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Table with columns: APPLICATION NO., FILING DATE, FIRST NAMED INVENTOR, ATTORNEY DOCKET NO., CONFIRMATION NO., EXAMINER, ART UNIT, PAPER NUMBER, MAIL DATE, DELIVERY MODE. Includes application details for Richard Frankland and examiner APPLE, KIRSTEN SACHWITZ.

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 Abandonment	Application No.	Applicant(s)	
	12/098,154	FRANKLAND ET AL.	
	Examiner	Art Unit	
	KIRSTEN S. APPLE	3694	

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

This application is abandoned in view of:

1. Applicant's failure to timely file a proper reply to the Office letter mailed on 27 April 2010.
 - (a) A reply was received on _____ (with a Certificate of Mailing or Transmission dated _____), which is after the expiration of the period for reply (including a total extension of time of _____ month(s)) which expired on _____.
 - (b) A proposed reply was received on _____, but it does not constitute a proper reply under 37 CFR 1.113 (a) to the final rejection.
(A proper reply under 37 CFR 1.113 to a final rejection consists only of: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114).
 - (c) A reply was received on _____ but it does not constitute a proper reply, or a bona fide attempt at a proper reply, to the non-final rejection. See 37 CFR 1.85(a) and 1.111. (See explanation in box 7 below).
 - (d) No reply has been received.

2. Applicant's failure to timely pay the required issue fee and publication fee, if applicable, within the statutory period of three months from the mailing date of the Notice of Allowance (PTOL-85).
 - (a) The issue fee and publication fee, if applicable, was received on _____ (with a Certificate of Mailing or Transmission dated _____), which is after the expiration of the statutory period for payment of the issue fee (and publication fee) set in the Notice of Allowance (PTOL-85).
 - (b) The submitted fee of \$_____ is insufficient. A balance of \$_____ is due.
The issue fee required by 37 CFR 1.18 is \$_____. The publication fee, if required by 37 CFR 1.18(d), is \$_____.
 - (c) The issue fee and publication fee, if applicable, has not been received.

3. Applicant's failure to timely file corrected drawings as required by, and within the three-month period set in, the Notice of Allowability (PTO-37).
 - (a) Proposed corrected drawings were received on _____ (with a Certificate of Mailing or Transmission dated _____), which is after the expiration of the period for reply.
 - (b) No corrected drawings have been received.

4. The letter of express abandonment which is signed by the attorney or agent of record, the assignee of the entire interest, or all of the applicants.

5. The letter of express abandonment which is signed by an attorney or agent (acting in a representative capacity under 37 CFR 1.34(a)) upon the filing of a continuing application.

6. The decision by the Board of Patent Appeals and Interference rendered on _____ and because the period for seeking court review of the decision has expired and there are no allowed claims.

7. The reason(s) below:

/KIRSTEN S APPLE/
Primary Examiner, Art Unit 3694

Petitions to revive under 37 CFR 1.137(a) or (b), or requests to withdraw the holding of abandonment under 37 CFR 1.181, should be promptly filed to minimize any negative effects on patent term.

Electronic Patent Application Fee Transmittal

Application Number:	12098154
Filing Date:	04-Apr-2008
Title of Invention:	Integrated Change Management Unit
First Named Inventor/Applicant Name:	Richad Frankland
Filer:	Christopher Dale James/Deborah Cummings
Attorney Docket Number:	LUFK-001/01US 309694-2002

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 - 3 months with \$0 paid	2253	1	555	555

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Total in USD (\$)				555

Electronic Acknowledgement Receipt

EFS ID:	8700586
Application Number:	12098154
International Application Number:	
Confirmation Number:	1656
Title of Invention:	Integrated Change Management Unit
First Named Inventor/Applicant Name:	Richad Frankland
Customer Number:	58249
Filer:	Christopher Dale James/Deborah Cummings
Filer Authorized By:	Christopher Dale James
Attorney Docket Number:	LUFK-001/01US 309694-2002
Receipt Date:	26-OCT-2010
Filing Date:	04-APR-2008
Time Stamp:	16:41:54
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$555
RAM confirmation Number	3327
Deposit Account	501283
Authorized User	

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

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Fee Worksheet (PTO-875)	fee-info.pdf	30092 <small>7b6c0cae7a523119b46bd7659f0250eda1027742</small>	no	2

Warnings:

Information:

Total Files Size (in bytes): 30092

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.



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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
12/098,154	04/04/2008	Richard Frankland	LUFK-001/01US 309694-2002	1656
58249	7590	04/27/2010	EXAMINER	
COOLEY LLP ATTN: Patent Group Suite 1100 777 - 6th Street, NW WASHINGTON, DC 20001			APPLE, KIRSTEN SACHWITZ	
			ART UNIT	PAPER NUMBER
			3694	
			MAIL DATE	DELIVERY MODE
			04/27/2010	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. 12/098,154	Applicant(s) FRANKLAND ET AL.	
Examiner KIRSTEN S. APPLE	Art Unit 3694	

-- 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 24 July 2008.
- 2a) This action is **FINAL**.
- 2b) This action is non-final.
- 3) 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

- 4) Claim(s) 2-19 is/are pending in the application.
4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) Claim(s) _____ is/are allowed.
- 6) Claim(s) 2-19 is/are rejected.
- 7) Claim(s) _____ is/are objected to.
- 8) Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) The specification is objected to by the Examiner.
- 10) 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).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

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).
a) All b) Some * c) None of:
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) Notice of Draftperson's Patent Drawing Review (PTO-948)
- 3) Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____.
- 4) Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) Notice of Informal Patent Application
- 6) Other: _____.

Detailed Action

This action is in response to the application filed on 7/24/08.

Priority

Acknowledgment is made of applicant's claim for prior continuation of the prior of Application No. 09/797,488, filed 3/1/2001 now patent 7,356,482.

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 2-7 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

In order for a method to be considered a "process" under §101, a claimed process must either: (1) be tied to another statutory class (such as a particular apparatus) or (2) transform underlying subject matter (such as an article or materials). *Diamond v. Diehr*, 450 U.S. 175, 184 (1981); *Parker v. Flook*, 437 U.S. 584, 588 n.9 (1978); *Gottschalk v. Benson*, 409 U.S. 63, 70 (1972). If neither of these requirements is met by the claim, the method is not a patent eligible process under §101 and is non-statutory subject matter.

Examiner finds these method claims lack structure such as on a "computer readable medium". One example of corrective action might be to place "electronically" before an action verb and "on computer (or other appropriate structure)."

For example in the claim:

"Method comprising:

Calculating a score

Assigning rank..."

Would need to become:

"Method comprising:

Electronically calculating a score on a processor...

Electronically assigning rank on a processor..."

This is just one elementary example to provide guidance however there many be various ways to overcome the 101 method without changes to the invention.

