

# AppColl Getting Started Guide

Welcome to AppColl!

This document takes you through the basic steps needed to get your account setup and covers the following topics:

- Getting Help
- Terminology
- Basic Account Setup
- Other Things You should Know

## Getting Help

AppColl provides three primary mechanisms for getting help.

FAQ – in the upper right corner of any page within AppColl is a ‘Frequently Asked Questions’ link. This link opens a 60+ page PDF manual on using AppColl.

Video Tutorials - in the upper right corner of any page within AppColl is a ‘Video Tutorials’ link. This link provides numerous videos on how to use certain aspects of the system.

Support System - in the upper right corner of any page within AppColl is a ‘Send Us a Comment or Question’ link for entering a formal support ticket. This method is easier (and will result in quicker response times) than sending an email to [support@appcoll.com](mailto:support@appcoll.com).

## Terminology

The following terms have special meanings in AppColl:

Affiliated	A person is Affiliated with a matter if they are listed as the Matter Partner, Matter Attorney, Matter Contributor or Matter Paralegal. AppColl can generate reports based on matter affiliations.
Attorney Ref	This is your unique name associated with a matter. No two matters can have the same Attorney Ref. This value would normally be the same as the Attorney Docket No. on file with the USPTO.
Client Ref	This optional field is the client’s reference number.
Filing Date	The actual date that an application was filed. For PCT national phase filings, this is the national phase entry date.
Final Due Date	The final due date for a task that has extendable deadlines. For example, the final due date for a ‘Respond to Non-Final Office Action – 3 Month Deadline’ would be six months from the office action mail date.
Matter Attorney	The person primarily responsible for a matter.
Matter Contributor	A person contributing to the prosecution of a matter.
Matter Partner	The person with overseeing the prosecution of a matter.
Official Filing Date	If actual filing date if the application is a PCT.

Priority Date	Earliest filing date based on a priority chain.
Ref Date	The date from which the Respond By and Final Due Dates are calculated. For example, the Ref Date for a 'Respond to Non-Final Office Action – 3 Month Deadline' would be the date the office action was mailed.
Respond By	The due date for a task before any extensions. For example, the Respond By date for a 'Pay Issue Fee' would be three months from the Notice of Allowance mail date.
Role	All contacts in AppColl have a Role that determines how the contact is used. For example, a contact with a Paralegal Role will be available in the Paralegal dropdown in the details page for a matter.
Task	A Task is a record containing information about an item that has completed or something that someone has to complete. This mostly includes docketing tasks, although it could refer to internal workflows or actions. A task can be an informational item, a prosecution history item from the USPTO, or a task requiring an action.
Task Owner	This is the person responsible for completing a Task. There can only be one person who is the owner for a Task. Each task for a matter can have different owners that may be different than the Attorney responsible. For example, a paralegal may own certain tasks within a matter.

## Basic Account Setup

There are 3 basic steps for getting your account setup:

1. Create Key Contacts
2. Add Patents and Trademarks
3. Cleanup Docketing Tasks

Each of these steps is described in more detail below.

### Create Key Contacts

When you begin using your new account, there are some contacts you will want to set up right away.

Note: the role is not the title for the person. It simply allows for different permissions as well as names that show in the various dropdowns in the modules.

#### *Account Administrator*

Your account has been set up with at least one Account Administrator. Do not attempt to change this role to something else. The account admin has special permissions to do things that other roles cannot, such as modifying task rules, assigning permissions to other users, etc. You only want to have 1 account admin but can have additional account admin (backup) in the event the admin is not available. Note that if your account has more than one login, each user will have been created by AppColl.

#### *Law Firm*

If you are a law firm you should create your law firm contact and include all the relevant details. Go to the Contacts module and add a new contact and give it a role of 'Law Firm'. Enter in the full address and

a general email address. If you plan on using AppColl's Billing module, you should enter your tax ID and any wire instructions. This information will show on the invoice.

#### *Law Firm Personnel*

If you have purchased multiple logins, contacts for each login should already exist. However, you must fill in the contact's details. Select the appropriate role (i.e., attorney, patent attorney, patent agent, paralegal, docketing manager, etc.) and fill out as much information as possible. Note that you can add USPTO Deposit Accounts, Patent Registration Numbers and Customer Numbers, Titles and even default billing rates for individual contacts.

#### *Clients*

Next, you would want to begin adding client contacts with a role of "Client" or "Client/Inventor" (this is used when you have a solo inventor.) Each client should contain as much detail as possible, especially if you plan on creating invoices. You can also add a general email address. Then you would want to create individual contacts associated with each client and assign the appropriate role (i.e., corporate counsel, outside counsel, employee, manager, other, paralegal, etc.)

