applicant Status: (Figs. 47, 48, 65, 66) Applicant's status is always displayed on their Applicant Profile where applicants are displayed in the system. Statuses include, but are not limited to: Pending Assignment, Assigned, Suspended, Completed, Hired, Conditional Job Offer, Admin Review, Not Selected – eligible to reapply, Not selected – ineligible to reapply, Appeal, Reopened.

Any user at an organization can access the list of applicants from the users dashboard view and update the status of an applicant. The status can also be updated from an organization user accessing the Applicant's Profile.

Investigation Management: (Fig. 67) Users can access an Applicant's Profile and view the status of the investigation by checking the files within the Applicant's Profile. One file contains the questionnaires and forms the applicant has been assigned by the organization to complete. When an applicant completes one questionnaire, the organization's user can see the date and time it was completed.

Positions: (Figs. 50, 51, 52, 53) Organization users can create positions they conduct background investigations for within their organizations. This feature allows the organization users to select Agreements and Advisements, questionnaires, and other documents specific for a

position to be saved under a position name. For example, these documents could be selected for the "Confidential Secretary" position. When a new applicant is entered into the software system for the first time, this feature allows expedited assignment of requirements (documents, etc) for that position by simply assigning the position name to the newly entered applicant, opposed to
5 having to select each individual document for the applicant to complete; requirements are saved under the position!

Checklists: (Figs. 54, 68) Checklists is a feature in the software system which allows organization users to establish a check off list of tasks/duties associated with each applicant's background investigation, based on the position. This checklist feature is to ensure the
10 organization user (background investigator) is completing each and every task or duty required by management or supervisors for the type of position the applicant has applied for. This ensures no steps are missed in an applicant's background investigation.

Alerts: (Figs. 27, 48, 65) When an applicant is assigned to a user at the organization, that user is able to select if they would like to receive alerts regarding activity relating to the
15 applicant from the software system. Alerts include: an alert showing date and time an applicant logged into the software system, when the applicant has completed certain documents or other requirements assigned to them, when a reference returns a questionnaire, when a note is added to an assigned applicant's profile, and when an applicant is assigned to a user at the organization.

An alert is also sent to the user at the organization if another, separate organization enters
20 the applicant into the software system, as long as the first organization has not yet completed the applicant's investigation.

Reference Management: (Figs. 4, 5, 32, 69, 70) The software system uses the names, addresses, email addresses and phone numbers applicants supply from the questionnaires in the software system to build a reference file within the Applicant's Profile. Here, the system
25 displays reference sources (names and info) to include relatives, employers, supervisors, co-workers, neighbors, and personal references. The software system allows the user at an organization to access this file and print a cover letter, a questionnaire, and select any Agreements and Advisement to include, which will print grouped together and be addressed to the correct reference. A second print button will also print the address on envelopes.

If an email address was provided for a reference source, the organization's user can select how to mail the reference documents to the individual (by email, or by mail, or by both). If by email, the reference receives an email with a link to log into the software system. Here the reference is presented with the documents the organization has selected them to see and complete. When the reference is done, they can save the questionnaire and come back to it later to add more info, or they can send it back to the organization. When the reference has submitted their documents, the user assigned to the applicant's background investigation at the organization receives an alert.

The content of documents sent to references is controllable by the organization's user through the Forms page, and through the Reference Documents file within an Applicant's Profile.

An organization user can add notes under any reference name within this file. This is helpful if the organization user has to contact the reference by phone. The user can take notes as they speak to the reference source on the phone.

The organization user can also add a new reference (name, address, email, phone numbers, relationship, etc.) to the file that was not included in the applicant's Responses.

Mailed or emailed references can be programmed so that if a reference is not received back within a set amount of time (Days), the system prompts an alert to the organization user assigned to the investigation indicating no response received for the specific reference. A "Resend" button appears (for email references), "Dismiss," or a set a new flag, which allows the user to set a new date and time to remind the user about the reference at a later time. The organization's admin account sets the number of days that have to pass before an alert flag is produced to the assigned user at the organization who is conducting the investigation, for the first flag.

Inbox: (Fig. 27) Each software system user (including applicants) has an inbox on their user dashboard. This inbox collects the incoming alerts and messages related to each user and displays them to the user in an inbox section on the user's dashboard, and through an inbox page, which is accessible via a link in the dashboard's inbox or via the main menu bar.

Messaging System: An investigator can send a message to an applicant or any of the organization's users by clicking a "Compose Message" button and selecting the name of the user or applicant on the software system. If an organization's user accesses an applicant's profile and

then clicks a "send message" or similarly named button, the message will be sent to that applicant and the message is added to a "messages" folder within the applicant's profile. When a message is opened by an applicant, it is noted next to the actual message in the Organization's user's sent mail folder. The purpose of the messages folder is so that any hiring authority
5 conducting a review of the investigation can look back over communication between the applicant and the organization's user(s). It also helps to create an official, undisputable record of communication between the applicant and organization users.

Organization To Applicant Letter: (Figs. 55, 56, 71) A feature of the software system allows a user at the organization to send an official letter to the applicant (more formal than the
10 email type messaging listed above). This letter appears on the organization's pre-loaded letter head. The system allows the letterhead to be sent electronically through the system to the applicant, or printed, with an envelope, and mail to the applicant. If sent electronically, the system notifies the applicant on their dashboard the letter was received in the inbox (or via the inbox page). The applicant can open and review the letter and print it, if they decide. An
15 external notification about the letter is also sent to the applicant's external email address on file with the software system.

The system stores letters sent to the applicant in the Applicant's Profile in a designated file for any future reference.

Electronic Notes: (Fig. 72) The software system includes an electronic note section
20 within each Applicant's Profile. Here, any organization user can type a note/comment which is related to the applicant. The note is stamped by the system with the date and time it was added, and the user's full name who added the note. When a note is added, the user at the organization who is assigned to the Applicant's background investigation receives an alert on their dashboard (and inbox page) and/or to external email address (if the user has External Notifications feature
25 turned on/activated).

Address Locator: (Figs. 73, 74) The software system contains a feature that will retrieve law enforcement and court names, addresses and phone numbers for a pre-defined radius around the applicant's past and current addresses, and those addresses of the applicant's employer's and relatives.

The system does this by taking the address information the applicant provided on questionnaires he or she submitted to the organization via the software system. The system then conducts a search using an Internet search engine for agencies and courts around the selected address. A list of agencies and courts is presented to the user at which time the organization user
5 selects which agencies and courts the organization will send reference letters and requests for records checks to. The user can also edit the address in case of any system mistake.

A print button next to each selected agency will print a cover letter to the agency, a questionnaire with questions for the agency or court to complete and any of the applicant's Agreements and Advisements that are selected to include in the mailing. A second print button
10 will print the envelope for the agency or court. Both the cover letter and the envelope auto print with the correct name and address for the selected agencies and courts, individually, or a Print All feature will print selected with two clicks (one click for documents, one click for envelopes).

Document Upload: (Fig. 16) The software system has a feature that allows a user to upload any hardcopy document into a specific location within an Applicant's Profile. The user
15 does this by first logging into the software system, selecting the applicable applicant and then clicking on the location within the Applicant's profile where the document is to be uploaded. The software system allows the user to type information about the document such as its name, details, etc. The system also logs and displays the date and time the document was uploaded. If a document is uploaded to an Applicant's Profile, the user assigned to the applicant's
20 investigation receives a notification on their dashboard (and inbox page), and an external notification to the email address on file in the software system for the particular user (if the external notification option is turned on/activated).

Answer Review: (Fig. 75) Organization users can review an applicant's answers to questionnaires and other documents by accessing the applicant's profile, and clicking on the
25 folder with the documents they wish to review. The organization user reviewing the documents can add a note to each of the applicant's Responses, which (the note) is viewable to the organization. As the organization user reviews each response in a document, the system allows a check off feature next to each question to ensure applicant responses are reviewed.

Electronic Summary Report: (Fig. 76) The software system allows the organization
30 user conducting an applicant's background investigation to write a report when they have

completed their investigation. This report is written inside a file within the Applicant's Profile and then saved. The system auto dates and time stamps the entry and also the name of the user writing the report.

Electronic Review: (Fig. 66) The software system allows organization users to send an applicant's profile back and forth to one another for review and comment. This feature is designed to allow supervisors and managers the ability to receive a notification on their user dashboard and/or external email address that an Applicant Profile is ready for their review. The user can open the Applicant Profile, review information contained in the Applicant Profile and then note their recommendation within the Applicant Profile notes section, then route the Applicant Profile to another organization user within the software system, or send it to an external email address for review.

Information Sharing: (Fig. 57, 58, 59, 60, 61, 62, 63) The software system contains a feature allowing organizations to select specific information from an Applicant's Profile to send to a third party. Upon selecting information from an individual's Applicant Profile, the organization's user is given a form to complete with the software system to include the name of the individual the information is being sent to, their organization's name, contact info, and a set a password that allows the information to be opened. A time frame can also be set to establish within what dates the information can be viewed.

The receiving individual receives an email with a link to the software system. Here, the receiving party is given a warning that the information they are receiving is confidential and can be accessed, viewed, or distributed in accordance with their agreement with the sender. If the receiver agrees to this, they enter the password the sender gave them to access the information. The system will then allow the receiving party to view the information the sender selected for them to view.

Export Information: (Figs. 16, 65, 77) Text information that is part of an Applicant's Profile is exportable to PDF, and therefore savable/printable by the organization on a drive of their choice. When the Applicant's Profile is accessed by the organization user, there is an Export feature/button that will export documents in the Applicant's Profile into a PDF file. Audio and/or video files can be exported by clicking on the file folder the desired files are in and downloading them to the source of the user's choice.

Re-Open an investigation: (Fig. 66) An applicant's investigation can be reopened by going to the Applicant's Profile and updating the status to Reopen or "Appeal." Either status will reopen the investigation so it can be assigned to a user at the organization for further processing per that organization's policy. Features noted herein are reactivated during a reopened
5 investigation.

Flag an Applicant: This feature allows organizations to create a flag on an applicant they have entered into the software system. The flag is used to note specific information about the applicant which the organization has deemed important for other organizations to know about. Other organizations can see the flag if they enter the same applicant into the software
10 system.

Administrative Agency Account: Each state has a state regulatory agency which generally oversees the standards for background investigations of law enforcement officers and other public safety related positions. Some of these agencies inspect organization's files to make sure their background files contain the required, on-file information about the applicant's
15 background investigation. The Administrative Agency Account feature allows and Organization's admin account to create an "Administrative Agency Account," which gives an external user access to that organization's background files. The Administrative Agency Account is selectively limited for reviewing information for that specific organization during a specified time frame. The Agency Admin account at the organization has the ability to edit this
20 account, including suspending it or deleting it.

Session Timeout: The admin user at an organization can set the time for session time out timers for a user who is logged in to the software system. The set time will apply to users within that Organization's user group. The selectable time may be 1 to 120 minutes, or no session time out.

Admin Messages: Users can send out message from the control panel/dashboard. These messages will go to every user on the system's inbox on their dashboard and inbox page. These messages will be used to announce enhancements or any message that is applicable for users on the software system to receive.

Organization List: This feature is a button located on the dashboard and/or menu bar of
30 each user (except applicant). If clicked, the system produces a list of agencies (who wish to be

known) so the other organizations can see the network of users. This helps with information sharing.

Report a problem: This feature places a button on users' dashboard (except applicants). If clicked, it produces a form that can be completed to tell an admin about a problem the user
5 encountered with the software system. Upon clicking send, the information is transmitted to admin personnel in the form of an email to any designated email address(es).

Account Manager: (Fig. 48) This feature allows admin to input an account manager for each organization, which the information imputed displays on the dashboard of users at the organization. This information includes the account manager's name, phone numbers, and email
10 address. This allows any organization user who is having problems a quick reference of who their account manager is and the ways to contact the account manager.

System Access: (Fig. 3, 11, 64) The admin can set the access limitations for each organization's use. This includes the number of the applicants the organization can enter into the system within a specified date range. If the organization attempts to enter an applicant into the
15 software system and it's outside the parameters set by the admin, the organization's user will be informed to contact the managing company that manages the software system to arrange for additional system access. Organizations can view and access information for applicants which they have previously entered into the software system.

Reports: (Fig. 28) Reports for organizations include the following parameters: By
20 Position (allows organization personnel to see reports on the number of applicants approved, suspended, Not Selected – eligible to reapply, Not Selected – ineligible to reapply).

General reports include the following parameters: By age range, by ethnic origin, gender and by agency user. The categories for each of the above is: Pending Assignment, Assigned, approved, suspended, Not Selected – eligible to reapply, Not Selected – ineligible to reapply and
25 the average time of an investigation for each of these parameters. Users can also specify a date range to search.

On the company control panel/dashboard, the following reports are features of the software system, for each Account in the system: Active From (date), Active Through (date), Applicants entries allowed, Applicants entered into the system to date, Remaining number of
30 applicant entries, and number of users at the user organization.

Help Pages: Help content is available to each user on the system by clicking on the "Help" button on the menu bar while the user is logged in. The system produces a page of help content. The help content is specific to the type of user (Admin, User, and Applicant). The help content is changeable through the control panel/dashboard.

5 While the preferred embodiment of the subject matter has been illustrated and described, it will be appreciated that various changes can be made therein without departing from the spirit and scope of the subject matter.

Figure 77 is a block diagram illustrating an example computing device 700 that may be used to implement one or more embodiments of the software system 100, in accordance with the present disclosure. In a very basic configuration 701, computing device 700 typically includes 10 one or more processors 710 and system memory 720. A memory bus 730 can be used for communicating between the processor 710 and the system memory 720.

Depending on the desired configuration, processor 710 can be of any type including but not limited to a microprocessor (μ P), a microcontroller (μ C), a digital signal processor (DSP), or 15 any combination thereof. Processor 710 can include one more levels of caching, such as a level one cache 711 and a level two cache 712, a processor core 713, and registers 714. The processor core 713 can include an arithmetic logic unit (ALU), a floating point unit (FPU), a digital signal processing core (DSP Core), or any combination thereof. A memory controller 715 can also be used with the processor 710, or in some implementations the memory controller 715 can be an 20 internal part of the processor 710.

Depending on the desired configuration, the system memory 720 can be of any type including but not limited to volatile memory (such as RAM), non-volatile memory (such as ROM, flash memory, etc.) or any combination thereof. System memory 720 typically includes an operating system 721, one or more applications 722, and program data 724. Application 722 25 may include background document management software system 723, in accordance with the present disclosure. Program Data 724 may include applicant or organizational data 725 that may be useful as has been further described above. In some embodiments, application 722 can be arranged to operate with program data 724 on an operating system 721 such that operation of a system may be facilitated on general purpose computers. This described basic configuration is 30 illustrated in Figure 65 by those components within line 701.

Computing device 700 can have additional features or functionality, and additional interfaces to facilitate communications between the basic configuration 701 and any required devices and interfaces. For example, a bus/interface controller 740 can be used to facilitate communications between the basic configuration 701 and one or more data storage devices 750
5 via a storage interface bus 741. The data storage devices 750 can be removable storage devices 751, non-removable storage devices 752, or a combination thereof. Examples of removable storage and non-removable storage devices include magnetic disk devices such as flexible disk drives and hard-disk drives (HDD), optical disk drives such as compact disk (CD) drives or digital versatile disk (DVD) drives, solid state drives (SSD), and tape drives to name a few.
10 Example computer storage media can include volatile and nonvolatile, removable and non-removable media implemented in any method or technology for storage of information, such as computer readable instructions, data structures, program modules, or other data.

System memory 720, removable storage 751 and non-removable storage 752 are all examples of computer storage media. Computer storage media (or computer-readable medium)
15 includes, but is not limited to, RAM, ROM, EEPROM, flash memory or other memory technology, CD-ROM, digital versatile disks (DVD) or other optical storage, magnetic cassettes, magnetic tape, magnetic disk storage or other magnetic storage devices, or any other medium which can be used to store the desired information and which can be accessed by computing device 700. Any such computer storage media can be part of device 700.

Computing device 700 can also include an interface bus 742 for facilitating
20 communication from various interface devices (e.g., output interfaces, peripheral interfaces, and communication interfaces) to the basic configuration 701 via the bus/interface controller 740. Example output devices 760 include a graphics processing unit 761 and an audio processing unit 762, which can be configured to communicate to various external devices such as a display or speakers via one or more A/V ports 763. Example peripheral interfaces 770 include a serial
25 interface controller 771 or a parallel interface controller 772, which can be configured to communicate with external devices such as input devices (e.g., keyboard, mouse, pen, voice input device, touch input device, etc.) or other peripheral devices (e.g., printer, scanner, etc.) via one or more I/O ports 773. An example communication device 780 includes a network
30 controller 781, which can be arranged to facilitate communications with one or more other

computing devices 790 over a network communication via one or more communication ports 782. The communication link is one example of a communication media. Communication media may typically be embodied by computer readable instructions, data structures, program modules, or other data in a modulated data signal, such as a carrier wave or other transport mechanism, and includes any information delivery media. A “modulated data signal” can be a signal that has one or more of its characteristics set or changed in such a manner as to encode information in the signal. By way of example, and not limitation, communication media can include wired media such as a wired network or direct-wired connection, and wireless media such as acoustic, radio frequency (RF), infrared (IR) and other wireless media. The term computer readable media as used herein can include both storage media and communication media.