The examiner acknowledges that there are elements such as "user interface" and "application" that most likely are on a computer but requests that the computer or processor is positively recited.

Claim Rejections - 35 USC § 103

The following is a quotation of 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 listed below in this section are rejected under 35 U.S.C. 103(a) as being unpatentable over Dodrill (U.S. Patent 6,766,298) and McLauchlin (U.S. Patent 6,754,672)

Re claim 2 & 8 & 14: Dodrill discloses:

A method & system, comprising:

Receiving first information about unique aspects of a particular application (see Dodrill, column 16, claim 1 there are multiple "first information" that read on this limitation – the examiner will use the "XML page" and "XML tags" as the "first information");

Receiving second information about user interface elements and one or more functions common to various applications (see Dodrill column 17, claim 11 "user interface"), the various applications including the particular application;

Upon establishment of a communication connection with a user system that includes the particular application, dynamically generating a functionality and a user interface for the particular application, the functionality and the user interface of the particular application being base on the first information and a second information (see Dodrill column 17, claim 11);

Providing the functionality and the user interface of the particular application to the user system (see Dodrill column 17, claim 11 + Figure 8); and

Modifying at least one of the first information and the second information in response to changes determined to have occurred to information associated with the particular application (see Dodrill, column 16, claim 2 "second XML" + column 17, claim 15)

+++++

The examiner believes Dodrill shows the aspects of the claim but because the claims are generic many prior art reference included all the claim limitation of the claims. The examiner has provided a second reference as well. Almost all of the references cited in the "notice of reference cite" by the examiner would full read on the applicants limitations as a 102.

A method & system, comprising:

Receiving first information about unique aspects of a particular application (see McLauchlin, column 12, claim 1 + figure 1, item 36 & 40 “data source” and “schema” are the “information”);

Receiving second information about user interface elements and one or more functions common to various applications (see McLauchlin, column 12, claim 1 “user interface”), the various applications including the particular application;

Upon establishment of a communication connection with a user system that includes the particular application, dynamically generating a functionality and a user interface for the particular application, the functionality and the user interface of the particular application being base on the first information and a second information (see McLauchlin, column 12, claim 1 “user interface”);

Providing the functionality and the user interface of the particular application to the user system (see McLauchlin, column 12, claim 6); and

Modifying at least one of the first information and the second information in response to changes determined to have occurred to information associated with the particular application (see Dodrill, column 16, claim 4 “supplemental data source”)

Re claim 3 & 9 & 15: Dodrill discloses see page , column, line . Note “predetermined business application" could read on a very broad area the word "application" could be software to any business process and the qualifiers “predetermined business” also read very broadly - just about every application is business.

Re claim 4 & 10 & 16: Dodrill discloses:

XML page is considered by the examiner to be a logical design (see Dodrill, paragraph)

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Claims listed below in this section are rejected under 35 U.S.C. 103(a) as being unpatentable over Dodrill (U.S. Patent 6,766,298) and McLauchlin (U.S. Patent 6,754,672) in further view of Wikipedia

Re claim 5 & 11 & 17: Dodrill discloses see column 17, claim 11 “user interface generation parameters”

Although Dodrill does not have metadata, Wikipedia claims “Metadata”

Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Dodrill by adapting metadata of Wikipedia.

It is clear that one would be motivated to combine prior art elements according to known methods to yield predictable results.

Below is what wikipedia says about metadata (<http://en.wikipedia.org/wiki/Metadata>)

Metadata is loosely defined as data about data. Though this definition is easy to remember, it is not very precise. The strength of this definition is in recognizing that metadata is data. As such, metadata can be stored and managed in a database, often called a registry or repository. However, it is impossible to identify metadata just by looking at it. We don't know when data is metadata or just data.^[1] Metadata is a concept that applies mainly to electronically archived data and is used to describe the

- definition
- structure
- administration

of data files with all contents in context to ease the use of the captured and archived data for further use. Web pages often include metadata in the form of meta tags. Description and keywords meta tags are commonly used to describe the Web page's content. Most search engines use this data when adding pages to their search index.

So by definition of metadata it is “representative of structures and functions associated with a plurality of application”

Re claim 6 & 12 & 18: see claim 5 above + Dodrill discloses column 5 line 53 + others + see McLauchlin, column 12, claim 3 “reporting”

Re claim 7 & 13 & 19: Dodrill discloses see column 18, Claim 26 + see claim 2 rejection above

+++++

Claims listed below in this section are rejected under 35 U.S.C. 103(a) as being unpatentable over Dodrill (U.S. Patent 6,766,298) and McLauchlin (U.S. Patent 6,754,672) in further view of Tsirigotis (US Patent 6,098,096)

Re claim 14: Dodrill discloses:

See claim 2 rejection above +

Server (see Dodrill, Figure 8, item 64 or 66 + see McLauchlin, Figure 1)

Although Dodrill does not have portions of a server, Tsirigotis claims five portions of a server (see Tsirigotis, column 3, lines 32-52)

Therefore it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Dodrill by adapting portions of a server of Tsirigotis.

It is clear that one would be motivated to combine prior art elements according to know methods to yield predictable results.

Examiner Note

If the examiner had not read the application number she never would have realized that these claims went with this specification. The claims are extremely generic and broad there is no

Art Unit: 3694

mention about regulatory changes or anything that the invention talks about in the first 13 pages of the specification that the invention is trying to solve/ directed at.

Currently the independent claim has 1) “unique aspect” and 2) “user interface element” for a particular application. If you talked to any software developer every project they worked on has at least these two elements and probably 100% of their software projects.

Contact Information

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kirsten S. Apple whose telephone number is 571.272.5588. The examiner can normally be reached on Monday - Friday 9:00-5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner’s supervisor, James Trammell can be reached on 571-272-6712. 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).

ksa

/Kirsten S Apple/
Primary Examiner, Art Unit 3694

Notice of References Cited	Application/Control No. 12/098,154	Applicant(s)/Patent Under Reexamination FRANKLAND ET AL.	
	Examiner KIRSTEN S. APPLE	Art Unit 3694	Page 1 of 2

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-6,098,096 A	08-2000	Tsirigotis et al.	709/213
*	B	US-6,154,843 A	11-2000	Hart et al.	726/21
*	C	US-6,314,415 B1	11-2001	Mukherjee, Krishna C.	706/47
*	D	US-6,493,717 B1	12-2002	Junkin, Joseph R.	1/1
*	E	US-6,678,682 B1	01-2004	Jenkins et al.	1/1
*	F	US-6,754,672 B1	06-2004	McLauchlin, Andrew William	1/1
*	G	US-6,766,298 B1	07-2004	Dodrill et al.	704/270.1
*	H	US-6,898,645 B2	05-2005	Abujbara, Nabil M.	710/17
*	I	US-6,920,607 B1	07-2005	Ali et al.	715/206
*	J	US-6,934,356 B1	08-2005	Satheesan et al.	378/62
*	K	US-6,973,619 B1	12-2005	Hirose et al.	715/234
*	L	US-6,990,654 B2	01-2006	Carroll, Jr., Thomas J.	717/109
*	M	US-7,181,320 B2	02-2007	Whiffen et al.	700/286

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.