#### *Corporations*

If you are a corporation you should create your corporate contact and add additional employees that you desire. Next, you should add in the law firms (Contact Role = Law Firm) that handle your work as well as any law firm personnel that are associated with any matters.

#### *Inventors*

Inventors are a unique role that apply to both law firms and corporations. If you plan on importing patent matters from Private Pair, then inventors listed on patent matters will be automatically created for you. However, the only information filled out would be their name (as it is spelled in the patent application) and the assignee (which is based on the assignee or applicant of the patent matter). You can optionally add additional information for each contact. If you plan on generating ADS forms via AppColl you would want to enter their address, residency and citizenship.

If you import patent matters via XML files from Private Pair, it is common for the same inventor to have multiple contacts in the contacts module with slightly different name spellings. This occurs when the inventor name, associated with multiple patent applications, has slight variations. There is no harm in leaving this alone. However, we recommend merging them into one contact. From the Contacts module, select each inventor and click the Merge Contacts button. You will then be asked to select the primary contact.

#### *Importing Contacts*

If you maintain an external contacts database, you can import these into AppColl. We can provide you with an Excel template listing the columns and formats we need for each field. Additionally, you can export contacts from Outlook as well. Just create a support ticket and we will provide the template.

### Add Patents and Trademarks

#### *Initial import of matters using AppColl's template*

As a normal part of the setup process, AppColl will do an initial import to add your existing matters into your account. We send you a spreadsheet template, you complete it and send it back to us and we do

the import and let you know of any issues and when the import has been completed. If you have not received the template from us, please contact AppColl support.

#### *Adding U.S. and PCT Patent Matters from Private Pair via XML Files*

U.S. and PCT (through national phase) patent applications and issued patents can be populated in AppColl, without the need for manual entry. The USPTO's Private Pair system maintains a complete record of each patent matter as an XML file. These XML files can be downloaded from Private Pair and imported into AppColl, thus populating the entire matter, including bibliographic information and prosecution history. Further, AppColl can automatically create docketing items based on the information in the XML file.

#### *Filing Dates for Recently Imported U.S. Patent Applications*

As soon as a U.S. patent application is filed via EFS, an XML file becomes available. However, this file does not contain enough information to successfully import the matter into AppColl. Specifically, this XML file often fails to include the filing date, priority date, and even the application number. We highly recommend waiting at least two weeks after the filing before downloading the XML file from Private Pair and importing into AppColl.

AppColl's Video Tutorials page includes a specific video for importing XML files into AppColl. The video tutorials link is found in the upper right corner of any screen within AppColl.

#### *Updating U.S. and PCT Patent Matters from Private Pair via XML Files*

Existing U.S. and PCT patent matters already stored in AppColl can also be updated with XML files. Importing XML files for existing matters in AppColl will not overwrite your data. The additional import will only add additional prosecution history items, docketing items (tasks), and update the matter status (if necessary). Any time you are notified of a change to a patent matter, you should download another XML file and import into AppColl.

#### *Adding U.S. Trademark Matters from TSDR*

AppColl directly interfaces with TSDR to populate bibliographic information and prosecution history for U.S. trademark matters. To add a trademark matter to AppColl simply add a new matter from the Matters module. From the popup window select client, matter type = Trademark, country = United States, and provide an Attorney Reference Number. AppColl will open the matter details page for this new trademark. Enter the serial number and tab away from the field. An 'Update from TSDR' button will appear on the left. Click the button and wait a minute. If the serial number exists, AppColl will populate the matter from the information received from TSDR. Click Save and your matter has been populated. AppColl automatically updates all US trademarks weekly from TSDR.

#### *Adding Foreign Patent and Trademark Matters*

Foreign patent and trademark matters must be created and updated manually. Once the matter is manually created, enter in all relevant fields (i.e., application number, filing date, publication date, etc.). You may then add any prosecution history items you find relevant by clicking the 'Add Task' button on the left, selecting the desired task from the dropdown list and entering the relevant date(s). You can enter both historical information as well as open tasks requiring action. It is possible to import tasks for

foreign matters from an existing docketing system via a spreadsheet. Please contact AppColl support for details.

## Cleanup Docketing Tasks

When patent and trademark matters are imported into AppColl, a number of tasks (i.e., docketing items) will be automatically. AppColl will create tasks, preceded with 'USPTO:' for all USPTO prosecution history items found in the XML file. These tasks will always show up as closed items. Additionally, AppColl will create additional tasks based on the information in a matter (e.g. filing date) and in response to the prosecution history of a matter. The number of tasks AppColl creates for a matter depends on the content of its prosecution history.