Computing device 700 can be implemented as a portion of a small-form factor portable (or mobile) computer such as a cell phone, a personal data assistant (PDA), a personal media player device, a wireless web-watch device, a personal headset device, an application specific device, or a hybrid device that include any of the above functions. Computing device 700 can also be implemented as a personal computer including both laptop computer and non-laptop computer configurations.

Referring now to Figure 78, a conceptual flow diagram illustrates one illustrative process 800 that may be embodied by the system 100. The steps of the process 800 are illustrated sequentially, but it should be appreciated that these steps may be performed in any random order and the process 800 is not defined by this particular illustrative order. The process 800 begins after an applicant applies for a position with an organization. In one specific example, the organization is a law-enforcement organization and the position is one requiring a background investigation. Accordingly, process 800 begins once an individual has been selected for a background check.

At step 802, the organization creates an applicant entry in the system. As used herein, the term “organization” generally refers to a particular organizational user, such as an administrative or other higher-rights user affiliated with the organization. Alternatively, the term “organization” may refer to any non-applicant user of the software system. The applicant entry represents a system record associated with the applicant for the position with the organization,

and for whom the background check will be performed. Any organizational user with appropriate rights may create the applicant entry.

At step 804, the organization associates a particular organizational user with the applicant entry. Generally, this step assigns responsibility for the applicant's background check to that
5 particular organizational user.

At optional step 806, the system may perform an internal check to determine if the individual associated with the applicant entry already has another applicant entry from a different or previous organization, or perhaps from an earlier background check with the same organization. This check enables the system to notify the organization early in case there were
10 some issues with the individual earlier, possibly obviating the need to perform another background investigation.

At step 808, the organization associates the applicant entry with a particular “position” within the organization. Each position may have its own requirements and background criteria that should be investigated. Accordingly, each “position” has an associated set of pre-defined
15 electronic documents (questionnaires) that have been pre-prepared with questions relevant to that position. See Figs. 35, 36, 38, 34, 37, 6.

At step 810, the organizational user is presented with an option to select additional documents for the applicant to fill out, to deselect one or more of the pre-selected documents, or to accept the set of pre-selected documents.

At step 812, with the operative set of documents selected, the organizational user causes
20 to be transmitted that set of documents to the applicant. There are two distinct options for transmitting the set of documents to the applicant. In a first option, the system may automatically generate portable document format (“PDF”) versions of the documents and deliver the PDF versions of the documents directly to the applicant, such as by e-mail. In a second
25 option, an e-mail transmission is sent to the applicant with an electronic invitation (such as an electronic link back) to return and login to the system and electronically “fill out” the documents online. The latter option results in greater efficiency in that hardcopy documents may be eliminated, and the applicant's information may be entered only once, thereby eliminating human error. In one enhancement, the applicant may be presented with a page that allows the applicant

to upload additional documents or images, such as supporting documents, from the applicant's remote system.

At step 814, if and when the applicant responds to the invitation (e.g., logs on to the system), the applicant is prompted to answer the questions in each of the set of questionnaires.

5 In one example, the applicant may be requested to provide information that generates additional transmissions, such as to identify additional individuals (e.g., character references, or the like). If the applicant identifies additional individuals, the system may generate second-order invitations for transmission to those additional individuals, such as references. In one example, an applicant may identify a character reference while filling out the applicant's online documents.

10 In response, the system may automatically generate a second set of documents related to that class of reference (e.g., relative, former employer, or creditor).

At step 816, the system iterates over the preceding steps until necessary documentation has been transmitted to all or substantially all interested individuals.

At step 818, once the required amount of information has been provided by those who

15 have been invited to respond (applicant and any references), the system may initiate an alert to inform the organizational user of that fact, thus ensuring the organizational user has any information that would be necessary for the background investigation in one location, and easily accessible. In this way, the organizational user need not be concerned with personally tracking whether all the necessary information is available prior to performing the complete background

20 investigation.

While various embodiments have been disclosed herein, other aspects and embodiments will be apparent to those skilled in art. The various embodiments disclosed herein are for purposes of illustration and are not intended to be limiting, with the true scope and spirit being limited only by the following claims.

CLAIMS

The embodiments of the invention in which an exclusive property or privilege is claimed are defined as follows:

1. A system for managing a background investigation of an applicant, comprising:

5 a communication component executing on a network-capable computing system, said network-capable computing system operative to receive inbound communications from remote computing systems, the communication component being further operative to facilitate a log in session between at least one remote computing system and the network-capable computing system;

10 a document creation component configured to create questionnaires relevant to the background investigation, the questionnaires each being a member of at least one class of questionnaires, the at least one class being related to a type of reference for the applicant, the document creation component being further operative to compile a plurality of questions for a particular class of questionnaire based on the type of reference, said document creation
15 component being further operative to compile the plurality of questions through a drag-and-drop interface based on an identifier for the class of questionnaire; and

a process management component configured to manage a background investigation process for an applicant entry associated with the applicant, the process management component including further sub-components that are operative to facilitate individual tasks within the
20 background investigation process; the sub-components comprising:

an invitation generation component operative to assemble a set of questionnaires for transmission to an applicant remote computing system, the set of questionnaires being related to a position within an organization, the invitation generation component being further operative to transmit an invitation to the applicant remote computing system, the invitation including
25 information

a response receipt component operative to facilitate a log in session the applicant remote computing system and to receive responses from the applicant remote computing system to questions within each of the questionnaires in the set of questionnaires, the response receipt component being further operative to cause the invitation generation component to transmit a

second invitation to another remote computing system based on the received responses and to receive further responses from the other remote computing system, and

a portable document creation component operative to create portable document format versions of the set of questionnaires.

5

2. The system recited in claim 1, wherein the invitation generation component is further configured to generate a pre-selected set of questionnaires based on the position, and to allow the pre-selected set of questionnaires to a final set of questionnaires prior to transmission to the applicant remote computing system.

10

ABSTRACT

A web based software system generally designed for processing pre-employment background investigations is described. The software system allows an organization the ability to create and customize electronic documents to be sent to their applicants to complete via the web based software system, and returned in the same fashion. The subject matter turns much of a common pre-employment background investigation electronic, so that fewer hardcopy documents are necessary, thus creating more efficient management of individual background investigations.

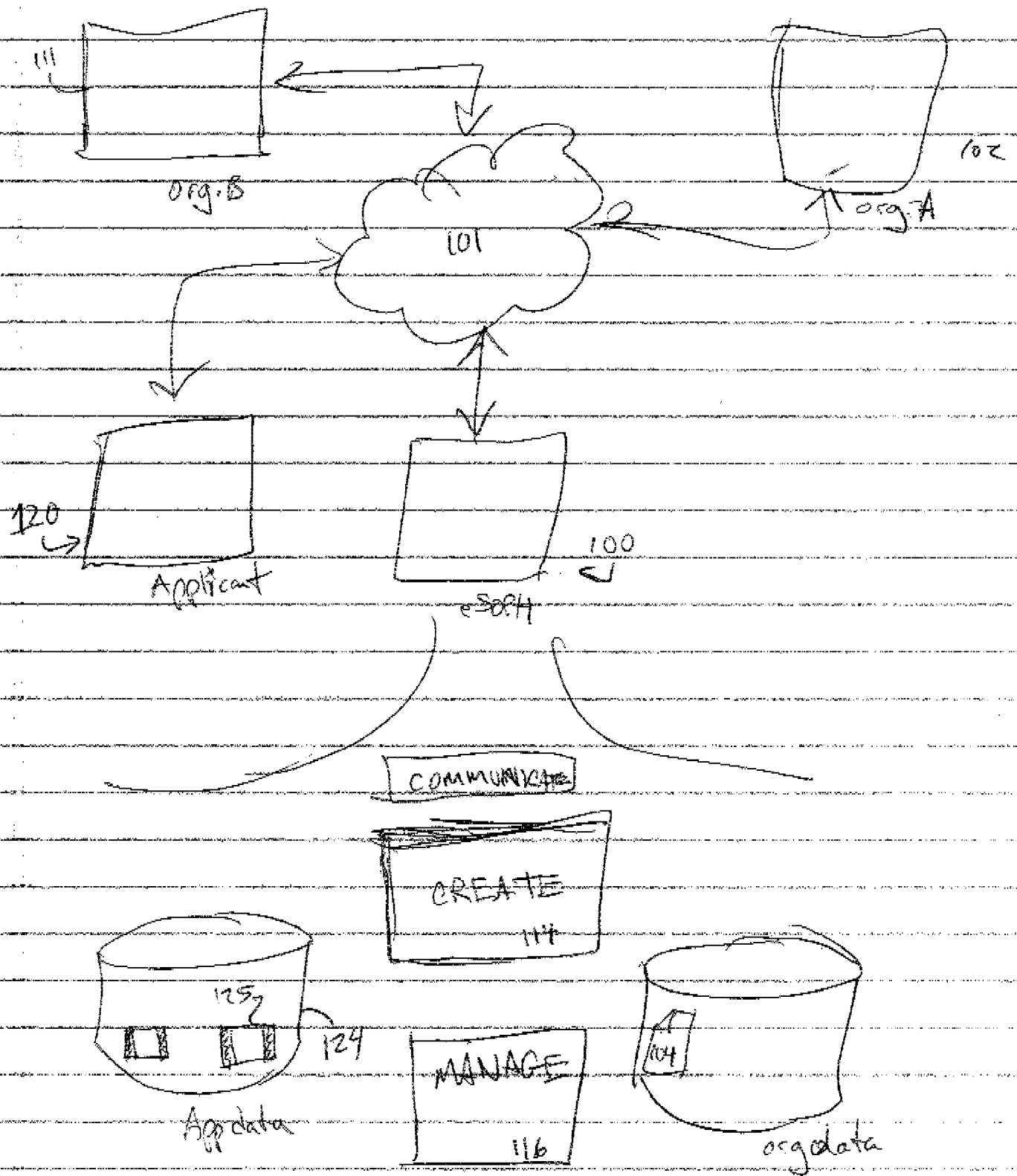


Fig. 1

- [DASHBOARD](#)
- [USERS](#)
- [APPLICANTS](#)
- [DOCUMENTS](#)
- [SHARED](#)
- [REPORTS](#)
- [INBOX](#)
- [PREFERENCES](#)
- [HELP](#)

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

- [Agreements & Advisements](#)
- [Questionnaires](#)
- [Reference Documents](#)
- [Positions & Checklists](#)
- [Letter Templates](#)

Setup Note: Questionnaires are the documents with questions regarding an applicant's personal history, or questionnaires that will be sent to a reference source (neighbor, employer, friend, family, etc). This is where you are going to list all the questions you want the applicant to answer as a basis to evaluate their personal history, and perform any investigation. The questionnaires for reference sources are also managed from this page. eSOPH has placed some premade questionnaires below. These premade questionnaires are most commonly used by law enforcement agencies. You can delete or edit any of the questions within each of the questionnaires below to fit your agency's specific needs. You can also create new questionnaires from a blank page by selecting the "Create New Questionnaire" button. Please be sure to review the Help page before attempting to build a new questionnaire.













Name (click to view/edit)	Available for	Positions	Preview	Delete
Basic Information	Applicant	Test Position 1		
Education	Applicant	Test Position 1		
Residences	Applicant	Test Position 1		
Employment	Applicant	Test Position 1		
Applications With Other Agencies	Applicant	Test Position 1		
Military	Applicant	Test Position 1		

Fig 7

DASHBOARD ACCOUNTS DOCUMENTS REPORTS HELP PAGES

Back to Accounts

1. Account Detail 2. License

Client Name:

Client Logo (optional):
 (select file)

1) Browse and select desired image. 2) Click "Upload" button. 3) Click "Save" button at bottom.

Client Letterhead (optional):
 (select file)

1) Browse and select desired image. 2) Click "Upload" button. 3) Click "Save" button at bottom.
 The recommended size of the image is width: 700px and height: 900px. Accepted formats are: jpg, jpeg, png and gif.

Domain Name:
 http:// .esnh.com

First Name:

Last Name:

Title:

Office Phone Number:

Mobile Phone Number:

Email:

Country:
 ▼

Address:

ZIP Code:

City:

Country:

State:

Fig. 11



HELP

Welcome to your Applicant Dashboard.

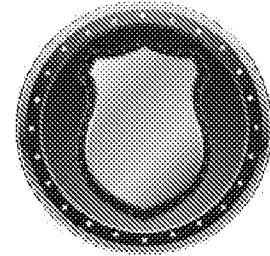
In order to return to your Applicant Profile at a later time, you must bookmark this page, or note the web address shown in your browser's address bar above. When your background is completed, you will no longer be able to access your Applicant Profile, so print documents for your personal record, as you desire.

Thank you for your interest in employment with our agency. Below are some tips for using this system to complete your background investigation documents and other requirements. Use the "Help" button on the menu bar above for additional instructions and answers to commonly asked questions.

Follow Instructions: Proceed with all instructions in mind. To review the instructions you reviewed earlier, click on the Agreements & Advisements tab and select the document with the instructions you wish to review.

Complete the Questionnaires: Fully and accurately complete each of the questionnaires listed below, in the "Questionnaires" section. When you have finished with one questionnaire, move to another until all have been completed. When you are finished answering the questions in each of questionnaires, go back and review your answers to ensure you have made no mistake and are complying with all instructions.

Submitting Information: When you have completed all questionnaires and other requirements you have been given, click the "Submit" button to finish. Once you have clicked the "Submit" button, you cannot change your answers.



Direct all questions to:

Name: [Tija Investigator](#)
 Office Phone: 323 423123
 Mailing Address: 1234 office address
 Los Angeles, California 90023
 Email address: [tija_investigator@...](#)

- Agreements & Advisements
- Questionnaires
- Images
- Other Documents



If you have been instructed to upload any other documents, you will upload those documents by clicking "Upload Document". First, the document must be on the computer you are currently using. If it is not currently on your computer and in paper format, you will need to scan the document so that it is on your computer. If you do not have a scanner, many copy and print centers have this self-service (i.e., FedEx Office/FedEx Kinko's). You may also choose to consult a knowledgeable friend or family member if you are unfamiliar with scanning documents to a computer. Be sure all scanned documents are 100% legible before you upload the documents to this system. If you have not been advised to upload any other documents, you may bypass this section. If you have any questions, contact the agency representative listed above.

[Upload Document](#)

[Print Other Documents](#)

#	Title	Date Uploaded	Delete
1	Test Document 1	03/21/2012	
2	Test Document 2	03/21/2012	

Fig. 16

Below you can manage the different documents used by your agency.

[Agreements & Advisements](#) [Questionnaires](#) [Reference Documents](#) [Positions & Checklists](#) [Letter Templates](#)

Setup Note: Agreements & Advisement are documents such as waivers, releases, permissions, advisements, instructions, a welcome note, etc. Any document you want the applicant to see and/or acknowledge prior to reaching their dashboard and viewing the questionnaires. eSOPH has included common, premade agreements and advisements below. You must review each one and change noted text to your agency's name, as well as ensuring these documents are appropriate for use by your agency. You can edit these documents, disable any of them, or make your own. At the bottom of each of the pages below, you can select how you would like the applicant to acknowledge the document. If you select that the applicant must submit the document in hardcopy, you will want to place any signature lines, date lines, etc. within the body of the document. Documents you require your applicants to submit in hardcopy can be scanned and uploaded by the applicant into eSOPH, or someone at your agency can scan and upload the hardcopy into the Applicant's Profile, at anytime.
