Notice of References Cited	Application/Control No. 12/098,154	Applicant(s)/Patent Under Reexamination FRANKLAND ET AL.	
	Examiner KIRSTEN S. APPLE	Art Unit 3694	Page 2 of 2

U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-7,222,292 B2	05-2007	Ali et al.	715/236
*	B	US-7,269,795 B2	09-2007	Whittenberger, Kevin	715/764
*	C	US-7,318,066 B2	01-2008	Kaufman et al.	1/1
*	D	US-7,320,007 B1	01-2008	Chang, Peter Hon-You	1/1
*	E	US-7,366,972 B2	04-2008	Baumert et al.	715/200
*	F	US-7,409,710 B1	08-2008	Uchil et al.	726/19
*	G	US-7,505,995 B2	03-2009	Grealish et al.	1/1
	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					
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	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.

Search Notes 	Application/Control No. 12098154	Applicant(s)/Patent Under Reexamination FRANKLAND ET AL.
	Examiner KIRSTEN S APPLE	Art Unit 3694

SEARCHED			
Class	Subclass	Date	Examiner

SEARCH NOTES		
Search Notes	Date	Examiner
see attached EAST notes	4/13/2010	/ka/

INTERFERENCE SEARCH			
Class	Subclass	Date	Examiner

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EAST Search History**EAST Search History (Prior Art)**

Ref #	Hits	Search Query	DBs	Default Operator	Plurals	Time Stamp
L1	472532	server	US-PGPUB; USPAT	OR	ON	2010/04/23 11:30
L2	5100916	(section or portion)	US-PGPUB; USPAT	OR	ON	2010/04/23 11:31
L3	1	l1 near fourth near l2	US-PGPUB; USPAT	OR	ON	2010/04/23 11:31
L4	327	l1 near10 fourth near10 l2	US-PGPUB; USPAT	OR	ON	2010/04/23 11:31
L5	1738	l1 same fourth same l2	US-PGPUB; USPAT	OR	ON	2010/04/23 11:32
S2	11533	"705"/\$.ccls.	USPAT	OR	OFF	2007/03/27 14:03
S3	44552	"705"/\$.ccls.	US-PGPUB; USPAT; USOCR	OR	OFF	2006/12/12 15:31
S4	26231	(stock or trade or trading or finance or financial).ab.	US-PGPUB; USPAT	OR	ON	2009/12/15 15:57
S5	166042	(credit adj card) or (debit adj card) or payment or transaction.ab.	US-PGPUB; USPAT	OR	ON	2009/12/15 15:58
S6	792234	(check) or (wire adj transfer) or (bank adj transfer) or payment or transaction.ab.	US-PGPUB; USPAT	OR	ON	2009/12/15 15:58

4/ 23/ 2010 11:48:13 AM**H:\ 1-Patents\ 1-Q4 2005 - Q3 2006\ 12-098-154\ 12-098-154 v1-NF.wsp**



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Table with 4 columns: APPLICATION NUMBER, FILING OR 371(C) DATE, FIRST NAMED APPLICANT, ATTY. DOCKET NO./TITLE. Row 1: 12/098,154, 04/04/2008, Richad Frankland, LUFK-001/01US 309694-2002

CONFIRMATION NO. 1656

PUBLICATION NOTICE



58249
COOLEY GODWARD KRONISH LLP
ATTN: Patent Group
Suite 1100
777 - 6th Street, NW
WASHINGTON, DC 20001

Title: Integrated Change Management Unit

Publication No. US-2008-0256133-A1
Publication Date: 10/16/2008

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.

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

Attorney Docket No. LUFK-001/01US 309694-2002

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Richard FRANKLAND et al. Confirmation No.: 1656
Serial No.: 12/098,154 Group Art Unit: 2161
Filed: April 4, 2008 Examiner: Unassigned
For: **INTEGRATED CHANGE MANAGEMENT UNIT**

U.S. Patent and Trademark Office
Randolph Building
401 Dulany Street
Alexandria, VA 22314

PRELIMINARY AMENDMENT UNDER 37 C.F.R. § 1.115

Prior to examination of the above-identified application, please amend the above-captioned application as follows:

Amendments to the Specification begins on page 2 of this paper.

Amendments to the Claims begin on page 3 of this paper.

Remarks appear on page 7 of this paper.

AMENDMENT

In the Specification:

Please amend the following paragraph of the application that follows the title. Amendments to the specification are shown with additions underlined and deletions in ~~striketrough~~ text. No new matter is added by this amendment.

Cross-Reference To Related Applications

This application is a continuation of U.S. Patent Application No. 09/797,488, filed on March 1, 2001, entitled "Integrated Change Management Unit," which is incorporated herein by reference in its entirety-, which is a continuation of U.S. Patent Application No. 09/215,898, filed on December 18, 1998, entitled "Integrated Change Management Unit," now U.S. Patent No. 6,341,287.

In the Claims:

This listing of claims will replace all prior versions, and listings, of claims in the application.

Currently amended claims are shown with additions underlined and deletions in ~~striketrough~~ text. Claims 2-19 have been added. No new matter is added by this amendment.

1. (Canceled)
2. (New) A method, comprising:
 - receiving first information about unique aspects of a particular application;
 - receiving second information about user interface elements and one or more functions common to various applications, the various applications including the particular application;
 - upon establishment of a communication connection with a user system that includes the particular application, dynamically generating a functionality and a user interface for the particular application, the functionality and the user interface of the particular application being based on the first information and the second information;
 - providing the functionality and the user interface of the particular application to the user system; and
 - modifying at least one of the first information and the second information in response to changes determined to have occurred to information associated with the particular application.
3. (New) The method of claim 2, wherein the first information includes information associated with one or more predetermined business applications.
4. (New) The method of claim 2, wherein the first information includes at least one of business knowledge, logical designs, physical designs, physical structures, and relationships associated with one or more predetermined business applications.
5. (New) The method of claim 2, wherein the second information includes metadata representative of structures and functions associated with a plurality of applications.

6. (New) The method of claim 2, wherein the second information includes metadata representative of user interface elements including at least one of tools, worklists, data entry points, reports, documents, processes, formulas, and images.

7. (New) The method of claim 2, further comprising providing a set instructions to the user system, the set of instructions being associated with at least one of the functionality or the user interface of the particular application, the set of instructions configured to be executed on the user system, the set of instructions configured to communicate information associated with at least one of the first information or the second information.