By default, AppColl will not generate action tasks (i.e., tasks requiring an affirmative step) if the due date is 9+ months past due. However, tasks (with due dates less than 9 months old) will be created. **Many of these tasks may have already been completed.** For example, AppColl would generate a "Respond to Non-Final Office Action – 3 Month Deadline" task if the prosecution history shows that a Non-Final Office Action was mailed. If you already filed a response, you can mark the task as completed.

***In general, we recommend reviewing every matter in sequence and going through all open tasks to verify which tasks should be closed and which ones should remain open.*** While AppColl will create tasks automatically, it will never close a task automatically, even though it may appear obvious that a task has been completed. This is a firm principle. We feel strongly that a person should verify completeness before a task is closed.

While AppColl creates many task types automatically, there are three specific tasks that are often created. These tasks are: 'Review USPTO Communication', 'Review USPTO Status Change', and 'Review USPTO Differences'. The next three sections explain the purpose of these tasks and how to respond to them.

**Important:** AppColl highly recommends that you do not delete any tasks. It is preferable to simply mark tasks as completed, not needed, missed, etc. This maintains a complete history of the matter.

### *Closing 'Review USPTO Communication' Tasks*

Whenever a U.S. trademark, U.S. patent, or PCT matter receives updated information from the USPTO (via XML imports or TSDR) that appears like official communication that did not generate an open task, AppColl will create a 'Review USPTO Communication' task to alert you that a communication has been received. Once you have reviewed the communication, which is listed in the comments of the task, you can simply mark the task as completed. When a matter is imported for the first time, it is common to have one or more of these tasks depending on the number of items in the prosecution history for the matter. **Note that you may need to manually add tasks to complete the actions indicated by the communication.**

### *Closing 'Review USPTO Status Change' Tasks*

Whenever a U.S. trademark, U.S. patent, or PCT matter receives an updated status from the USPTO (via XML imports or TSDR), AppColl will create a 'Review USPTO Status Change' task. The purpose of the task is to alert you that the status of the application has changed (i.e., pending to published, published to allowed, allowed to issued, etc.). Once you have reviewed the status change, you can simply mark the

task as completed. When a matter is imported for the first time, it is common to have one or more of these tasks depending on the number of items in the prosecution history for the matter.

#### *Closing 'Review USPTO Differences' Tasks and Understanding Yellow Triangles*

Whenever a U.S. trademark, U.S. patent, or PCT matter is updated from the USPTO (via XML imports or TSDR), AppColl will create a 'Review USPTO Differences' task any time a discrepancy is found in the bibliographic information in AppColl compared to the USPTO. The purpose of the task is to alert you of the difference, which will be listed in the comments of the task. Once you have reviewed the differences, you can simply mark the task as completed.

Additionally, AppColl will display a yellow triangle next to any field in the matter details page when a discrepancy exists between the information stored in AppColl and the information AppColl has received from the USPTO. AppColl receives information from the USPTO in two ways. First, AppColl retrieves (weekly) information from TSDR for each U.S. trademark matter stored in AppColl. The second way is if a patent matter has been imported into AppColl via XML files from Private Pair. AppColl displays a yellow triangle next to a matter field any time the data is changed from the value that was already received from the USPTO. One common example is the Attorney Reference field, wherein the value is changed in AppColl to match a new internal referencing system, yet the PTO still shows a prior reference number.

#### *Tasks with Extension of Time Options*

AppColl does not automatically create all possible extensions of time tasks for docketing items that have extendible deadlines (i.e., Respond to Non-Final Office Action, File Notice of Appeal, File Statement of Use, etc.). This is done to avoid flooding your docket with extensions that may never be used. In order to see extensions for a task, you will want to mark the task as 'Missed'. This change will automatically trigger the next extension. If you need a second extension, mark the first one as 'Missed' and so forth. For example, if you don't plan to file a 'Respond to Non-Final Office Action – 3 Month Deadline' task by the 3 month date, mark the 3 month task as missed and AppColl will auto-generate the 'Respond to Non-Final Office Action – 4 Month Deadline'.

If you wish to alter AppColl to auto-generate all extensions simultaneously, please watch our video entitled, "Automatically Generating 4, 5, and 6 Month Extensions" which can be found from the Video Tutorials link in the upper right corner.

#### *Closing multiple tasks as the same time*

If you have several tasks you wish to mark as completed, the easiest way to do this is from the main tasks module. Select all of the tasks you wish to close using the checkboxes on the left of the table and click on the Close Tasks button on the left. Note it may be easier to filter tasks just for those you are interested in and then click on the "Select All" checkbox in the upper left of the table when doing this action.