Name (click to view/edit)	Positions	Preview	Status
ELECTRONIC SIGNATURE AUTHORIZATION	Test Position 1		Enabled
eSOPH TERMS OF USE	Test Position 1		Enabled
eSOPH PRIVACY STATEMENT	Test Position 1		Enabled
LETTER FROM CHIEF (NAME HERE)	Test Position 1		Enabled
INSTRUCTIONS	Test Position 1		Enabled
TEST 1	Test Position 1		Enabled
AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION	Test Position 1		Enabled
NOTICE TO APPLICANT	Test Position 1		Enabled
AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT	Test Position 1		Enabled
AUTHORIZATION TO USE YOUR SOCIAL SECURITY NUMBER			Enabled
Test 2	Test Position 1		Enabled
Test 3	Test Position 1		Enabled
AGENCY NAME - TERMS OF USE			Disabled
Click here to edit			Disabled
Click here to edit			Disabled

Fig. 49

Position Questionnaires - Test Position 1

[Back to Positions](#)

[Add Questionnaire](#)

Select questionnaires for this position

Positions

Select questionnaires for this position	Positions
<input checked="" type="checkbox"/> Basic Information	Test Position 1
<input checked="" type="checkbox"/> Education	Test Position 1
<input checked="" type="checkbox"/> Residences	Test Position 1
<input checked="" type="checkbox"/> Employment	Test Position 1
<input checked="" type="checkbox"/> Applications With Other Agencies	Test Position 1
<input checked="" type="checkbox"/> Military	Test Position 1
<input checked="" type="checkbox"/> Financial	Test Position 1
<input checked="" type="checkbox"/> Drug Use	Test Position 1
<input checked="" type="checkbox"/> Legal	Test Position 1
<input checked="" type="checkbox"/> Motor Vehicle Operation	Test Position 1
<input checked="" type="checkbox"/> Use of Information Technology	Test Position 1
<input checked="" type="checkbox"/> Relatives	Test Position 1
<input type="checkbox"/> References	
<input type="checkbox"/> Neighbors	
<input checked="" type="checkbox"/> Other Issues	Test Position 1

Fig. 50

- DASHBOARD
- USERS
- APPLICANTS
- DOCUMENTS
- SHARED
- REPORTS
- INBOX
- PREFERENCES
- HELP

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

- Agreements & Advisements
- Questionnaires
- Reference Documents
- Positions & Checklists
- Letter Templates

Setup Note: Checklists are used for managers to create a standard list of requirements for each background investigation for a certain position. Investigators check off the tasks you create as they conduct their investigation. First, create a position by clicking "Add New Position". When you have created the new position, click on "Manage Tasks". From the Manage Tasks screen you can list all the tasks the investigators need to complete for the specific position.

Position	Agreements & Advisements	Questionnaires	Checklists	Delete
Test Position 1	Manage	Manage	Manage Tasks	

Fig. 51

Position Agreements & Advisements - Test Position 1

Back to Positions

Test Position 1

Select Agreements & Advisements for this position

Positions

<input checked="" type="checkbox"/> ELECTRONIC SIGNATURE AUTHORIZATION	Test Position 1
<input checked="" type="checkbox"/> ASOPH TERMS OF USE	Test Position 1
<input checked="" type="checkbox"/> ASOPH PRIVACY STATEMENT	Test Position 1
<input checked="" type="checkbox"/> LETTER FROM CHIEF (NAME HERE)	Test Position 1
<input checked="" type="checkbox"/> INSTRUCTIONS	Test Position 1
<input checked="" type="checkbox"/> Test 1	Test Position 1
<input checked="" type="checkbox"/> AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION	Test Position 1
<input checked="" type="checkbox"/> NOTICE TO APPLICANT	Test Position 1
<input checked="" type="checkbox"/> AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT	Test Position 1
<input type="checkbox"/> AUTHORIZATION TO USE YOUR SOCIAL SECURITY NUMBER	
<input checked="" type="checkbox"/> Test 2	Test Position 1
<input checked="" type="checkbox"/> Test 3	Test Position 1

Fig. 53

NM TEST Peter Agency-Admin [My Account](#) [Log Off](#)

DASHBOARD USERS APPLICANTS DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Manage Tasks - Test Position 1

[Back to Positions](#) [Add Task](#)

#	Task Name	Edit	Delete
1	Task Test 1	Edit	Delete
2	Task Test 2	Edit	Delete
3	Task Test 3	Edit	Delete
4	Task Test 4	Edit	Delete
5	Task Test 6	Edit	Delete

Fig. 54

NM TEST Peter Agency-Admin [My Account](#) [Log Off](#)

DASHBOARD USERS APPLICANTS DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Below you can manage the different documents used by your agency.

[Agreements & Advisements](#) [Questionnaires](#) [Reference Documents](#) [Positions & Checklists](#) [Letter Templates](#)

Setup Note: Letter Templates allow you to create a premade agency-to-applicant letter that can accessed by all users at your agency. Create a Letter Template below and the template will become available to all users at your agency. To send a letter to an applicant, access the Applicant's Profile and click on the "Letters" tab. Users at your agency can use the templates shown below, or draft their own letter to the applicant. All letters are displayed on your agency's letterhead.

[Add Letter Template](#)




Name (click to view/edit)	Preview	Delete
Conditional Offer of Employment		Delete
Non-Selection Notice		Delete
Disqualification Notice		Delete

Fig. 55

Share Applicant Information

Select the documents and files you would like to share:

(Un)check all

Agreements & Advisements

- ELECTRONIC SIGNATURE AUTHORIZATION
- eSOPH TERMS OF USE
- eSOPH PRIVACY STATEMENT
- LETTER FROM CHIEF (NAME HERE)
- INSTRUCTIONS
- Test 1
- AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION
- NOTICE TO APPLICANT
- AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT
- Test 2
- Test 3

Applicant Questionnaires

- Education

Reference Documents

- Sign (School)
- School Questionnaire

Images

No Data Found.

Audio

No Data Found.

Video

No Data Found.

Other

No Data Found.

Notes

- All Notes



Fig. 57

Share Applicant Information Externally

Recipient

Title: First Name: Last Name:

Recipient Address:

Phone Number: Mobile Number: Email:

Recipient's Agency or Company

Agency Name:

Agency address:

Agency Phone:

Authorization Code:

The selected documents will only be viewable during the date range you set below:

From (mm/dd/yy): To (mm/dd/yy):

Type any comment below you wish the recipient to see. Remember to give the Recipient the Authorization Code you chose above. This will open the documents you are sending.

Send Document

Fig. 58

Shared Information

[Back](#)

Terms of Access of Applicant Information

You have received a link to access information related to a individual's background investigation. This information is private, sensitive and confidential and is the property of the sender. In consideration for permission to view this information, you must agree and comply with the following terms:

1. You must have signed permission from the individual who the information pertains to. This permission must specifically and clearly state you have permission to obtain and view the information.
2. Possessing or viewing the information is not a violation of any law, policy, agreement or term.
3. You must not print, save or electronically duplicate any part of the information unless specifically authorized by the sender.
4. The information will be kept confidential and secure from unauthorized or unpermitted access.

If you agree to each of these terms, you may enter the Access Code in the box below and proceed. If you do not agree to each of these terms, do not proceed and exit the screen now.

Tyler's Test

Applicant	Requested by	Information Sent
<p>Name: Chris John Smith Date of Birth: 03/31/1980 SSN: ***-**-2222 Sent: 12/08/2011 Available from: 12/01/2011 Available to: 12/08/2011 Access Code: 098112345</p>	<p>Name: Mr. Tyler Miller Address: 901 Port Avenue SE Helens, OR 97031 Phone #: 555 Email Address: tim@mullinmodel.com</p> <p>Requestor's Agency</p> <p>Name: Columbia County Sheriff's Office Address: 301 Port Avenue SE Helens, OR 97031 Agency Phone #: (503) 366-4811</p>	<p>Applicant Questionnaires</p> <ul style="list-style-type: none"> Basic Information Education Residences Employment Applications With Other Agencies Military Financial Gun Use Motor Vehicle Operation Use of Information Technology Relations References Neighbors Other Topics <p>Videos</p> <ul style="list-style-type: none"> 30 Second Test 40 Second Test, Counting 20 to 40 <p>Applicant Profile Notes</p> <ul style="list-style-type: none"> All Notes

Fig. 59

NM TEST Peter Agency-Admin [My Account](#) [Log Off](#)

DASHBOARD USERS APPLICANTS DOCUMENTS **REPORTS INBOX PREFERENCES HELP**

Shared Information

Successful! The documents you selected on the previous screen have been sent to the recipient. The recipient will receive an email with a link to the selected documents. The link will route the recipient to an Agreement Page. Once the recipient agrees to the terms, he or she will be able to view the documents you sent. The link is valid only for the dates you selected. The documents will not be viewable after the last date you selected. If the recipient does not receive the email, advise them to check their spam/junk mail.

Name of Applicant	SSN	Viewable from	Viewable to	Recipient agency	Recipient	Details
Smith, Chris John	# # - # # - 3333	12/02/2011	12/04/2011	Columbia County Sheriff's Office	Tyler Miller	see more
Smith, Chris John	# # - # # - 3333	04/04/2012	04/06/2012	Miller Mendel, Inc	Tyler Miller	see more

Fig. 60

From: Peter Agency-Admin - NM TEST (ccsm.tps@gmail.com)
 To: ty@colerennet.com
 Cc: Chris John Smith - Background Files
 Subject: Chris John Smith - Background Files

Mr. Tyler Miller:

The information you requested regarding Chris John Smith's background investigation from NM TEST is linked below. You will need the authorization code included below to access the information.

DO NOT FORWARD THIS EMAIL. THE INFORMATION IN THIS EMAIL, AND ANY LINKS CONTAINED HEREIN ARE CONFIDENTIAL AND INTENDED FOR THE NAMED RECIPIENT ONLY

Link:
<http://nmtest.esaph.com/Account/ShareInfoAuthorization?token=027b7551-e788-48c1-abc1-56a2b9391e4e>

Authorization Code:
 12345

Bill Investigator, Mr.
 NM TEST
 123123123

Fig. 61

NM TEST

Terms Of Access

You have received a link to access information related to an individual's background investigation. This information is private, sensitive and confidential and is the property of the sender. In consideration for permission to view this information, you must agree and comply with the following terms:

1. You must have signed permission from the individual who the information pertains to. This permission must specifically and clearly state you have permission to obtain and view the information.
2. Possessing or viewing the information is not a violation of any: law, policy, agreement or term.
3. You must not print, save or electronically duplicate any part of the information unless specifically authorized by the sender.
4. The information will be kept confidential and secure from unauthorized or unpermitted access.

If you agree to each of these terms, you may enter the Access Code in the box below and proceed. If you do not agree to each of these terms, do not proceed and exit this screen now.

Sender's Remarks

This is a test test.

Applicant

Name: Chris John Smith
Date of Birth: 03/11/1980
SSN: 444-44-1111
Sex: M
Available from: 04/01/2010
Available to: 01/01/2061

Sender

Agency Name: NM TEST
Name: Peter Agency Admin
Address: 921 Park Avenue
Hillsboro, Oregon 97123
Phone #: (503) 543-0112
Email Address: email.tn@gmail.com

You May View the Following Files

Applicant Questionnaires

[Basic Information](#)
[Education](#)
[Residences](#)
[Employment](#)
[Applications With Other Agencies](#)
[Military](#)
[Financial](#)
[Drug Use](#)
[Motor Vehicle Operation](#)
[Use of Information Technology](#)
[Relatives](#)
[References](#)
[Neighbors](#)
[Other Topics](#)
[Basic Information](#)
[Education](#)
[Residences](#)
[Employment](#)
[Applications With Other Agencies](#)
[Military](#)
[Financial](#)
[Drug Use](#)
[Legal](#)
[Motor Vehicle Operation](#)
[Use of Information Technology](#)
[Relatives](#)
[References](#)
[Other Topics](#)

Videos

[70 Second Test](#)
[40 Second Test, Counting 20 to 40](#)

Fig. 63

Edit Questionnaire

[Back to Questionnaires](#)

[Create a New Questionnaire](#)

Instructions: Please read before attempting to build or edit a questionnaire. [Read more.](#)

Basic Information

Below you will provide basic, personal information about yourself. Review these questions carefully and provide complete, accurate responses. If you need clarification on any question, or have any questions, contact your assigned background investigator.

Full Name: (first, middle, last)

Have you ever been known by ANY nickname(s) or alias(es)?

- No
 Yes

List all nicknames and aliases below:

Drag & drop group question(s) here

Do you have any scars, marks or tattoos?

- No
 Yes

Build or Edit a Questionnaire

[Add Question](#) [Edit Question](#) [Questionnaire Properties](#)

Select a question type below by clicking on it, holding the click and dragging it across the screen. Release the mouse button when the question is in the location that you would like it placed. Click the pencil icon to edit the question's properties.

Edit the name of the questionnaire or its directions by clicking on the pencil icon closest to the hex in question.

Drag and drop any of the following:

Create a Group of Questions <> What is this?

Mark Options Single Choice Drop Down

Text Line Text Area

IMPORTANT! For any questionnaires involving any of the below type of contacts, you must use the below drag and drop buttons as part of questionnaire. These buttons are programmed with several pre-defined questions tied to the other functionality of the software system. If you choose not to use these buttons below, it will not allow other features of eSCPH to function. If you have questions about this, contact your eSCPH Account Manager.

<input type="checkbox"/> Applicant Address	<input type="checkbox"/> Supervisor	<input type="checkbox"/> Contact
<input type="checkbox"/> Relative	<input type="checkbox"/> Reference	<input type="checkbox"/> Neighbor
<input type="checkbox"/> Landlord	<input type="checkbox"/> Housemate	<input type="checkbox"/> Co-worker
<input type="checkbox"/> Employer		

Fig. 6

Edit Questionnaire

[Back to Questionnaires](#)

[Create a Questionnaire](#)

Instructions: Please read before attempting to build or edit a questionnaire. [Read more.](#)

Sample Questionnaire / Form

Test

Drag & drop your question(s) here

Build or Edit a Questionnaire

[Add Question](#)

[Edit Question](#)

[Questionnaire Properties](#)

Select a question type below by clicking on it, holding the click and dragging it across the screen. Release the mouse button when the question is in the location that you would like it placed. Click the pencil icon to edit the question's properties.

Edit the name of the questionnaire or its directions by clicking on the pencil icon closest to the box in question.

Drag and drop any of the following:

[Create a Group of Questions](#)

[What is this?](#)

Multiple Choice

Single Choice

Drop Down

Text Line

Text Box

IMPORTANT: For any questionnaires involving any of the below type of contacts, you must use the below drag and drop buttons as part of questionnaire. These buttons are programmed with several pre-defined questions tied to the other functionality of the software system. If you choose not to use these buttons below, it will not allow other features of eSOPM to function. If you have questions about this, contact your eSOPM Account Manager.

<input type="checkbox"/> Applicant Address	<input type="checkbox"/> Supervisor	<input type="checkbox"/> School
<input type="checkbox"/> Relative	<input type="checkbox"/> Reference	<input type="checkbox"/> Neighbor
<input type="checkbox"/> Landlord	<input type="checkbox"/> Housemate	<input type="checkbox"/> Coworker
<input type="checkbox"/> Employer		

Fig 34

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

[Agreements & Advisements](#)
[Questionnaires](#)
[Reference Documents](#)
[Letter Templates](#)

Questionnaires available for use by all clients are displayed below. These documents will automatically appear on a new client's dashboard for their use. Questionnaires for both the Applicant and References and displayed and managed here. Revisions to these documents will appear for those new clients added to eSOPH after the revisions occurred.

Name (click to view/edit)	Available for	Positions	Preview	Delete
Basic Information	Applicant			
Education	Applicant			
Residences	Applicant			
Employment	Applicant			
Applications With Other Agencies	Applicant			
Military	Applicant			
Financial	Applicant			
Drug Use	Applicant			
Legal	Applicant			
State Mobile Registration	Applicant			

Fig. 38

DASHBOARD **USERS** **Applicants** DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Home Home Home Home Home Home Home Home

Applicant Information Edit

Applicant name: Kaysha Marie Komfort
 Date of Birth: 07/03/1984
 Social Sec #: 999-99-1111
 Applied for: Test Position 1
 Address: 33666 E. Columbia Ave
 Seaside, Oregon 97058
 United States
 Home #: (503) 543-3111
 Work #: (503) 543-3112
 Mobile #: (503) 543-3113
 Email: dear133@me.com

Alerts

- Applicant Kaysha Komfort has been assigned to Tyler Miller: 04/04/2012 12:22
- Applicant Kaysha Komfort has been assigned to Don Investigator: 02/26/2012 12:51
- New document/image added for Kaysha Komfort: 03/21/2012 10:53
- New document/image added for Kaysha Komfort: 02/21/2012 10:51

Status: Assigned - D. Frouns
 Last agency access: 04/02/12 02:22
 Last applicant login: 04/04/12 11:12
 Registration Email: Sent 0/14/2012

Assigned to: Tyler Miller
 Title: Mr.
 Office Address: 1234 E Street
 Seattle, Washington 98122
 United States
 Office #: 206-320-3054
 Mobile #: 206-461-6104
 Email: Tyler.miller@me.com

Agreements & Advisements Applicant Questionnaires Reference Questionnaires LE & Court Records Images Audio & Video Other Documents Letters

#	Name (click to view)	Review Status	0 of 15 Completed	Notes
1.	Basic Information	not reviewed	not completed	
2.	Education	not reviewed	not completed	
3.	Residences	not reviewed	not completed	
4.	Employment	not reviewed	not completed	

Fig. 65

DASHBOARD **USERS** **Applicants** DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Home Home Home Home Home Home Home Home

Applicant Information

Update Status and Assign User

Update Status:

Assign User:

Fig. 66

DASHBOARD **USERS** **APPLICANTS** **DOCUMENTS** **SHARED** **REPORTS** **INBOX** **PREFERENCES** **HELP**

Home **Applicant** **Record Interview** **Apply and Hire** **Share Information** **Forwards & Closes** **Download Profile**

Applicant Information Edit

Applicant name: **Kaysha Marie Kowford**
 Date of Birth: **[REDACTED]**
 Social Sec #: **##-##-1211**
 Applied for: **Test Position 1**
 Address: **33068 E. Columbia Ave**
 Grayslake, Oregon 97034
 United States
 Home #: **(503) 543-3113**
 Work #: **(503) 543-3112**
 Mobile #: **(503) 543-0113**
 Email: **skp123@com.com**

Alerts

- Applicant **Kaysha Kowford** has been assigned to Tyler Miller. 04/06/2012 22:22
- Applicant **Kaysha Kowford** has been assigned to Elje Investigator. 03/21/2012 13:01
- New document/image added for **Kaysha Kowford**. 03/21/2012 10:52
- New document/image added for **Kaysha Kowford**. 03/21/2012 10:51

Status: Assigned - In Progress
Last agency address: 04/06/12 22:22
Last applicant Login: 04/04/12 11:02
Registration Email: Sent 3/14/2012

Assigned to: Tyler Miller
First: Mr.
Office Address: 1214 E. Street
 Seattle, Washington 98122
 United States
Office #: 206-130-2284
Mobile #: 206-432-8904
Email: tyler.miller@com.com

Agreements & Advertisements **Applicant Questionnaires** **Reference Questionnaires** **LE & Court Records** **Images** **Audio & Video** **Other Documents** **Letters**

#	Name (click to view)	Review Status	0 of 15 Completed	Notes
1	Basic Information	not reviewed	not completed	
2	Education	not reviewed	not completed	
3	Residences	not reviewed	not completed	
4	Employment	not reviewed	not completed	
5	Applications With Other Agencies	not reviewed	not completed	
6	Military	not reviewed	not completed	
7	Financial	not reviewed	not completed	
8	Drug Use	not reviewed	not completed	
9	Legal	not reviewed	not completed	
10	Motor Vehicle Operation	not reviewed	not completed	
11	Use of Information Technology	not reviewed	not completed	
12	Relatives	not reviewed	not completed	
13	References	not reviewed	not completed	
14	Neighbors	not reviewed	not completed	
15	Other Topics	not reviewed	not completed	

Fig. 67

DASHBOARD USERS **USERS** DOCUMENTS SHARED REPORTS INBOX PREFERENCES HELP

Task Check Off

Applicant: Kaysha Marie Komfort (SSN: ###-##-1111)

Questionnaire Review Checklist Recommendation & Report Send

Checklist

#	Task	Completed	Date Completed
1	Task Test 1	<input type="checkbox"/>	
2	Task Test 2	<input type="checkbox"/>	
3	Task Test 3	<input type="checkbox"/>	
4	Task Test 4	<input type="checkbox"/>	
5	Task Test 5	<input type="checkbox"/>	

* Task added after Applicant Profile was closed.