8. (New) A machine-readable medium storing code representing instructions to cause a machine to perform a method, the code comprising code to:

receive first information about unique aspects of a particular application;

receive second information about user interface elements and one or more functions common to various applications, the various applications including the particular application;

upon establishment of a communication connection with a user system that includes the particular application, dynamically generate a functionality and a user interface for the particular application, the functionality and the user interface of the particular application being based on the first information and the second information;

provide the functionality and the user interface of the particular application to the user system; and

modify at least one of the first information and the second information in response to changes determined to have occurred to information associated with the particular application.

9. (New) The machine-readable medium of claim 8, wherein the first information includes information associated with one or more predetermined business applications.

10. (New) The machine-readable medium of claim 8, wherein the first information includes at least one of business knowledge, logical designs, physical designs, physical structures, and relationships associated with one or more predetermined business applications.

11. (New) The machine-readable medium of claim 8, wherein the second information includes metadata representative of structures and functions associated with a plurality of applications.

12. (New) The machine-readable medium of claim 8, wherein the second information includes metadata representative of user interface elements including at least one of tools, worklists, data entry points, reports, documents, processes, formulas, and images.

13. (New) The machine-readable medium of claim 8, further comprising code to provide a set of instructions to the user system, the set of instructions being associated with at least one of the functionality or the user interface of the particular application, the set of instructions configured to be executed on the user system, the set of instructions configured to communicate information associated with at least one of the first information or the second information.

14. (New) A system, comprising:

a server accessible by a browser executed on a client device, the server including a first portion, a second portion, a third portion, and a fourth portion,

the first portion of the server having information about unique aspects of a particular application,

the second portion of the server having information about user interface elements and one or more functions common to various applications, the various applications including the particular application,

the third portion of the server being configured to dynamically generate a functionality and a user interface for the particular application, the functionality and the user interface of the particular application being based on the information in the first portion of the server and the information in the second portion of the server, the third portion of the server being configured to send the functionality and the user interface for the particular application to the browser upon establishment of the connection between the server and the client,

the fourth portion of the server being configured to automatically detect changes that affect the information in the first portion of the server and the information in the second portion of the server.

15. (New) The system of claim 14, wherein the information of the first portion of the server includes information associated with one or more predetermined business applications.

16. (New) The system of claim 14, wherein the information of the first portion of the server includes at least one of business knowledge, logical designs, physical designs, physical structures, and relationships associated with one or more predetermined business applications.

17. (New) The system of claim 14, wherein the information of the second portion of the server includes metadata representative of structures and functions associated with a plurality of applications.

18. (New) The system of claim 14, wherein the information of the second portion of the server includes metadata representative of user interface elements including at least one of tools, worklists, data entry points, reports, documents, processes, formulas, and images.

19. (New) The system of claim 14, wherein the third portion of the server is configured to provide a set of instructions to the user system, the set of instructions being associated with at least one of the functionality or the user interface of the particular application, the set of instructions configured to be executed on the user system, the set of instructions configured to communicate information associated with at least one of the first information or the second information.

REMARKS

The foregoing amendments reflect a correction in the priority claim of U.S. Patent Application No. 09/797,488, now U.S. Patent No. 7,356,482 B2, from which the current application claims priority. A Request for Certificate of Correction of Patent and a Certificate of Correction of the above-referenced issued patent are being concurrently filed (see attached Certificate of Correction). A Request for Corrected Filing Receipt is also being concurrently filed to properly list the priority claim in its entirety. Entry and consideration of the foregoing amendments is respectfully requested.

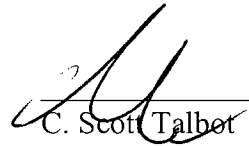
The Director is hereby authorized to charge any appropriate fees under 37 CFR 1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-1283.

Dated: 27 July 2008

COOLEY GODWARD KRONISH LLP
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777 6TH Street, N.W., Suite 1100
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Tel: (202) 842-7800
Fax: (202) 842-7899

Respectfully submitted,
COOLEY GODWARD KRONISH LLP

By: _____


C. Scott Talbot
Reg. No. 34,262

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(Also Form PTO-1050)

**UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION**

PATENT NO. : 7,356,482 B2

PAGE 1 OF 1

APPLICATION NO. : 09/797,488

ISSUE DATE : April 8, 2008

INVENTOR(S) : Richard Frankland
Christopher M. Mitchell
Joseph D. Ferguson
Anthony T. Sziklai
Ashish K. Verma
Judith E. Popowski
Douglas H. Sturgeon

It is certified that an error appears in the above-identified application which became the above-identified patent and that said application is hereby corrected as shown below:

As the first sentence of the specification following the title, insert the following:

The present application is a continuation of U.S. Patent Application No. 09/215,898, entitled "Integrated Change Management Unit," filed on December 18, 1998, now U.S. Patent No. 6,341,287.

MAILING ADDRESS OF SENDER:
Cooley Godward LLP
ATTN: Patent Group
777 6th Street, N.W., Suite 1100
Washington, DC 20001

PATENT NO. 7,356,482 B2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Richard FRANKLAND et al. Confirmation No.: 1656
Serial No.: 12/098,154 Group Art Unit: 2161
Filed: April 4, 2008 Examiner: Unassigned
For: **INTEGRATED CHANGE MANAGEMENT UNIT**

U.S. Patent and Trademark Office
Customer Service Window, **Mail Stop Missing Parts**
Randolph Building
401 Dulany Street
Alexandria, VA 22314

REQUEST FOR CORRECTED FILING RECEIPT

The Applicants respectfully request that a corrected filing receipt be issued for the above-identified application. A copy of the Filing Receipt mailed July 7, 2008 with the requested changes marked is attached. The corrections are as follows:

Replace Applicants:

“Richad Frankland, San Jose, CA;” with

-- **Richard Frankland, San Jose, CA; --**

Additionally, please update the “Domestic Priority” to reflect a correction in the priority claim of U.S. Patent Application No. 09/797,488, now U.S. Patent No. 7,356,482 B2, from which the current application claims priority. A Preliminary Amendment is being concurrently filed to properly list the priority claim in its entirety.

Replace Domestic Priority:

“This application is a CON of 09/797,488 03/01/2001 PAT 7,356,482” with

-- **This application is a CON of 09/797,488 03/01/2001 PAT 7,356,482
which is a CON of 09/215,898 12/18/1998 PAT 6,341,287--**

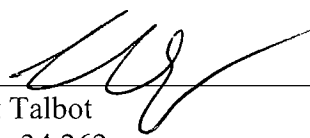
The Applicants respectfully assert that these corrections are required due to Patent Office errors and that no fee is required. Nevertheless, the Director is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-1283.