## Other Things You Should Know

### Manipulating Columns and Creating Filters

The summary screen for each of the seven modules in AppColl have the identical look and feel. There are columns across the top and a row for each matter, task, contact, etc. AppColl provides a default set of columns which can be changed. In the upper right corner of the screen is a Columns link which will open a popup window. There is an 'Available Columns' and 'Selected Columns' pane. Additional columns can be shown by highlight the column you wish to see and clicking the right arrow which moves it to the 'Selected Columns' pane. You can use the up and down arrows to rearrange the ordering of the columns. You can further remove columns from the current view with the left arrow. After clicking OK, the new column layout will be displayed. The current column layout will be saved whenever you log out of AppColl.

AppColl also provides the option to narrow the current dataset and/or search for specific information with filters which can be created in the 'Change View' section of each module. The following steps explain the process for filtering your data:

1. Go to the module that contains the information you are looking for (such as Tasks or Matters) by clicking on the appropriate button at the top of the window.
2. From the Change View section of the window on the left hand side, select the field you wish to search from the Search dropdown. For Matters, you can select All Fields to search in all matter fields. For many searches however, the default field shown is probably the one you want.
3. Depending on the field you select you will be presented with various search options.
  - For fields with a limited set of choices, such as a Contact role, you will be shown the list of choices with the number of items in the database that match that choice in parentheses. Select one or more checkboxes to include those values in the search.
  - For date fields you will see another drop down with date search options. Select one option and enter any additional information as prompted.
  - For amount fields you will see Lowest Value and Highest Value options. To search for all values greater than 0 enter 0.01 in the Lowest Value box.
  - For text fields you will just see a text box to enter text. You may enter partial information if you wish. You can enter multiple search terms separated by spaces and the system will search for information that contains all of the search terms (i.e. there is an implicit logical 'and' between multiple words). If you separate the search terms with the word 'or' the system will search for information that contains any of the search terms. Text searches are case insensitive. If you wish to search for items that don't contain certain words (i.e. you want to exclude certain words), you can precede the word with 'not'. For example, if you wish to search for all matters from mainland China you could filter the country field for 'China not Taiwan'. If you want to search for an explicit phrase (that contains spaces) surround it with quotes (""). E.g. "office action" will search for all records that contain exactly that text. Note that 'not' has higher precedence than 'or', which has a higher precedence than 'and'. So, if you specified the search text as

cat dog or rat or "blue fish" not chicken

AppColl would interpret that text as

cat **and** (dog **or** rat **or** "blue fish") **and not** chicken

Some examples:

Record Text	Match
cat dog	Yes
cat rat	yes
cat rat chicken	No
cat fish	No
rat	No
cat blue rat fish	No
cat blue fish rat	yes

4. When searching application or patent numbers in matters you do not need to enter any formatting characters (such as '/' or '.'). You can also enter part of a number.
5. Select the number of items per page from the dropdown.
6. Click on the Go button next to the Search dropdown (or just press Enter).
7. Your filtered information will be shown in the table. The number of items that match the filter (and the total number of items in the database) will be shown at the top of the table. For example, if you see Matters (26 of 352) at the top of the Matters table, this means that you have a total of 352 matters in the system and your filter has selected 26 of them.
8. To delete a filter, click on the trash can next to the filter name.
9. To further sub-filter the information, repeat steps 3 through 7. You can create as many sub-filters as you wish.
10. To find information within the window shown in the browser, use the search function of the browser. This is normally invoked by pressing Ctrl+f.

## Creating and Running Reports

Reports can be generated and saved from the change view section within any module in AppColl. Any time you wish to save the current view (whether you have applied filters or not) as a report, click the 'Save View as Report' button. A window will appear where you will type in a report name and click Save. This report can now be rerun any time. Reports are active database queries, so each time they are run it will return current data.

Previously saved reports can be run from within the module they were created or from the Reports Module. To run a saved report from the module it was created, go to that module and look for the 'Saved Reports' drop down menu in the Change View section. All saved reports, specific to this module, will appear in the drop down. For example, if a report was created and saved in the Tasks module, it will not appear in the Matters module.



To run a report from the Reports module, click on the module labelled 'Reports'. You will see a drop down menu called 'Select Report to View'. The dropdown will list all reports that have been saved, regardless of the module in which they were created. Click on a report from the drop down to see the results.

### Creating Custom Task Types and Rules

AppColl contains over 150 task types each with one or more rules that define when these tasks are generated. These tasks cover the most common items that associated with U.S. trademarks, U.S. patents, and PCT patent applications. However, there are instances when you may wish to add/edit existing task types and the rule that generate them. AppColl provides over a dozen videos tutorials on task rules. These videos, and many others, are found from the Video Tutorials link in the upper right corner within AppColl.