Fig. 68

Agreements & Advisements Applicant Questionnaires Reference Questionnaires LE & Court Records Images Audio & Video Other Documents Letters					
					0 of 26 Completed
#	Reference Type & Name				
1	Family Member				6
	<input type="checkbox"/> Gary ██████████ Relative/Family Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
	<input type="checkbox"/> Joel ██████████ Relative/Family Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
	<input type="checkbox"/> Barbara ██████████ Relative/Family Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
	<input type="checkbox"/> Melera ██████████ Relative/Family Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
	<input type="checkbox"/> Christopher ██████████ Relative/Family Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
	<input type="checkbox"/> Ashley ██████████ Relative/Family Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
2	References				6
	<input type="checkbox"/> Douglas ██████████ A...Personal Reference Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>
	<input type="checkbox"/> Julia ██████████ A...Personal Reference Questionnaire (Upload file)	Add Note			<input type="button" value="Add Questionnaire"/>

Fig. 69

Agreements & Advisements Applicant Questionnaires Reference Questionnaires LE & Court Records Images Audio & Video Other Documents Letters					
					0 of 26 Completed
#	Reference Type & Name				
1	Family Member				6
2	References				6
3	Employer				0
4	Supervisors				14
					<input type="button" value="Add New Reference"/>
#	Manually Added References	Type			
No Data Found.					

Fig. 70

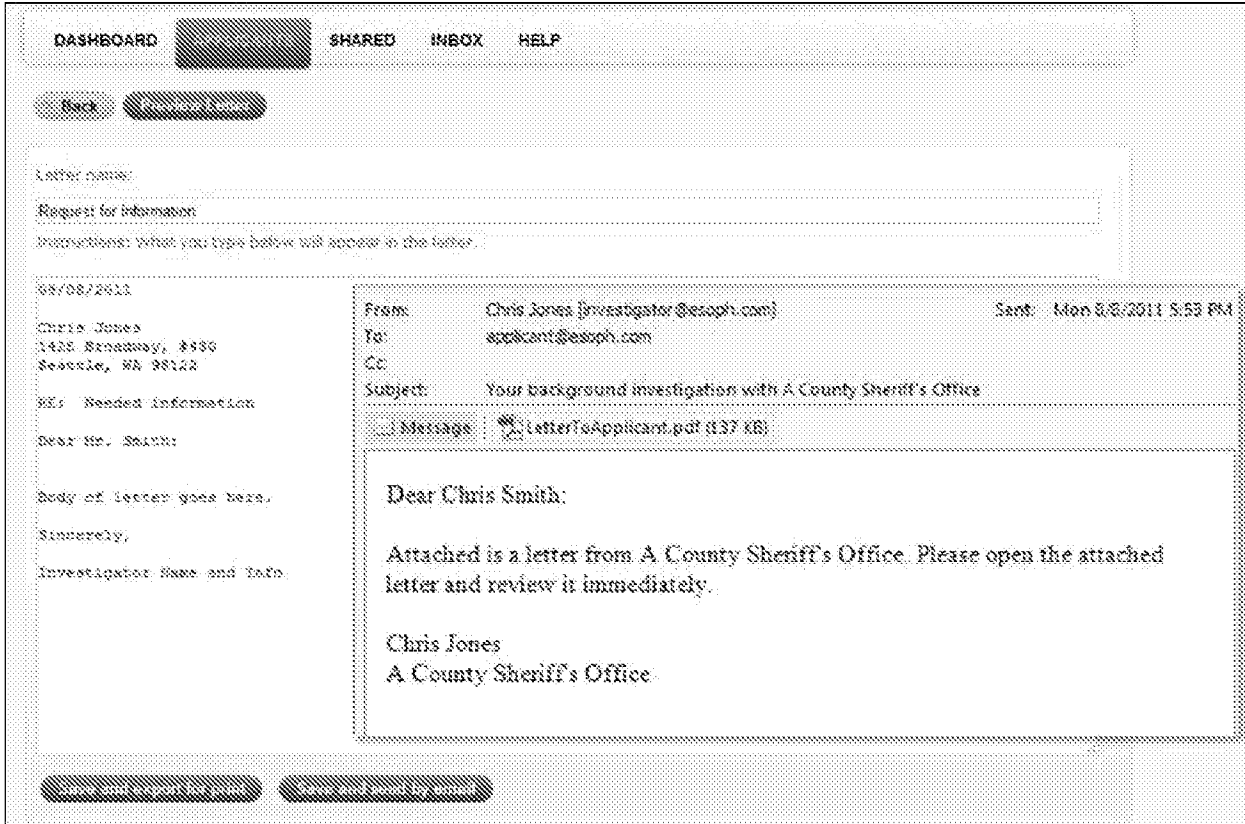


Fig. 71

A COUNTY SHERIFF'S OFFICE Chris Jones [My Account](#) [Log Off](#)

DASHBOARD **SHARED** **INBOX** **HELP**

Applicant Information [Edit](#)

Applicant name: Chris John Smith
 Date of Birth: 04/01/1980
 Social Sec #: ***-**-2333
 Applied for: Deputy Sheriff Trainee
 Address: 1425 Broadway
 #430
 Seattle, Washington 98122
 United States
 Home #: (206) 895-1211
 Work #: (206) 335-1212
 Mobile #: (206) 335-1213
 Email: applicant@thecounty.com

Add Note / Connect to this Profile

Note:

Activity

Completed - In Progress
 8/11 17:34
 8/11 16:08

Author & Time Added	Note
Chris Jones 08/06/2011 17:35	Applicant called to check the status of his background investigation. I advised him he needed to email or call his background investigator directly.

Fig. 72

Agreements & Advisements		Applicant Questionnaires		Reference Questionnaires		LE & Court Records		Images		Audio & Video		Other Documents		Letters	
Address Type		Law Enforcement Agencies						Courts							
Applicant Addresses		Print Documents			Print Envelopes			Print Documents			Print Envelopes				
1234 Beverly Glen Los Angeles, California 90024		Beverly Hills Police Department 464 N Rexford Dr Beverly Hills, CA 90210						West Los Angeles Municipal Court 1811 Purdus Ave Los Angeles, CA 90025							
		Upload Document Download Document			Remove			Upload Document Download Document			Remove				
					Search Agencies Manual Insert						Search Courts Manual Insert				
References															
Employer															
Big Apple Computers															
Street Address 1234 Sunset Blvd Los Angeles, CA 90023		Vernon Police Department 4303 S Santa Fe Ave Los Angeles, CA 90018 323-6878171						Los Angeles County Municipal 214 S Ferry Ave Los Angeles, CA 90002 323-7602033							
		Upload Document Download PDF			Remove			Upload Document Download PDF			Remove				
					Search Agencies Manual Insert						Search Courts Manual Insert				
Supervisors															
Robert Miller															
Home Address 1234 Main St Los Angeles, CA 90023		LA County Sheriff's Department 5019 E 1st St Los Angeles, CA 90022						Huntington Park Superior Court 6548 Main Ave Huntington Park, CA 90025 323-5866351							
		Upload Document Download PDF			Remove			Upload Document Download PDF			Remove				
					Search Agencies Manual Insert						Search Courts Manual Insert				

Fig. 73

Chris John Smith (SSN: ***-**-3333)

View Profile

Back to Profile

Questionnaires

- Questionnaires
- 1. Basic Information
- 2. Education
- 3. Employment
- 4. Applications With Other Agencies
- 5. Military
- 6. Financial
- 7. Drug Use
- 8. Legal
- 9. Motor Vehicle Operation
- 10. Use of Information Technology
- 11. References
- 12. References

Questionnaire: Basic Information

Below you will provide basic, personal information about yourself. Review these questions carefully and provide complete, accurate responses. If you need clarification on any question, or have any questions, contact your assigned background investigator.

Add a note to this Questionnaire:

Add Review Note

No Data Found.

Full Name: (first, middle, last)

Christopher John Smith

Add Note/Remark

Reviewed

Have you ever been known by ANY nickname(s) or alias(es)?

No

Yes

Add Note/Remark

Reviewed

List all nicknames and aliases below:

Chris Smith

Add Note/Remark

Mark as Reviewed

• Applicant states he mainly goes by "Chris".

Do you have any scars, marks or tattoos?

No

Fig. 75

DASHBOARD SHARED INBOX HELP

Update Status / Add Notes

Applicant: Chris John Smith (SSN: ###-##-2333)

Questionnaire Review Task Checklist Recommendation & Report Send

Add Closing Notes

Back one step

My Recommendation:

Update Status?

Select the most appropriate status for this applicant:

Update Status: Physiological Exam Pending

Assign User: Chris Jones

Closeout this investigation?

Remarks / Report:

Status is updated as needed above, notes are wrote here, etc. All notes entered in here will also show up in the Applicant Profile's main notes section.

Save

Fig. 76

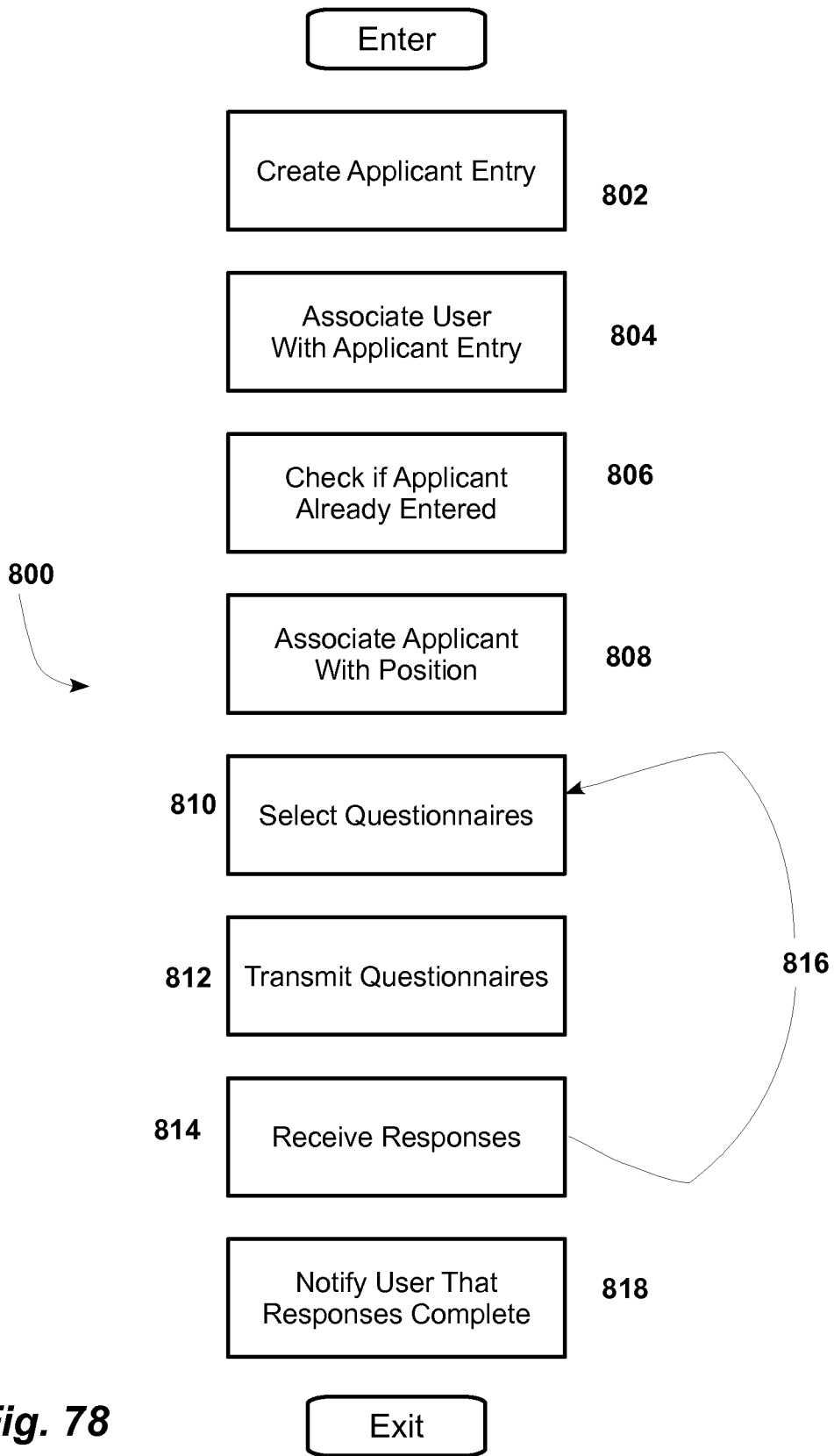


Fig. 78

PATENT APPLICATION

**DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION**

ATTORNEY DOCKET NO. MM002

As a below named inventor, I hereby declare that:

My residence/post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

BACKGROUND INVESTIGATION MANAGEMENT SERVICE

the specification of which is attached hereto unless the following box is checked:

was filed on _____ as US Application Serial No. or PCT International Application Number _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose all information which is material to patentability as defined in 37 CFR 1.56.

Foreign Application(s) and/or Claim of Foreign Priority

I hereby claim foreign priority benefits under Title 35, United States Code Section 119 of any foreign application(s) for patent or inventor(s) certificate listed below and have also identified below any foreign application for patent or inventor(s) certificate having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NUMBER	DATE FILED	PRIORITY CLAIMED UNDER 35 U.S.C. 119
			YES: _____ NO: _____
			YES: _____ NO: _____

Provisional Application

I hereby claim the benefit under Title 35, United States Code Section 119(e) of any United States provisional application(s) listed below:

APPLICATION SERIAL NUMBER	FILING DATE
61/472,556	April 6, 2011

U.S. Priority Claim

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NUMBER	FILING DATE	STATUS (patented/pending/abandoned)

POWER OF ATTORNEY:

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) associated with

Customer No.: 56031

to file and prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Send Correspondence to the address associated with the above Customer Number.

Direct Telephone Calls To:
John Whitaker, Esq
206-319-1575

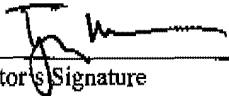
PATENT APPLICATION

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION	ATTORNEY DOCKET NO. <u>MM002</u>
---	---

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Inventor: Tyler J. Miller Citizenship: U.S.A.