Dated: 24 July 2008

Respectfully submitted,
COOLEY GODWARD KRONISH LLP

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ATTN: Patent Group
777 6th Street NW, Suite 1100
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Tel: (703) 456-8000
Fax: (202) 842-7899

By: _____


C. Scott Talbot
Reg. No. 34,262



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 22315-1450
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APPLICATION NUMBER	FILING or 371(c) DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	TOT CLAIMS	IND CLAIMS
12/098,154	04/04/2008	2161	435	LUFK-001/01US 309694-2002	1	1

CONFIRMATION NO. 1656

UPDATED FILING RECEIPT



OC00000030761373

58249
COOLEY GODWARD KRONISH LLP
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777 - 6th Street, NW
WASHINGTON, DC 20001

Date Mailed: 07/07/2008

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)

~~Richard Frankland, San Jose, CA;~~ **RICHARD FRANKLAND, SAN JOSE, CA;**
Christopher M. Mitchell, El Granada, CA;
Joseph D. Ferguson, Santa Clara, CA;
Anthony T. Sziklai, Half Moon Bay, CA;
Ashish K. Verma, Foster City, CA;
Judith E. Popowski, Half Moon Bay, CA;
Douglas H. Sturgeon, San Mateo, CA;

Power of Attorney:

John Schipper--26994

Domestic Priority data as claimed by applicant

This application is a CON of 09/797,488 03/01/2001 PAT 7,356,482

Foreign Applications **WHICH IS A CON OF 09/215,898 12/10/1998 PAT 6,341,287**

If Required, Foreign Filing License Granted: 04/22/2008

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 12/098,154**

Projected Publication Date: 10/16/2008

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Electronic Acknowledgement Receipt

EFS ID:	3673018
Application Number:	12098154
International Application Number:	
Confirmation Number:	1656
Title of Invention:	Integrated Change Management Unit
First Named Inventor/Applicant Name:	Richad Frankland
Customer Number:	58249
Filer:	C. Scott Talbot/Anna O'Connor
Filer Authorized By:	C. Scott Talbot
Attorney Docket Number:	LUFK-001/01US 309694-2002
Receipt Date:	24-JUL-2008
Filing Date:	04-APR-2008
Time Stamp:	17:30:35
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		LUFK-001_01US-Preliminary Amendment.pdf	368118 1cc3fe8296dab5a193e8b4bd912b477c8a38d78b	yes	11

Multipart Description/PDF files in .zip description			
	Document Description	Start	End
	Preliminary Amendment	1	8
	Request for Corrected Filing Receipt	9	11

Warnings:

Information:

Total Files Size (in bytes):	368118
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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.

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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

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PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875	Application or Docket Number 12/098,154	Filing Date 04/04/2008	<input type="checkbox"/> To be Mailed
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APPLICATION AS FILED – PART I			OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	SMALL ENTITY <input checked="" type="checkbox"/>	OR			
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	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			N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A			N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		OR	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =			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 \$250 (\$125 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			TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	(Column 3)		SMALL ENTITY	OR			
AMENDMENT	07/24/2008	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 18	Minus ** 20	= 0	X \$25 =	0		X \$ =	
	Independent (37 CFR 1.16(h))	* 3	Minus *** 3	= 0	X \$105 =	0		X \$ =	
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))								
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						OR		
					TOTAL ADD'L FEE	0		TOTAL ADD'L FEE	

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

Legal Instrument Examiner:
 /VANESSA BARBER/

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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: 12/098,154, 04/04/2008, 2161, 435, LUFK-001/01US 309694-2002, 1, 1

CONFIRMATION NO. 1656

UPDATED FILING RECEIPT



58249
COOLEY GODWARD KRONISH LLP
ATTN: Patent Group
Suite 1100
777 - 6th Street, NW
WASHINGTON, DC 20001

Date Mailed: 07/07/2008

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)

- Richad Frankland, San Jose, CA;
Chistopher M. Mitchell, El Granada, CA;
Joseph D. Ferguson, Santa Clara, CA;
Anthony T. Sziklai, Half Moon Bay, CA;
Ashish K. Verma, Foster City, CA;
Judith E. Popowski, Half Moon Bay, CA;
Douglas H. Sturgeon, San Mateo, CA;

Power of Attorney:

John Schipper--26994

Domestic Priority data as claimed by applicant

This application is a CON of 09/797,488 03/01/2001 PAT 7,356,482

Foreign Applications

If Required, Foreign Filing License Granted: 04/22/2008

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US 12/098,154

Projected Publication Date: 10/16/2008

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Integrated Change Management Unit

Preliminary Class

707

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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.

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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).

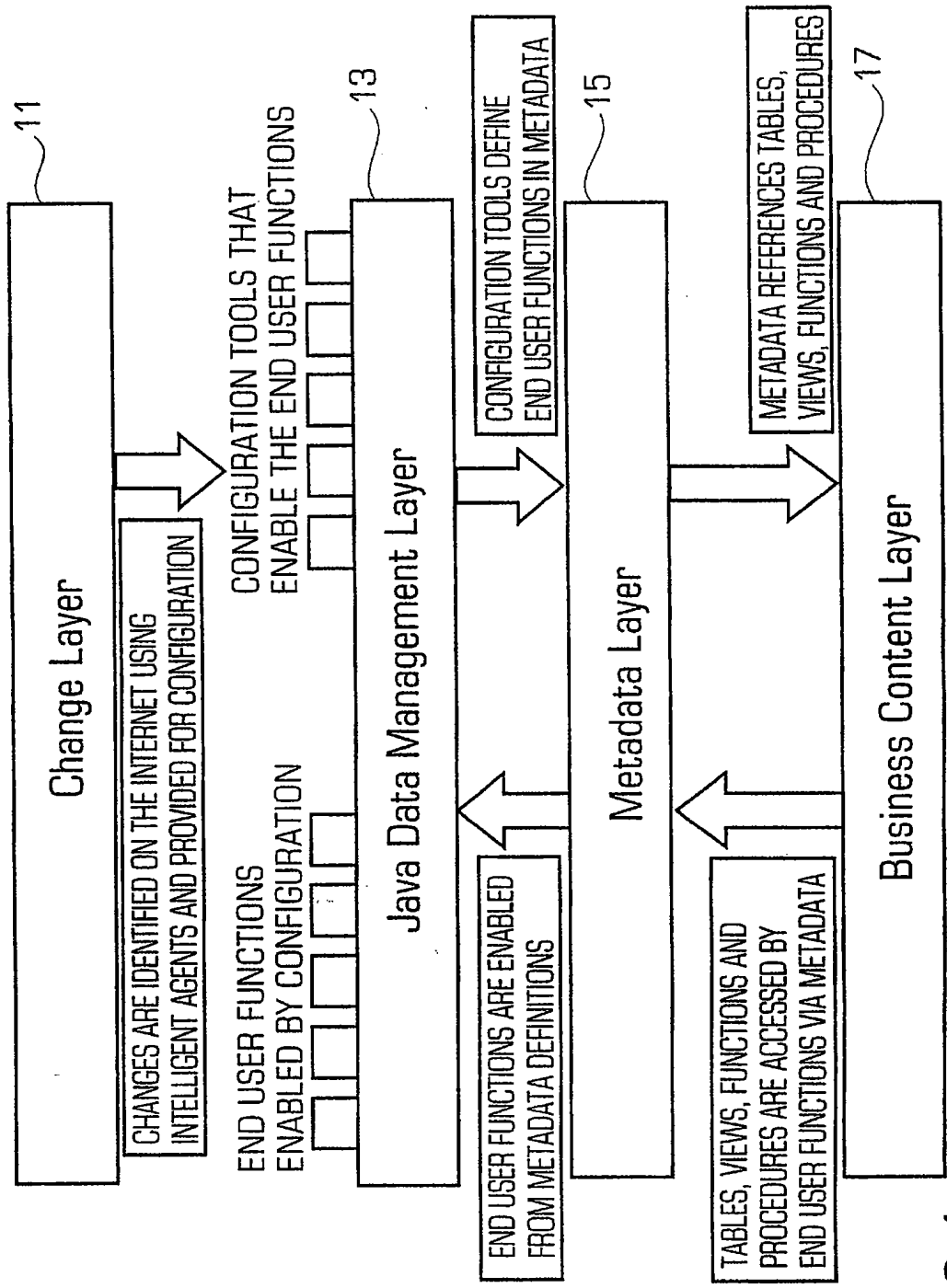


FIG. 1

2/13

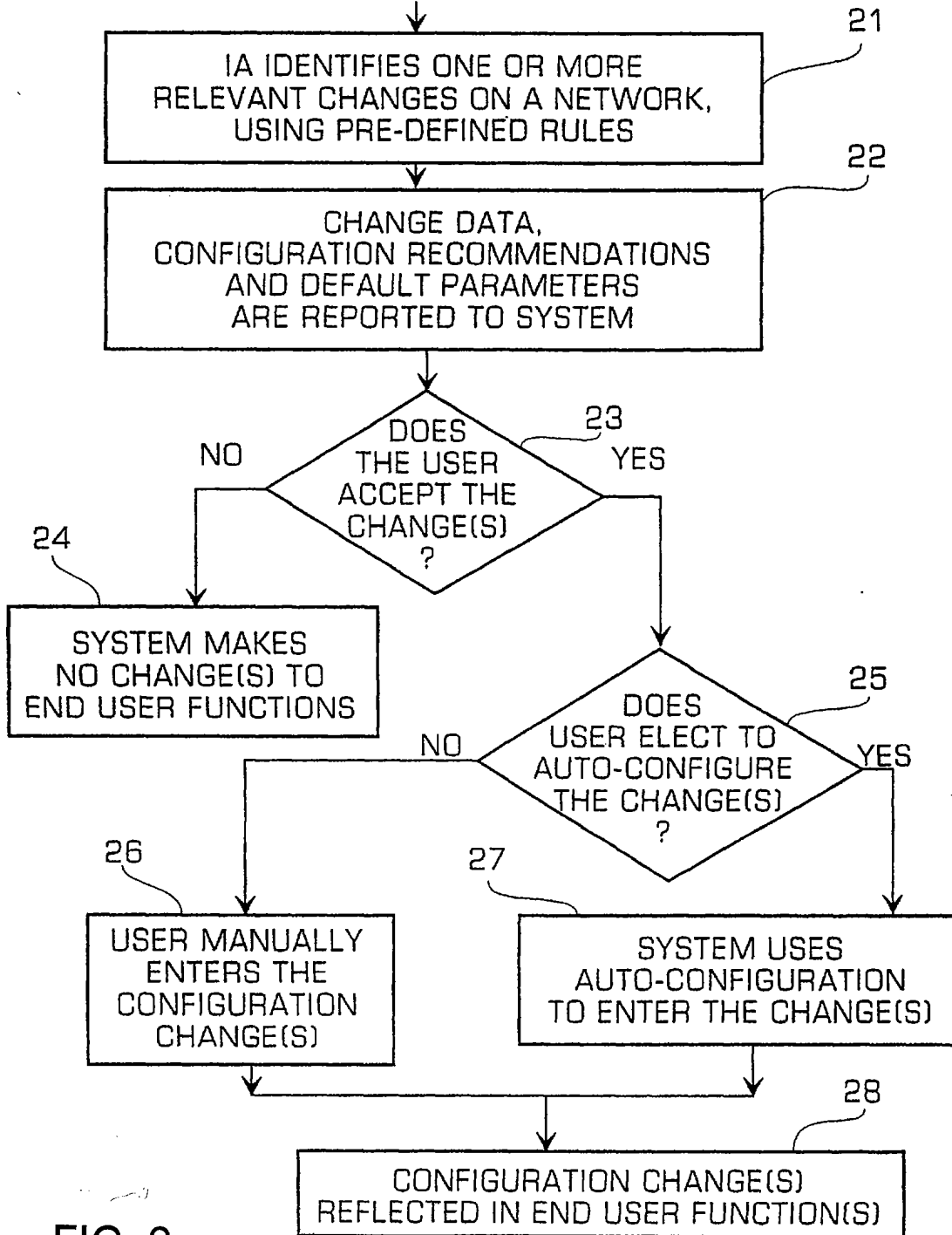


FIG. 2

3/13

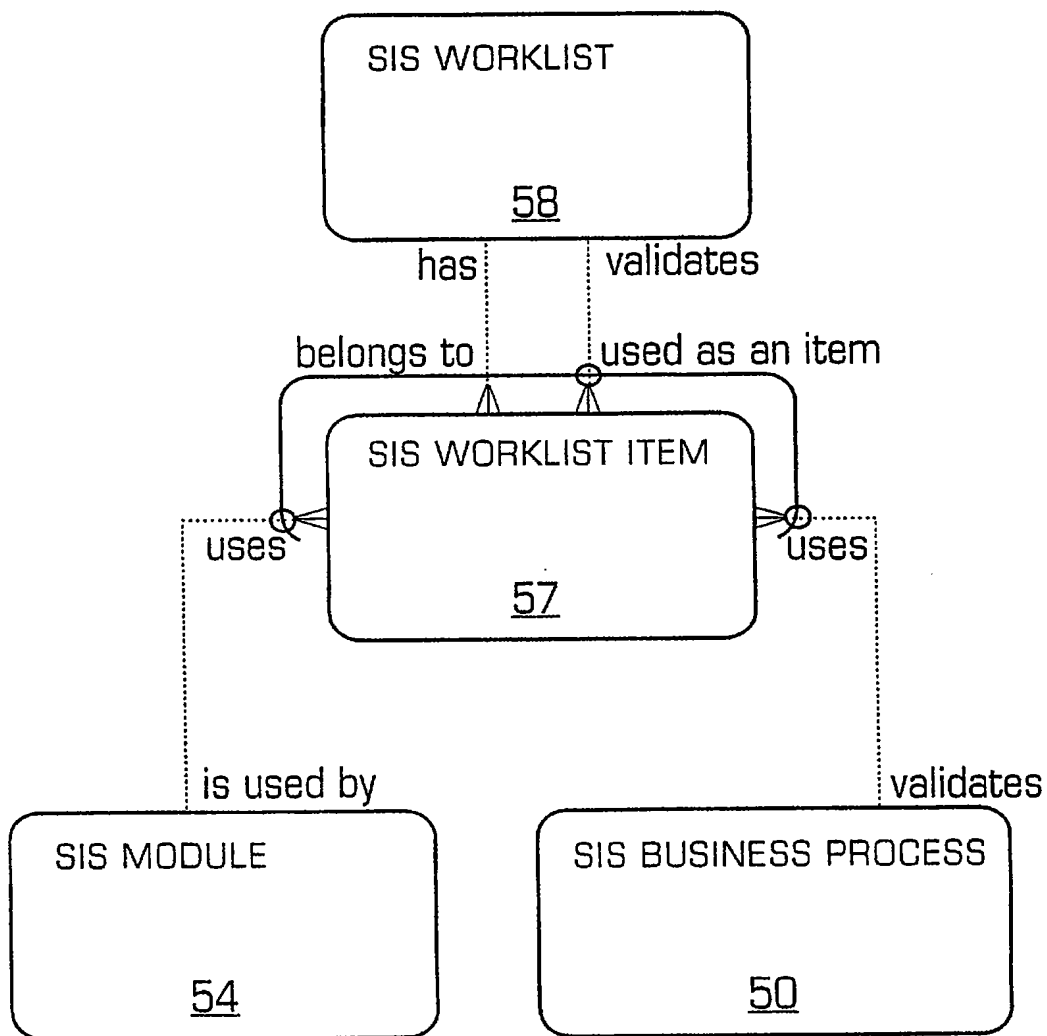


FIG. 3

5/13