Mailing Address: 1425 Broadway, #430, Seattle, WA 98122



Inventor's Signature

April 6, 2012

Date

Period: All Periods

Expiration Date: From To


show all

Account Name	Active From	Active Through	Entries Allowed	Entries to Date	Entries Remaining	User Accounts
Total(37)			Unlimited	52	Unlimited	59
testfullfff	12/29/10	12/09/13	Unlimited	5	Unlimited	3
pop	12/14/10	01/11/11	Unlimited	0	Unlimited	1
12345	01/02/11	03/17/11	Unlimited	1	Unlimited	2
Sanja Agency	01/03/11	01/03/10	Unlimited	2	Unlimited	2
Test120111	01/11/11	01/11/12	Unlimited	0	Unlimited	1
Goence	01/10/11	05/25/11	Unlimited	3	Unlimited	2
Samula	01/16/11	01/16/12	Unlimited	0	Unlimited	1
Name Accountfff	01/19/11	01/27/13	Unlimited	1	Unlimited	2
agency changed t	01/19/11	03/09/11	Unlimited	4	Unlimited	2
Agencija	01/23/11	01/11/12	Unlimited	0	Unlimited	2
Nov test	01/23/11	05/29/13	Unlimited	2	Unlimited	3
M Agency	02/01/11	02/12/11	Unlimited	1	Unlimited	2

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Fig.3.

[Back to Reference Documents](#)

Reference Type: Family Member

Create a cover letter, select any documents from the Agreements & Advisements section, and add a questionnaire for this reference type to complete:

Step 1: Create a cover letter for this reference [Previous](#) [Edit](#)

Step 2: Select any of the applicant's agreements to include [Add](#)

- [eSOPH PRIVACY STATEMENT](#) [Remove](#)
- [AGENCY NAME - TERMS OF USE](#) [Remove](#)
- [LETTER FROM CHIEF \(NAME HERE\)](#) [Remove](#)
- [INSTRUCTIONS](#) [Remove](#)
- [NOTICE TO APPLICANT](#) [Remove](#)
- [AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT](#) [Remove](#)

Step 3: Add a questionnaire for this reference to complete [New Questionnaire](#)

The cover letter, any selected agreements and the questionnaire can be printed or emailed from the "References" tab in the Applicant's Profile.

[Print & Email](#)

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Fig.4.

DASHBOARD ACCOUNTS FORMS REPORTS HELP PAGES

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

[Agreements & Advisements](#) [Questionnaires](#) [Reference Documents](#)

Reference Check Documents are the documents clients send to individuals listed in the applicant's completed questionnaires who may have important information about the applicant. A mailing to a single reference will typically include a cover letter from the agency, a release selected from the Agreements and Advisements, and a specific questionnaire for the type of reference. Below eSOPH provides those document premade for use by any eSOPH client. These documents will automatically appear on a new client's dashboard for their use. Revisions to these documents will appear for those new clients added to eSOPH after the revisions occurred.

Click on the reference name to open or edit

[Family Member](#)

[References](#)

[Neighbors](#)

[Housemates](#)

[Landlords](#)

[Employer](#)

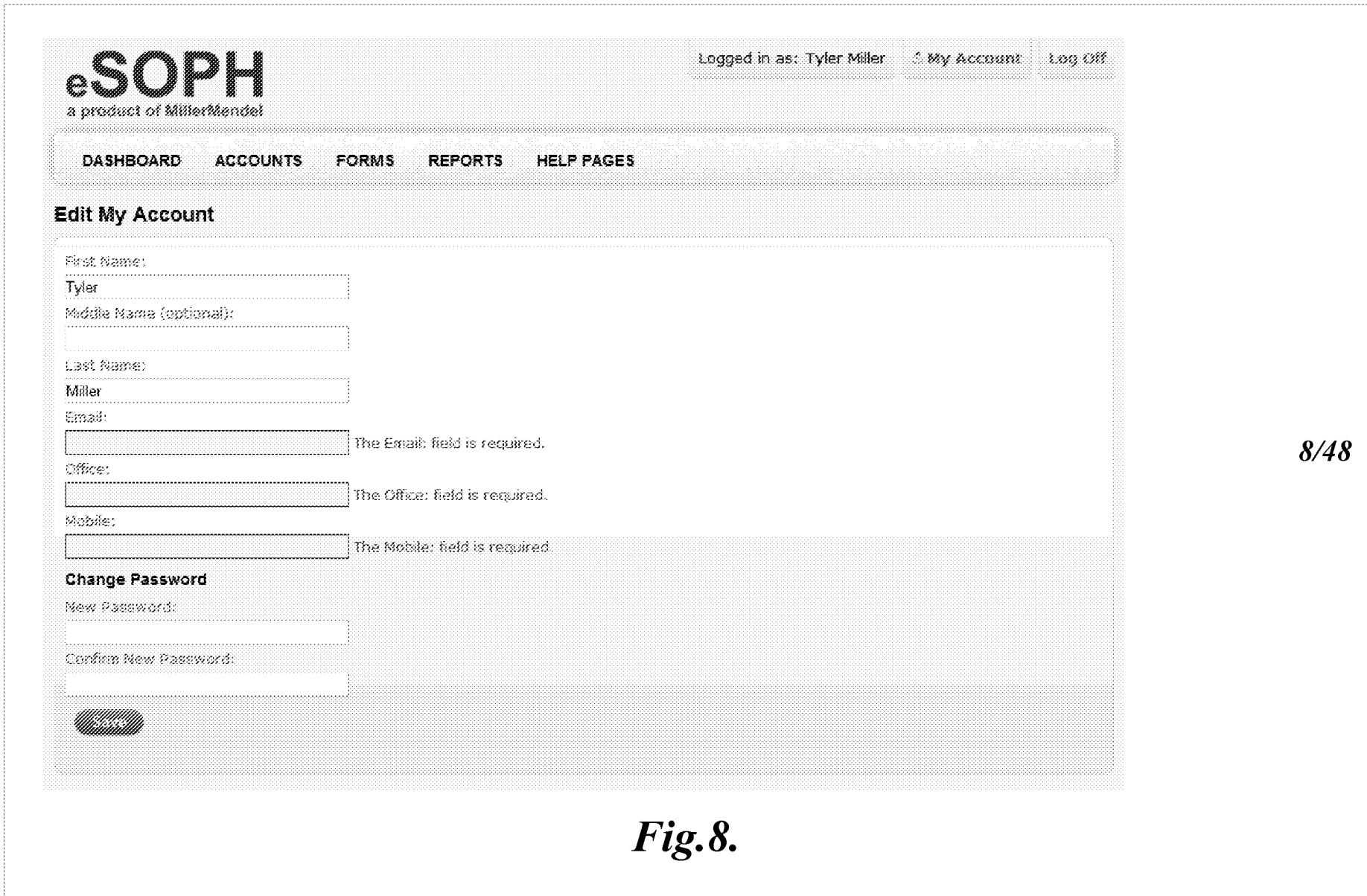
[Supervisors](#)

[Court](#)

[Law Enforcement](#)

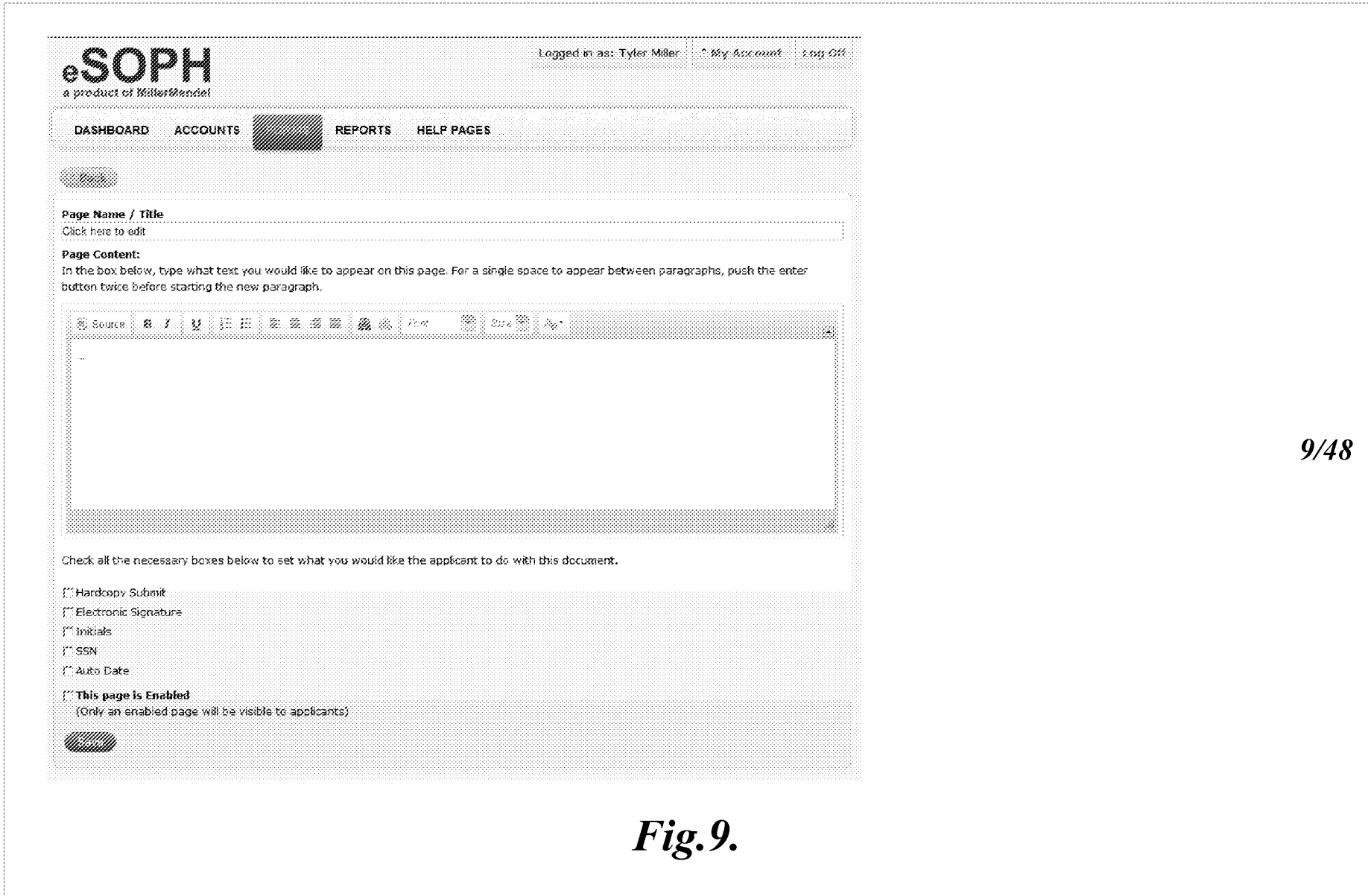
[Military Records](#)

Fig.5.



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Fig. 8.



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Fig.9.

Below you can manage the different documents used by your agency.

Agreements & Advisements Questionnaires Reference Documents

Agreements and Advisements available for use by all clients are displayed below. These documents will automatically appear on a new client's dashboard for their use. Revisions to these documents will appear for those new clients added to eSOPH after the revisions occurred.

#	Click on the document name to open or edit	Preview	Status
1	ELECTRONIC SIGNATURE AGREEMENT		Enabled
2	eSOPH TERMS OF USE		Enabled
3	eSOPH PRIVACY STATEMENT		Enabled
	AGENCY NAME - TERMS OF USE		Disabled
4	LETTER FROM CHIEF (NAME HERE)		Enabled
5	INSTRUCTIONS		Enabled
6	NOTICE TO APPLICANT		Enabled
7	AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION		Enabled
8	AUTHORIZATION TO OBTAIN AND REVIEW CONSUMER CREDIT REPORT		Enabled
	Click here to edit		Disabled
	Click here to edit		Disabled
	Click here to edit		Disabled

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Fig.10.

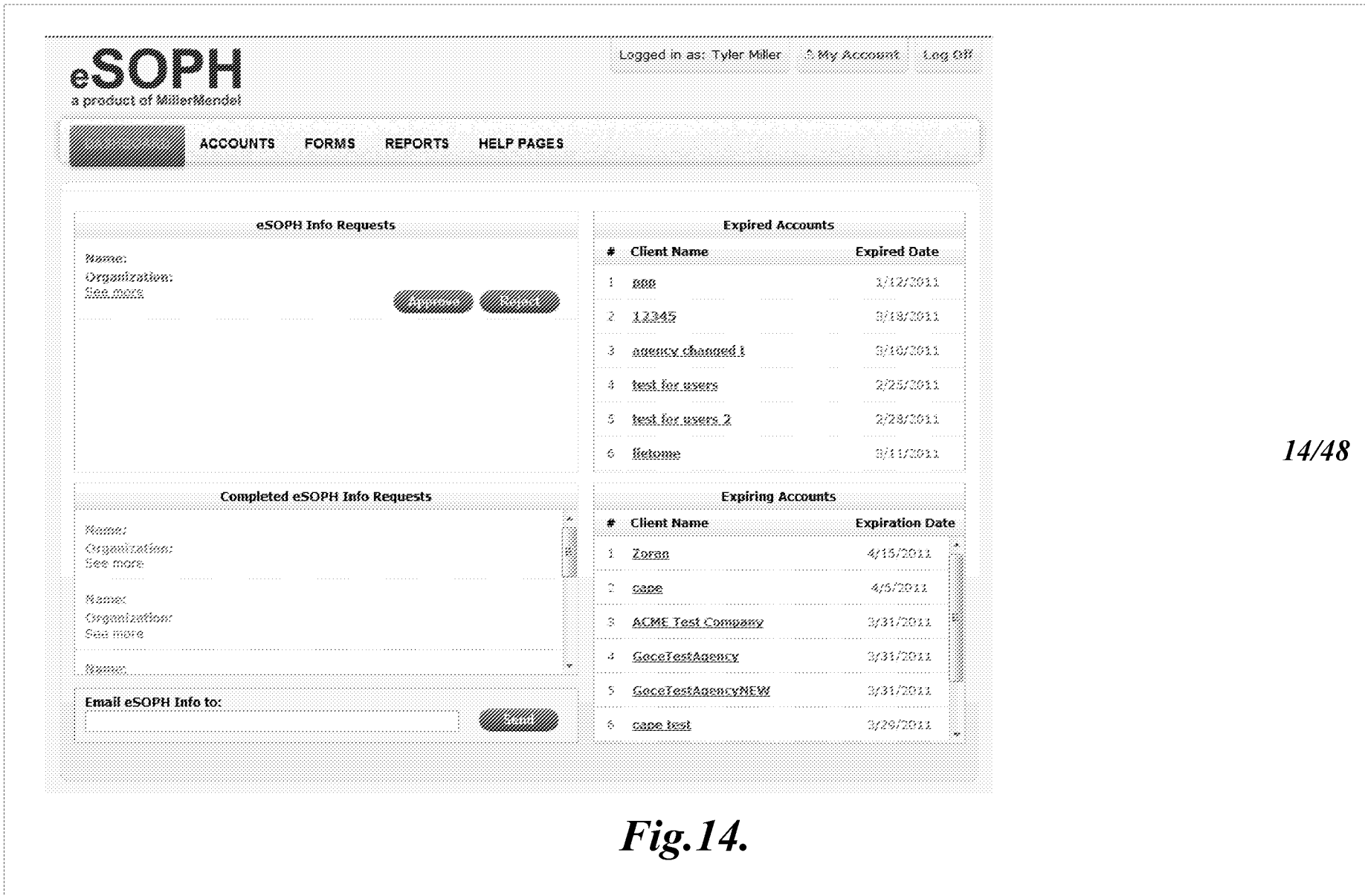
All Accounts

[Add New Form](#)

#	Account Name	License Expires	Entries Allowed	Entries to Date	Entries Remaining
1	Eriqae Division	09/19/2020	unlimited	13	unlimited
2	Sania Agency	01/03/2018	unlimited	2	unlimited
3	Test callouts (23.03.11)	04/10/2014	unlimited	0	unlimited
4	false	03/09/2014	unlimited	0	unlimited
5	M Agency	02/18/2014	unlimited	1	unlimited
6	testfullffff	12/09/2013	unlimited	5	unlimited
7	Max test	05/29/2013	10	2	8
8	Zoran	03/06/2013	unlimited	1	unlimited
9	Name Accountfff	01/27/2013	2	1	1
10	Test form agency	03/06/2012	unlimited	4	unlimited
11	Saniule	01/18/2012	unlimited	0	unlimited
12	Test120111	01/11/2012	unlimited	0	unlimited
13	Agencia	01/11/2012	unlimited	0	unlimited
14	Background Data	12/30/2011	unlimited	2	unlimited
15	skazi	07/30/2011	unlimited	2	unlimited
16	Cassan	04/04/2011	unlimited	2	unlimited

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Fig.12.



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Fig.14.