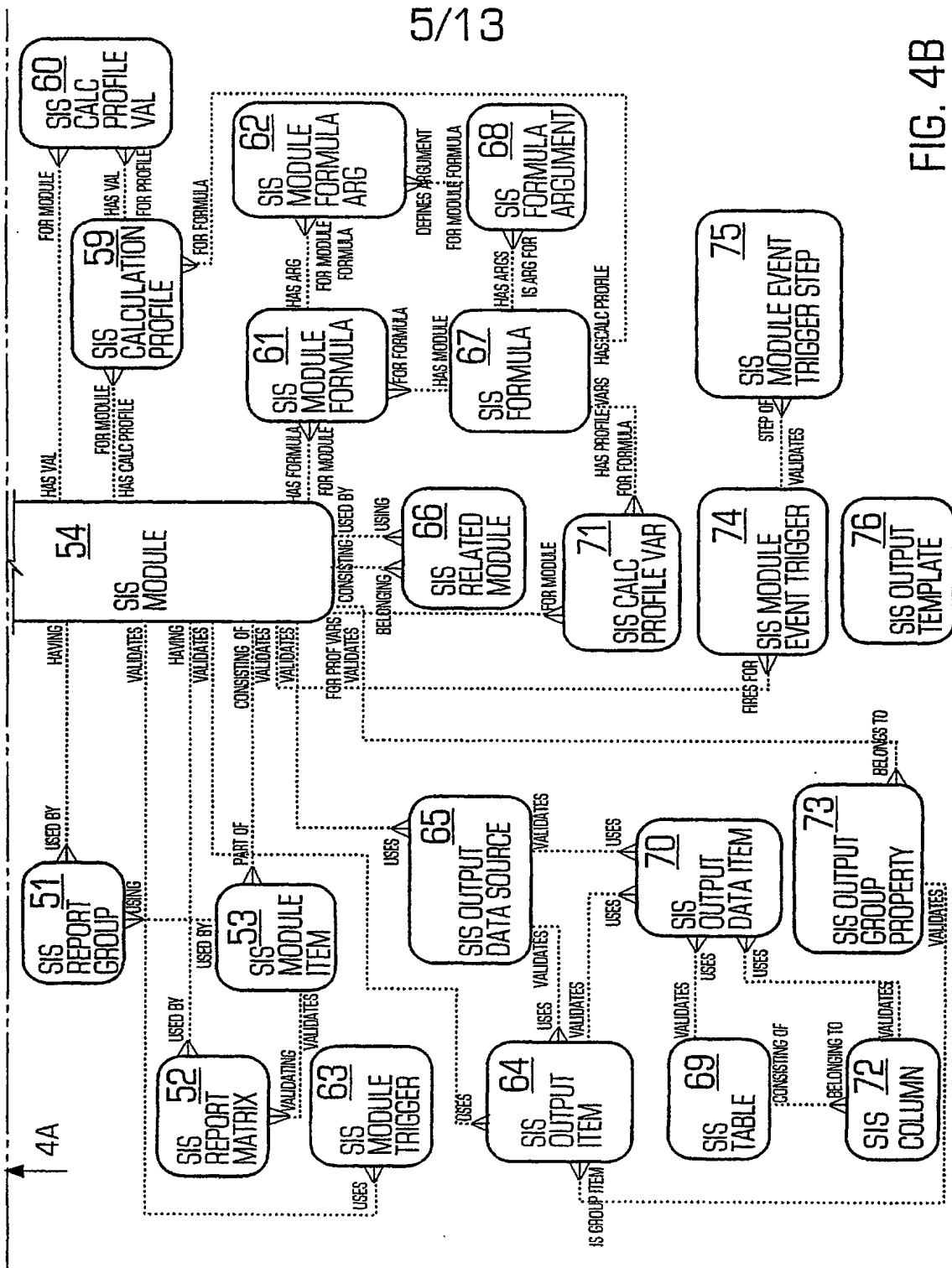


FIG. 4B

6/13

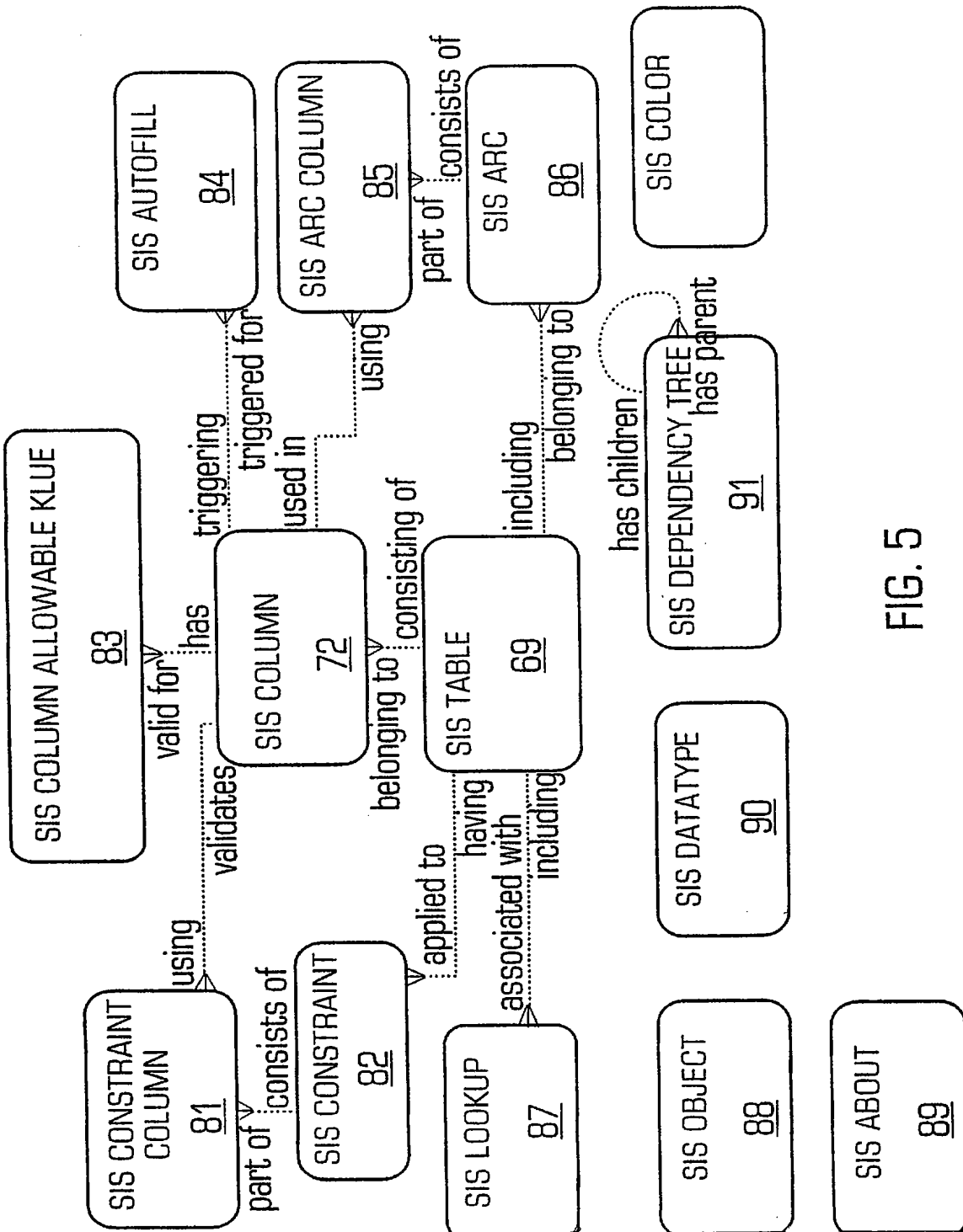


FIG. 5

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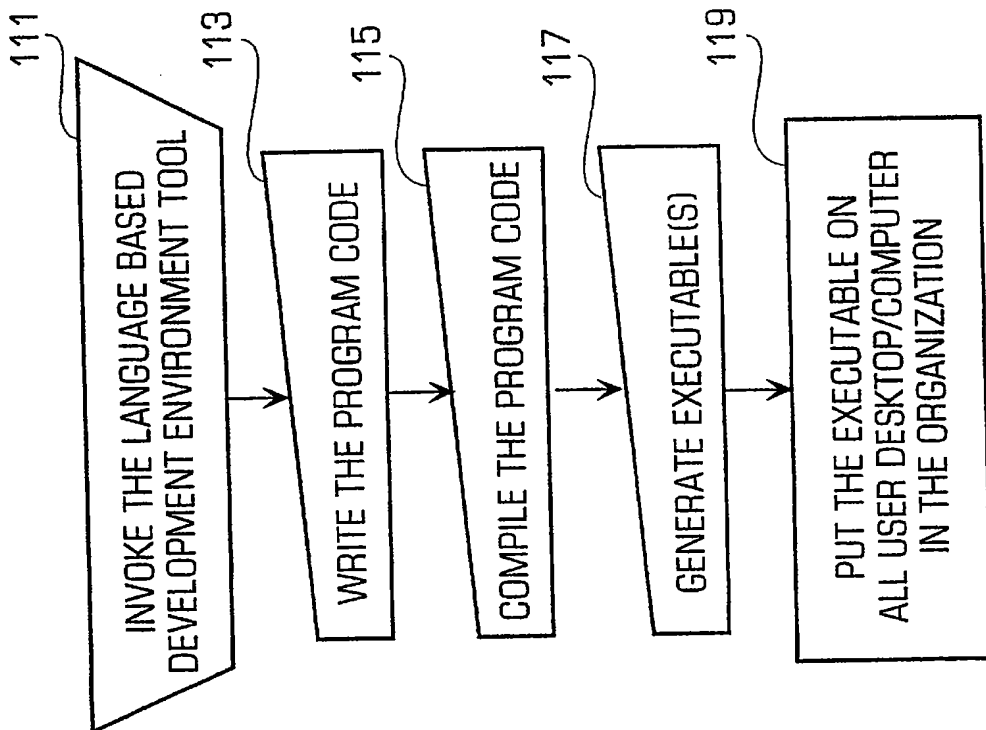