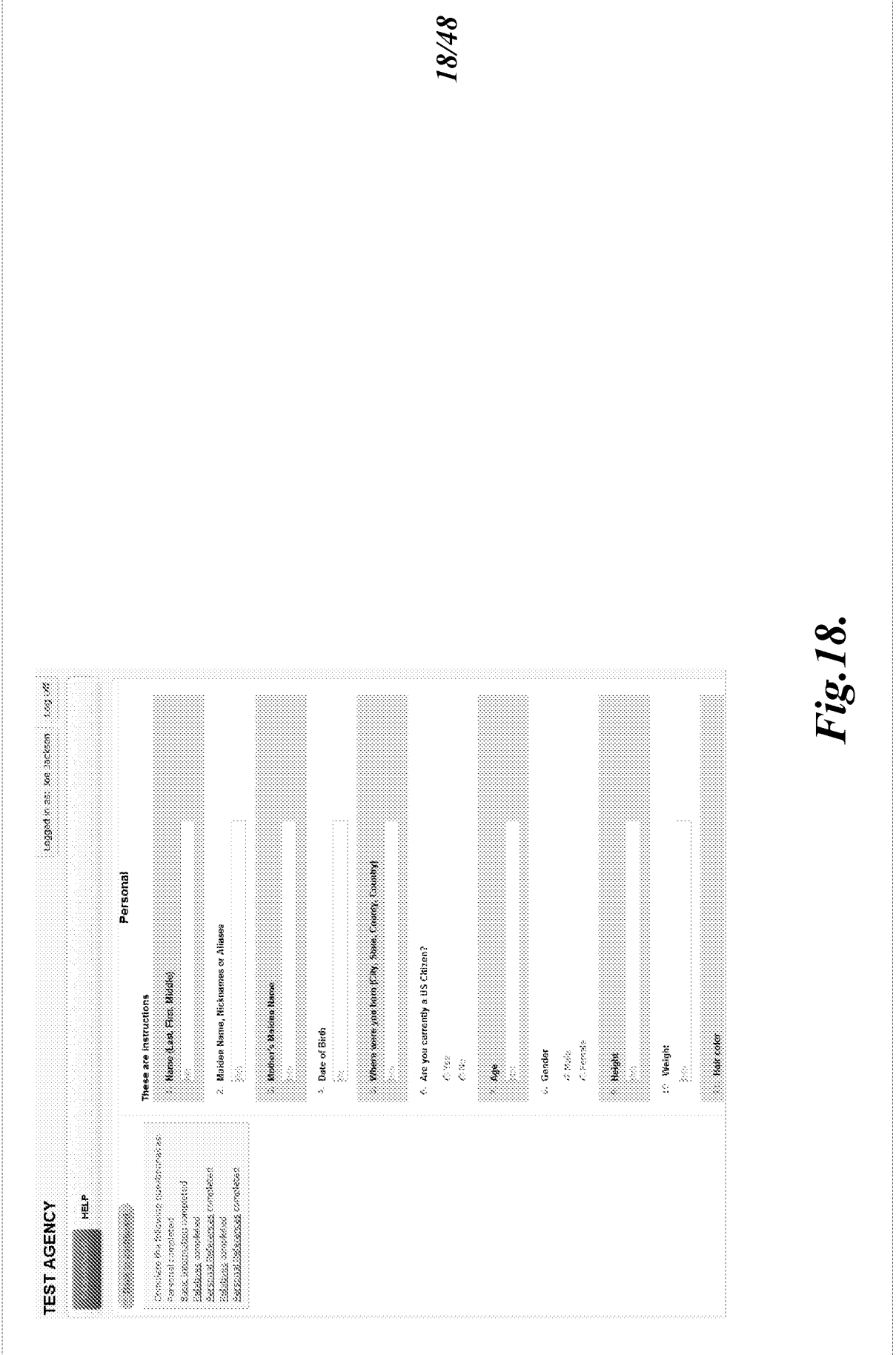


Fig. 18.

TEST AGENCY

Logged in as: Jon Jackson Log Off

HELP

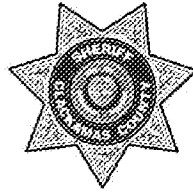
Welcome to your Applicant Dashboard!

Thank you for your interest in employment with our agency. Below are some tips for using this system to complete your background investigation documents and other requirements. Use the "help" button on the menu bar above for additional instructions and answers to commonly asked questions.

Follow Instructions: Proceed with all instructions in mind. To review the instructions you reviewed earlier, click on the Agreements & Advisements tab and select the document with the instructions you wish to review.

Complete the Questionnaires: Fully and accurately complete each of the questionnaires listed below, in the "Questionnaires" section. When you have finished with one questionnaire, move to another until all have been completed. When you are finished answering the questions in each of questionnaires, go back and review your answers to ensure you have made no mistakes and are complying with all instructions.

Submitting Information: When you have completed all questionnaires and other requirements you have been given, click the "Submit" button to finish. Once you have clicked the "Submit" button, you cannot change your answers as they are sent to your assigned investigator immediately upon "Submit".



Direct all questions to:

Name: Chris Smith
 Office Phone: (855) 455-455
 Mailing Address: 1234 Tacoma Street
 Box 300 1100
 Seattle, Washington, 98104
 Email Address: chris.smith@state.wa.gov

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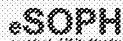
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Agreements & Advisements Questionnaires Images Other Documents

Below are the questionnaires your background investigator would like you to complete. You may complete the below questionnaires in any order, but we recommend you start with #1 and work your way towards the last questionnaire. Answer all questions accurately, truthfully and completely. Once a questionnaire has been completed, mark it "Completed" using the button at the bottom of the questionnaire.

[Print Questionnaires](#)

#	Questionnaire Name	Upload Hardcopy	Status	Completed Date
1	Personal		completed	03/24/2011
2	Basic Information		completed	03/24/2011
3	Relatives		completed	03/24/2011
4	Personal References		completed	03/24/2011
5	Relatives		completed	03/24/2011
6	Personal References		completed	03/24/2011



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 14750 Grand Ave., 44200 Grand Ave. 988 10111

Fig.19.


HELP

Welcome to your Applicant Dashboard!

Thank you for your interest in employment with our agency. Below are some tips for using this system to complete your background investigation documents and other requirements. Use the

Follow these instructions:

Step 1 of 8 Print



Direct all questions to:

Name: Chris Smith
 Office Phone: (509) 533-5553
 Mailing Address: 1204 Second Street
 Mail Stop 1190
 Seattle, Washington, 98104
 Email address: dsbros@rentcars.com

ELECTRONIC SIGNATURE AGREEMENT
PLEASE READ CAREFULLY BEFORE PROCEEDING

In order to save paper and time for both applicants and agencies alike, you have the option of using an Electronic Signature in place of your normal, handwritten, legal signature.

Below is an Electronic Signature the system has generated for you. If you agree to use this signature in place of your normal, legal signature, please enter the last 4 digits of your social security number, and your initials in the designated locations below. In agreeing to use the below displayed Electronic Signature, you certify you agree and understand the Electronic Signature will have equal power and responsibilities as your normal, handwritten, legal signature, and you agree to be legally bound by those legal responsibilities as you would with your normal, handwritten, legal signature.

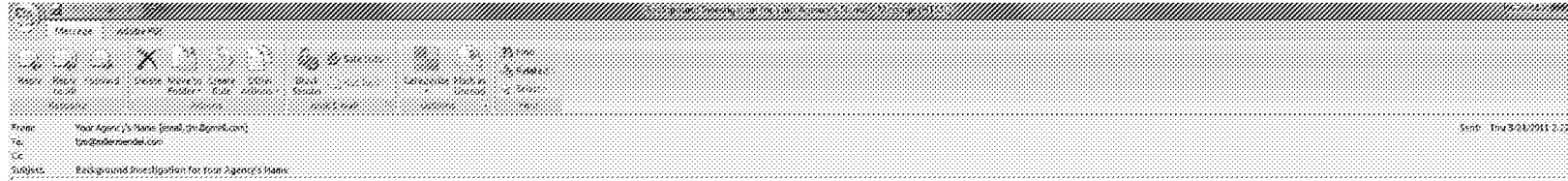
The Electronic Signature below will be used for all necessary Agreements and Advisements and other legal documents associated directly, or indirectly with your background investigation process, if you choose to accept this agreement.

Enter the last 4 digits of your social security number, and your initials below and click Proceed, only if you fully understand and agree to the terms stated above. The system will place the current date on the page

Done Internet | Protected Mode On

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Fig.21.



Dear Joe Jackson:

Thank you for your interest in our organization. This email confirms we would like to begin your background investigation to further review your qualification for the position you have applied.

We use an electronic system (eSOPH) to gather information from you and manage your individual background investigation. Please click on the link below and you will be routed to our background investigation system. You will establish a password which you will need to remember for future access.

<http://www.sp407016.com/rest/youragencyid/Account/Registration?token=64778cb-413b-4916-a38c-7827488316d>

Once you have established your password, you will be routed to a series of agreements, advisements, instructions and other documents which you will need to review and complete. Once these have been completed, you will be routed to your Applicant Profile where you should begin completing the questionnaires and any other instructions given to you.

Your investigator's name, phone number, email address and mailing address will be listed on your applicant profile. If you have any questions, please contact your assigned investigator.

Please begin to complete your Applicant Profile, immediately. The sooner you submit all required information to us, the sooner we can begin to process that information.

Thank you for your attention.

Joe Smith

Your Agency's Name

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Fig.24.

TEST AGENCY Logged in as: Joe Smith My Account Log Off

DASHBOARD **APPLICANTS** **USERS** **FORMS** **SHARED** **REPORTS** **INBOX** **HELP**

First Name: Joe

Last Name: Smith

Title: Lieutenant

Office Phone Number: (555) 555-5555

Mobile Phone Number: (555) 555-5555

Email: email.jm@gmail.com

Address: 1000 First Avenue
Mail Stop 1234

Zip Code: 98104

City: Seattle
County: King
State: Washington
Country: United States

Change Password
Password must contain: total 8 characters, letters, numbers, at least 1 symbol (!@#_&*~%&^&#&*)

New Password:

Confirm New Password:



SOPH © 2011 Sophos, Inc. All rights reserved. Privacy | Settings
1400 Greenway Drive, Seattle, WA 98104

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Fig.25.

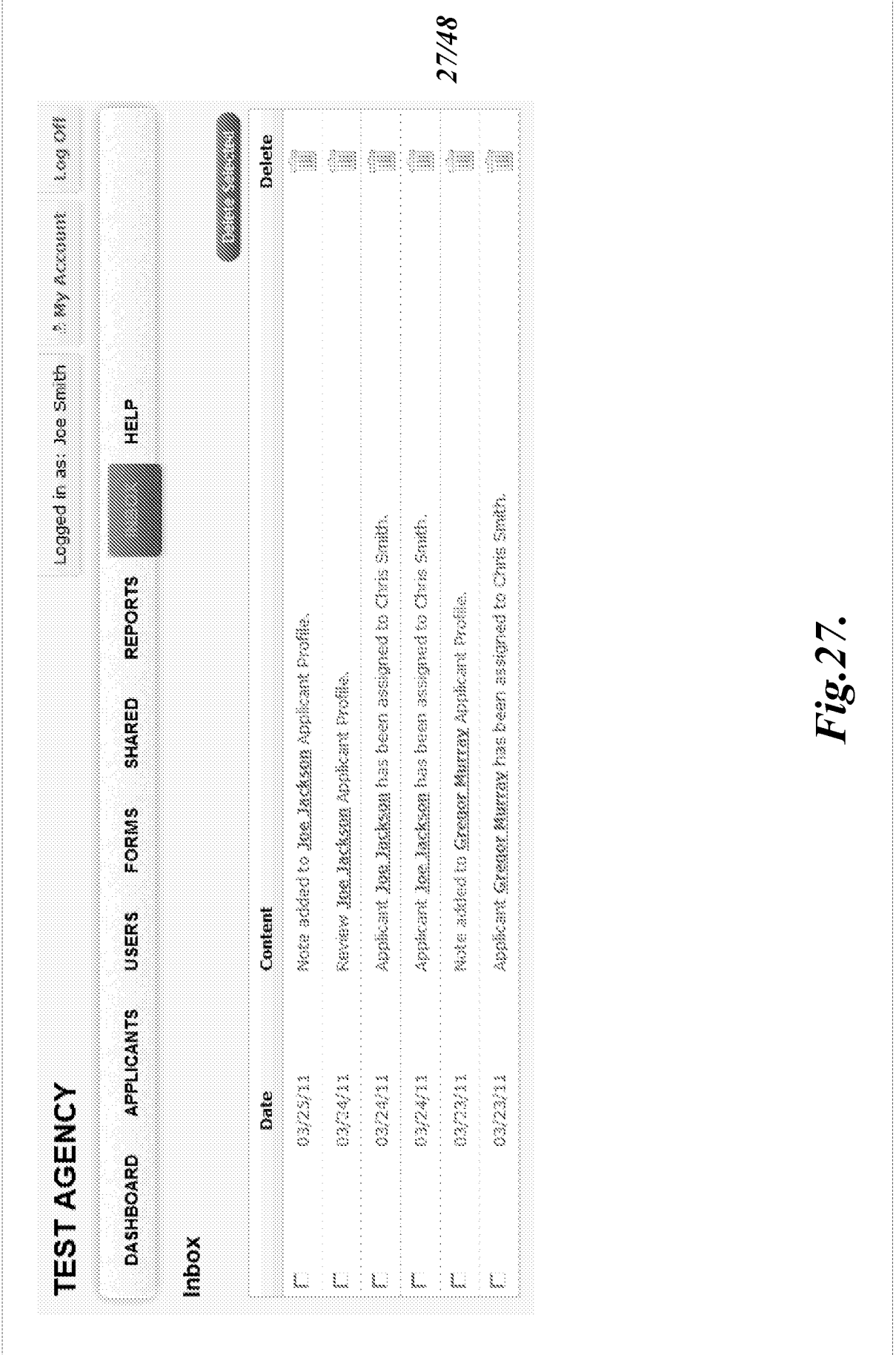


Fig. 27.




TEST AGENCY

Logged in as: Joe Smith [My Account](#) [Log Off](#)

- DASHBOARD
- APPLICANTS
- USERS
- FORMS
- SHARED
- TEST AGENCY**
- INBOX
- HELP

- General
- By Positions

Period: All Periods

By Dates From To    show all

Position	Approved	Rejected	Suspended	Total	Avarage Time (in days)
Police Officer Recruit	0	0	0	1	0

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Fig.28.

TEST AGENCY Logged in as: Joe Smith [? My Account](#) [Log Off](#)

DASHBOARD **APPLICANTS** **USERS** **FORMS** **SHARED** **INBOX** **HELP**

Grouped by **Positions**

Period: **All Periods** By Dates From To [Show All](#)

Total	Total Number	Pending	Assigned	Approved	Rejected	Suspended	Average Time (in days)
<i>All Applicants</i>	1	0	1	0	0	0	0
Age							
18 - 20	0	0	0	0	0	0	0
21 - 29	1	0	1	0	0	0	0
30 - 39	0	0	0	0	0	0	0
40 - 49	0	0	0	0	0	0	0
50 - 59	0	0	0	0	0	0	0
60+	0	0	0	0	0	0	0
Ethnic Origin							
White	0	0	0	0	0	0	0
Black	0	0	0	0	0	0	0
Hispanic	0	0	0	0	0	0	0
Asian or Pacific Islander	0	0	0	0	0	0	0
Unknown	0	0	0	0	0	0	0
American Indian or Alaska Native	0	0	0	0	0	0	0
Hispanic	0	0	0	0	0	0	0
Other	1	0	1	0	0	0	0
Gender							
Male	1	0	1	0	0	0	0
Female	0	0	0	0	0	0	0
Per User							
Name	Assigned	Completed	Suspended	Average Time (in days)			
Doug Cartwright	0	0	0	0			
Chris Smith	1	0	0	0			

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Fig.29.

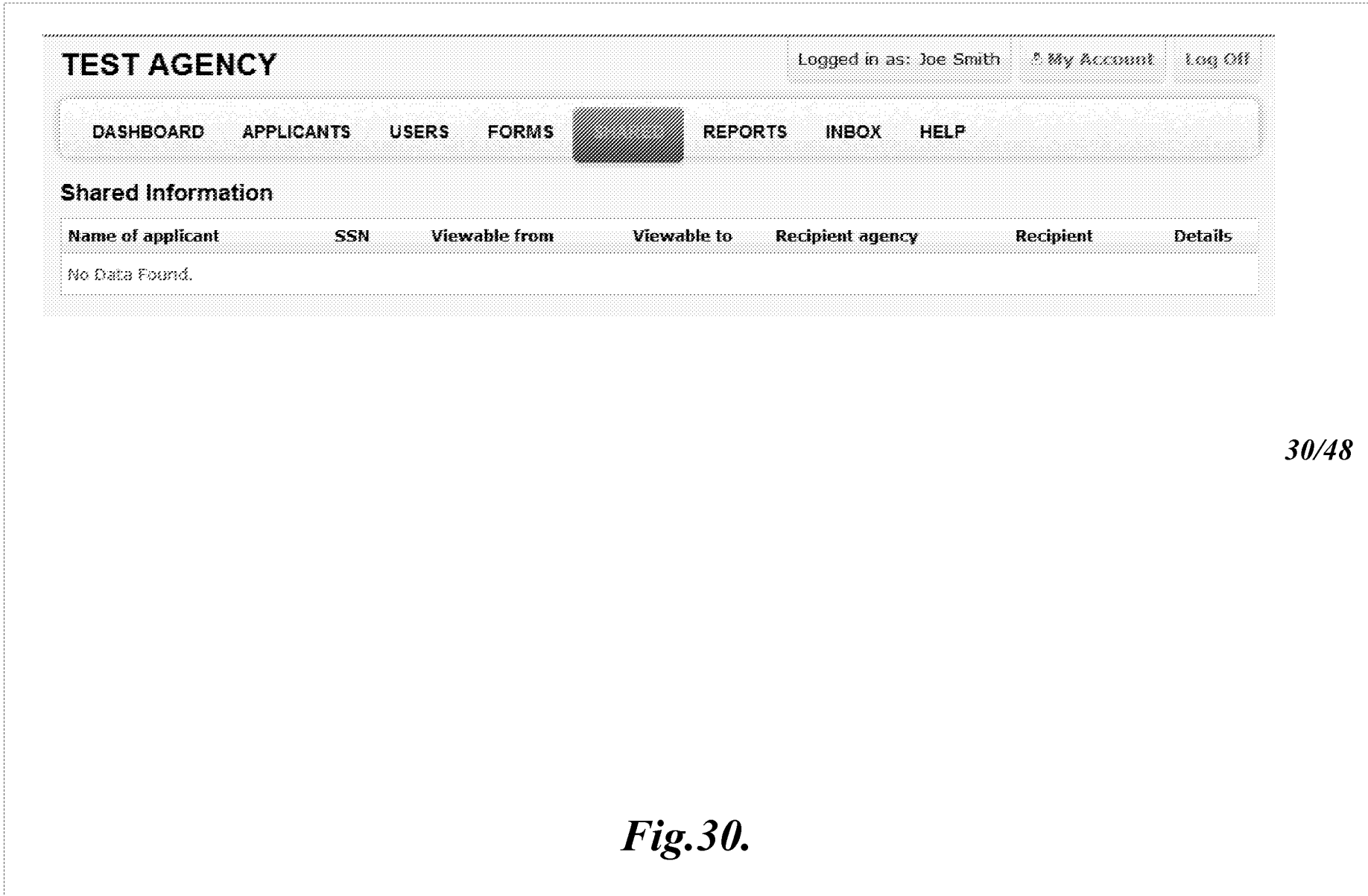


Fig.30.

TEST AGENCY

Logged in as: Joe Smith [My Account](#) [Log Off](#)

- DASHBOARD
- APPLICANTS
- USERS
- FORMS
- SHARED
- REPORTS
- INBOX
- HELP

Edit Cover Letter



Description:



Test #ApplicantName#

eSCPH includes the following features as templates style letters do not have to be individually customized with names, manually. eSCPH will do it for you:

- An applicant's name will auto insert into a letter using the following code - **#ApplicantName#**. Type your letter as you normally would and insert the code into the letter where you would normally type the applicant's name.
- A letter you are sending will automatically have the recipient's name inserted into the letter by using the following code: **#RecipientName#**. Type your letter as you normally would and insert the code into the letter where you would normally type the recipient's name.

(Note: do not include the pound after the code)



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Fig.31.

TEST AGENCY

Logged in as: Joe Smith [? My Account](#) [Log Off](#)

- DASHBOARD
- APPLICANTS
- USERS
- FORMS
- SHARED
- REPORTS
- INBOX
- HELP

[Back to Reference Documents](#)

Reference Type: Family Member

Create a cover letter, select any documents from the Agreements & Advisements section, and add a questionnaire for this reference type to complete:

Step 1: Create a cover letter for this reference [Preview](#) [Edit](#)

Step 2: Select any of the applicant's agreements to include [Add](#)

- [AUTHORIZATION & AGREEMENT TO RELEASE INFORMATION](#) [Remove](#)

Step 3: Add a questionnaire for this reference to complete [New Questionnaire](#)

The cover letter, any selected agreements and the questionnaire can be printed or emailed from the "References" tab in the Applicant's Profile.

[Save & Submit](#)

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Fig.32.

TEST AGENCY

Logged in as: Joe Smith [? My Account](#) [Log Off](#)

[DASHBOARD](#) [APPLICANTS](#) [USERS](#) [FORMS](#) [SHARED](#) [REPORTS](#) [INBOX](#) [HELP](#)

Below you can manage the pages used by your agency. Click on each of the tabs below for further instructions.

[Agreements & Advisements](#) [Questionnaires](#) [Reference Documents](#) [Checklists](#)

Setup Note: Reference Documents are the documents your agency will use to communicate with the individuals listed in the applicant's questionnaires. A typical initial communication with a reference source would include a cover letter, the authorization to release information form that the applicant signed, and a questionnaire with questions specific to the type of reference source (neighbor, family, personal, landlord, etc.). eSOPH has included premade cover letters and premade questionnaire for each of these common reference sources, shown below. You can edit and manage the cover letter, select the applicant's agreement(s) to include, and the questionnaire for a specific reference source by clicking on the name below. The investigator sends the reference documents by accessing the Applicant's Profile and viewing "References". The names of individuals listed in specific applicant's questionnaires will automatically be listed there, with the ability to send the references to those listed individuals, by email or regular mail.

Click on the reference name to open or edit

[Family Member](#)

[References](#)

[Neighbors](#)

[Housemates](#)

[Landlords](#)

[Employer](#)

[Supervisors](#)

[Court](#)

[Law Enforcement](#)

[Military Records](#)

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Fig.33.

TEST AGENCY

Logged in as: Joe Smith My Account Log Off

DASHBOARD **APPLICANTS** **USERS** **FORMS** **SHARED** **REPORTS** **INBOX** **HELP**

Create a New Questionnaire

Step 1: Who is this questionnaire going to be for?

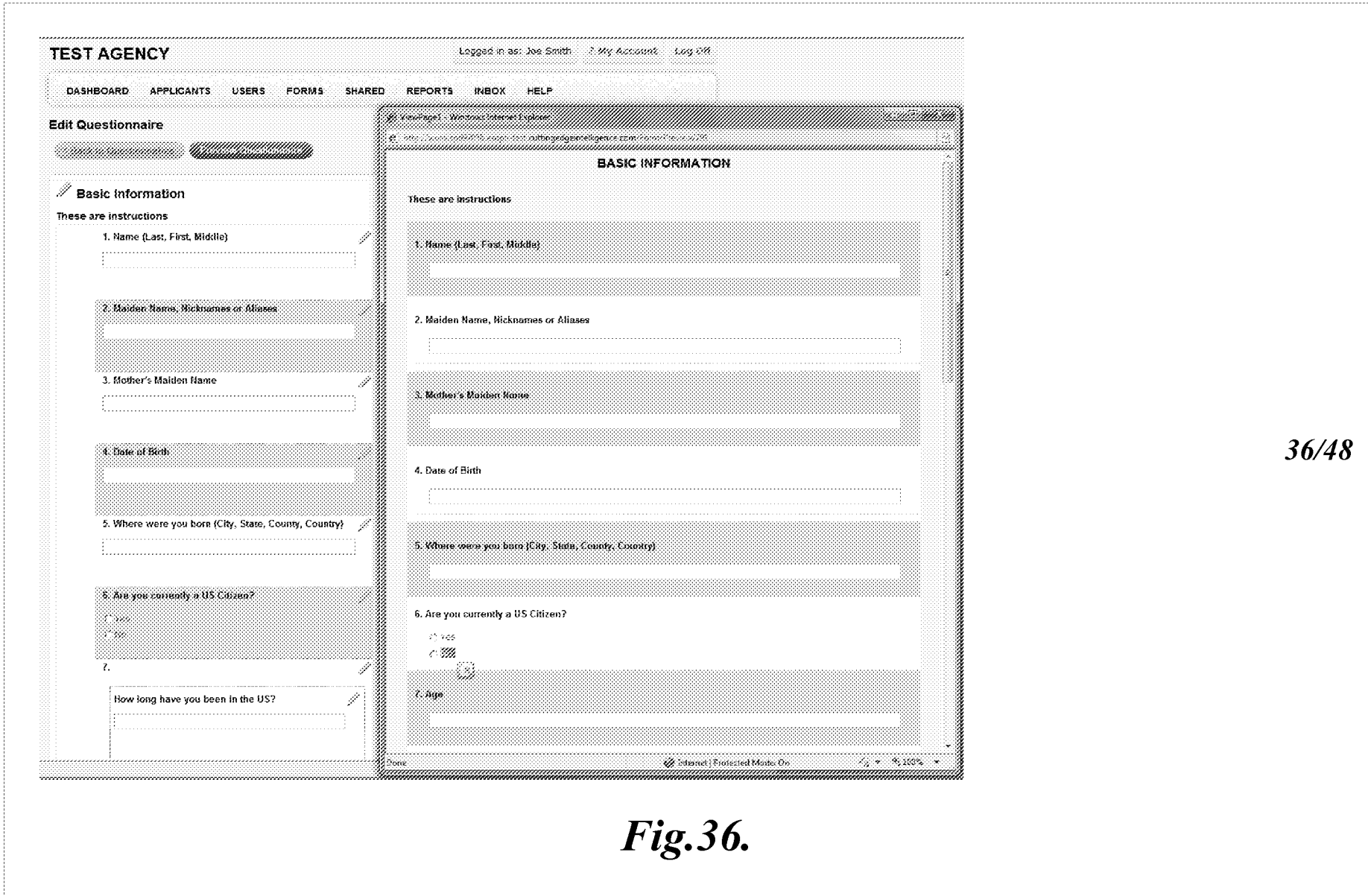
- Applicant
- Family Member
- References
- Neighbors
- Housemates
- Landlords
- Employer
- Supervisors
- Courts
- Law Enforcement Agencies
- Military

Step 2: Give this questionnaire a title (i.e., Family Reference Questionnaire):

Step 3: Write any instructions you would like to appear on the form:

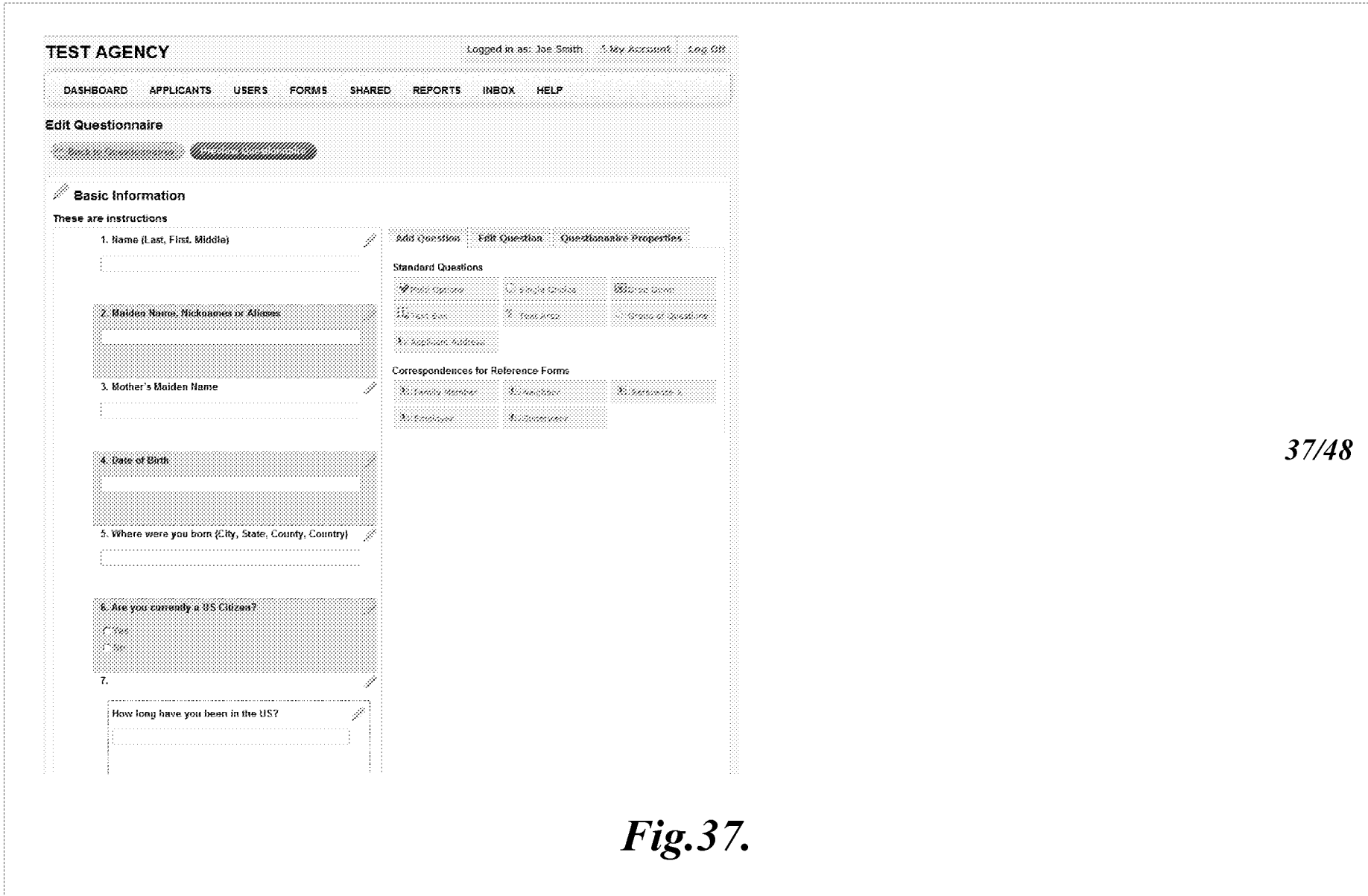
Check this box if you would like to require this questionnaire to be returned in hard-copy. This means this document will not be able to be certified online or returned to you online. It will need to be hand delivered or mailed. You may want to include instructions on how to return the completed questionnaire (return address, etc.) in the instruction box above.

Fig. 35.



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Fig.36.



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Fig.37.

TEST AGENCY

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- DASHBOARD
- APPLICANTS
- USERS
- SHARED**
- REPORTS
- INBOX
- HELP

Back

Page Name / Title

NOTICE TO APPLICANT

Page Content:

In the box below, type what text you would like to appear on this page. For a single space to appear between paragraphs, push the enter button twice before starting the new paragraph.

A rich text editor interface with a toolbar at the top containing icons for Source, Bold, Italic, Underline, Bulleted List, Numbered List, Indent, Outdent, Undo, and Redo. The font dropdown is set to 'Font' and the size dropdown is set to 'Size'. Below the toolbar is a large text area with a vertical scrollbar on the right side.

Check all the necessary boxes below to set what you would like the applicant to do with this document.

- Hardcopy Submit
- Electronic Signature
- Initials
- SSN
- Auto Date

This page is Enabled
(Only an enabled page will be visible to applicants)

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Fig.39.



Fig.41.

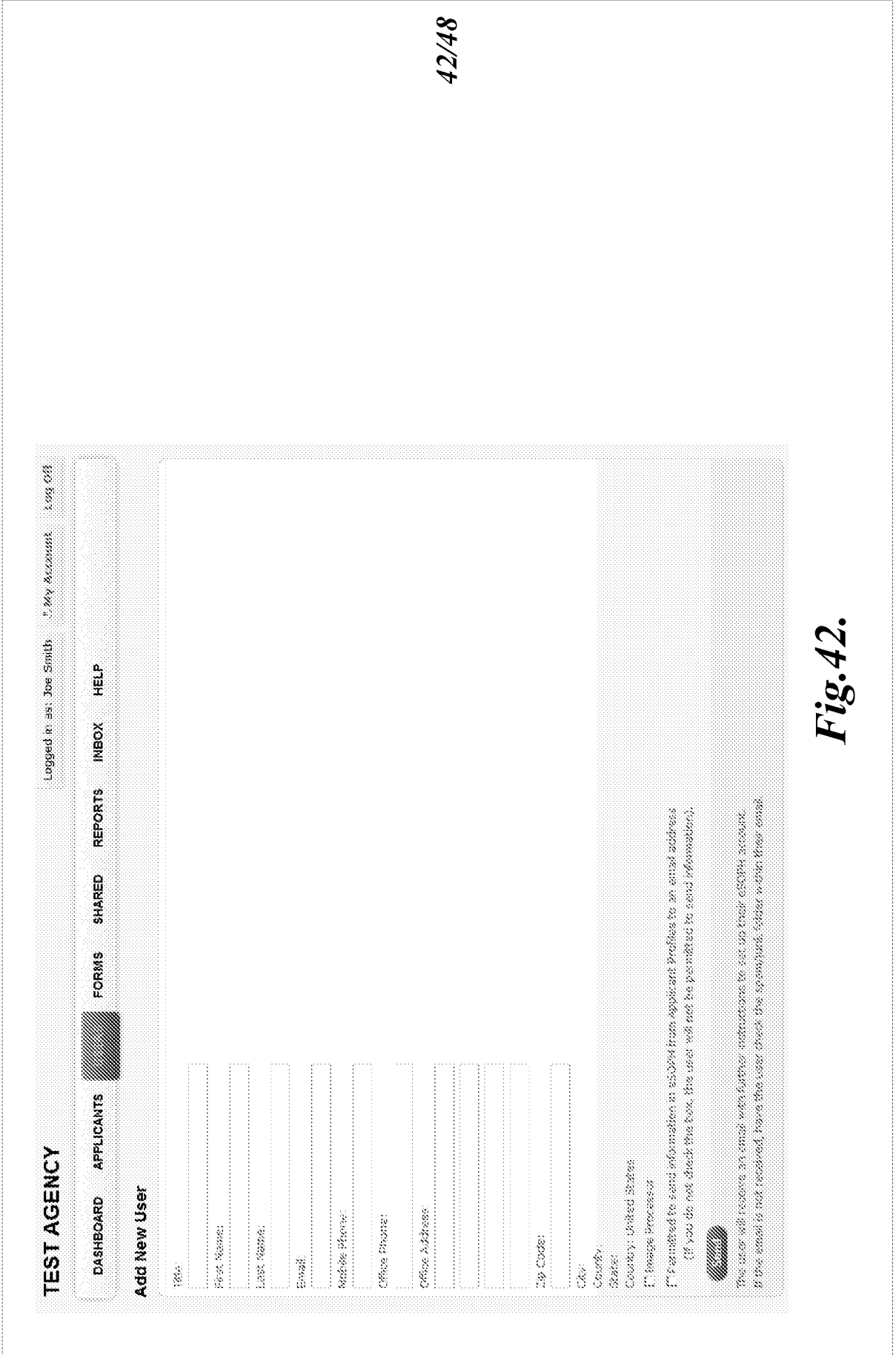


Fig.42.

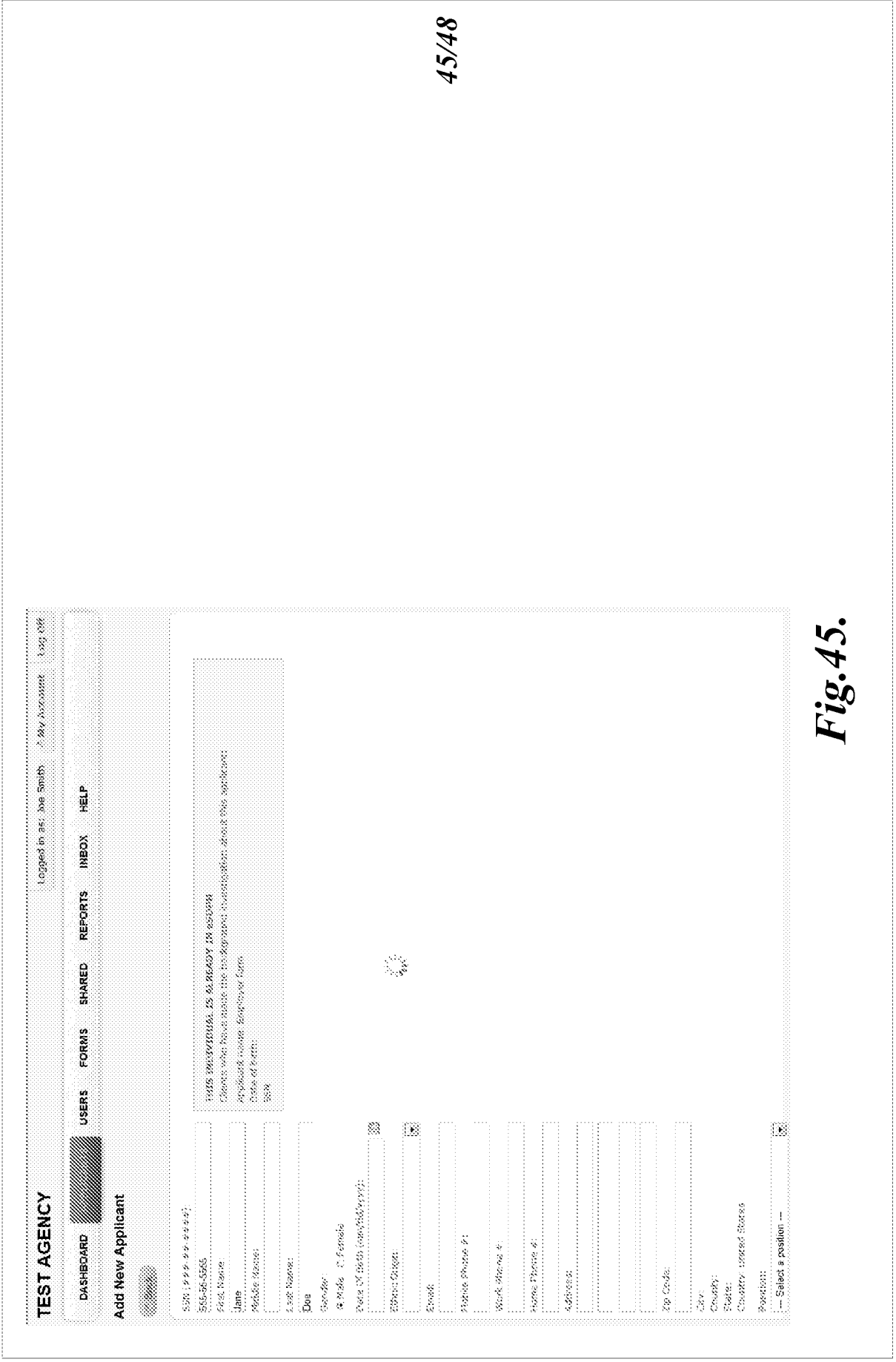


Fig.45.

TEST AGENCY

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[DASHBOARD](#)

[USERS](#)

[FORMS](#)

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[REPORTS](#)

[INBOX](#)

[HELP](#)

Search for an Applicant

[Add New Applicant](#)

First Name:

Middle Name:

Last Name:

SSN (###-##-####):

[Search](#)

[clear](#)

[Pending Assignment](#)

[Assigned](#)

[Suspended](#)

[Completed](#)

Status	Applicant Name	SSN	Gender	Zip/Postal Code	Entered	Investigator	Questionnaires (?)
Assigned	Joe John Jackson	###-##-1234	Male	98104	03/23/2011	Chris Smith	View

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Fig.47.

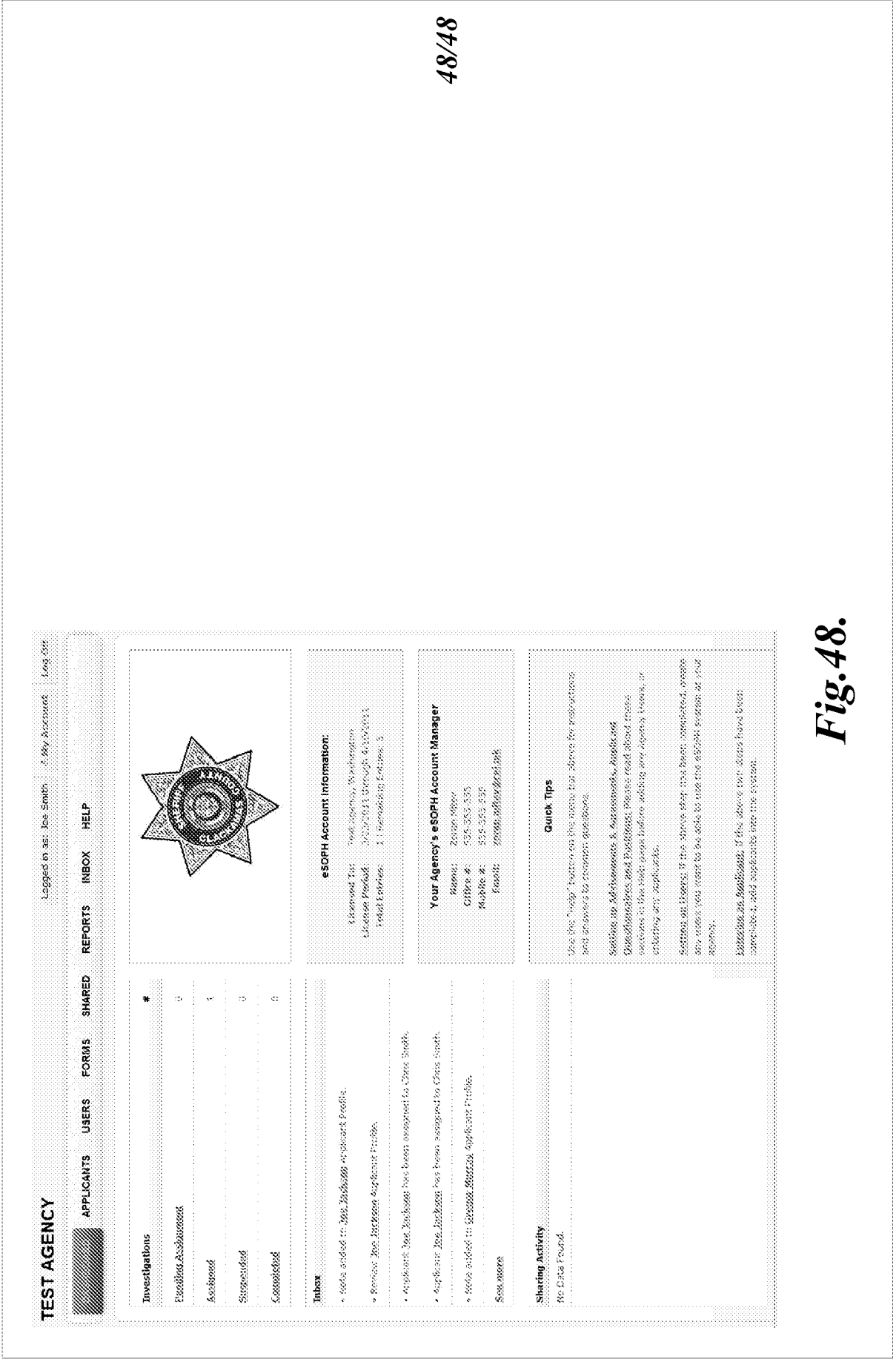


Fig. 48.

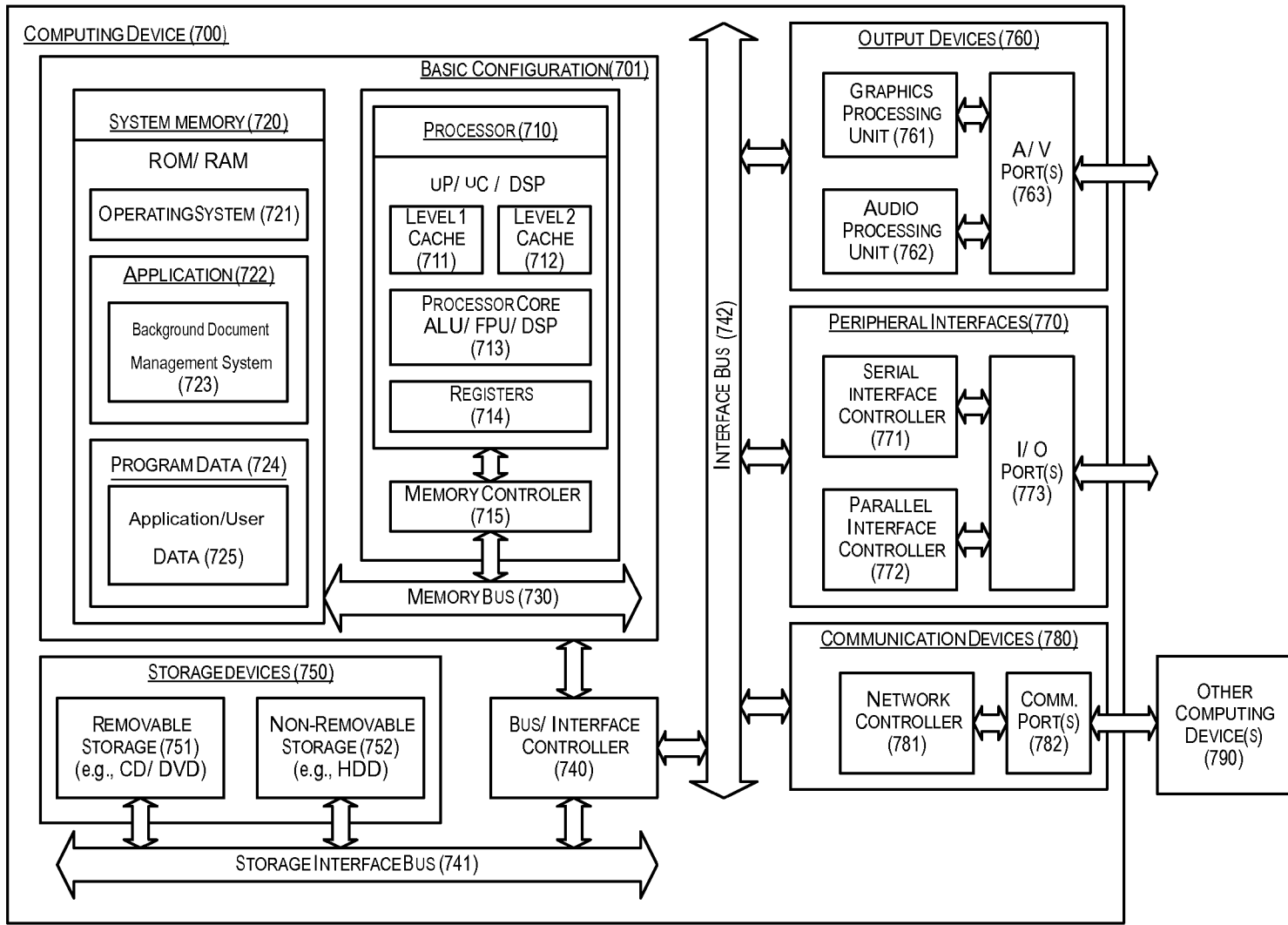


Fig. 77

Electronic Patent Application Fee Transmittal

Application Number:				
Filing Date:				
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE			
First Named Inventor/Applicant Name:	Tyler J Miller			
Filer:	John Whitaker/Anne Smart			
Attorney Docket Number:	MM0002			
Filed as Small Entity				
Utility under 35 USC 111(a) Filing Fees				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Utility filing Fee (Electronic filing)	4011	1	95	95
Utility Search Fee	2111	1	310	310
Utility Examination Fee	2311	1	125	125
Pages:				
Claims:				
Miscellaneous-Filing:				
Petition:				
Patent-Appeals-and-Interference:				

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Post-Allowance-and-Post-Issuance:				
Extension-of-Time:				
Miscellaneous:				
Total in USD (\$)				530

Electronic Acknowledgement Receipt

EFS ID:	12491140
Application Number:	13441648
International Application Number:	
Confirmation Number:	9597
Title of Invention:	BACKGROUND INVESTIGATION MANAGEMENT SERVICE
First Named Inventor/Applicant Name:	Tyler J Miller
Customer Number:	56031
Filer:	John Whitaker/Anne Smart
Filer Authorized By:	John Whitaker
Attorney Docket Number:	MM0002
Receipt Date:	06-APR-2012
Filing Date:	
Time Stamp:	17:59:03
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Credit Card
Payment was successfully received in RAM	\$530
RAM confirmation Number	3669
Deposit Account	
Authorized User	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
-----------------	----------------------	-----------	-------------------------------------	------------------	------------------

1	Specification	Non-ProvApplication.pdf	140281	no	26
			0c014c48b6f4db196e3f36b2ee233d988214f780		
Warnings:					
Information:					
2	Drawings-other than black and white line drawings	Figs-Part-1.pdf	2056272	no	14
			986dbe098a04b3e3610fe3f42c1c082a8ce25a4e		
Warnings:					
Information:					
3	Drawings-other than black and white line drawings	Figs-Part-3.pdf	1515244	no	14
			006ca42c7e92eb8c971153870d25304b5516c682		
Warnings:					
Information:					
4	Oath or Declaration filed	DEC-POA.pdf	37271	no	2
			3f64d5c84e272990425441e2134c53626fb4230		
Warnings:					
Information:					
5	Drawings-other than black and white line drawings	Figs-Part-2.pdf	2573532	no	31
			ad7d8bc0ab95813af81923fb482d5a62602c7474		
Warnings:					
Information:					
6	Fee Worksheet (SB06)	fee-info.pdf	32800	no	2
			b9bc060df6c39e6fb0cbce238a4a8f93c8b1756e		
Warnings:					
Information:					
Total Files Size (in bytes):			6355400		

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If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

SCORE Placeholder Sheet for IFW Content

Application Number: 13441648

Document Date: 4/6/2012

The presence of this form in the IFW record indicates that the following document type was received in electronic format on the date identified above. This content is stored in the SCORE database.

- Drawings

Since this was an electronic submission, there is no physical artifact folder, no artifact folder is recorded in PALM, and no paper documents or physical media exist. The TIFF images in the IFW record were created from the original documents that are stored in SCORE.

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At the time of document entry (noted above):

- Examiners may access SCORE content via the eDAN interface using the Supplemental Content tab.
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