FIGURE 7

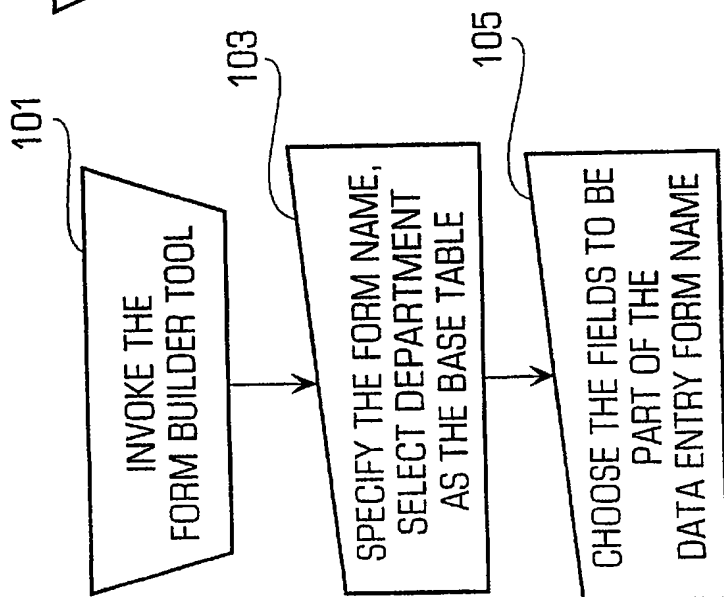


FIGURE 6

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Change Agent Management Unit Main Menu

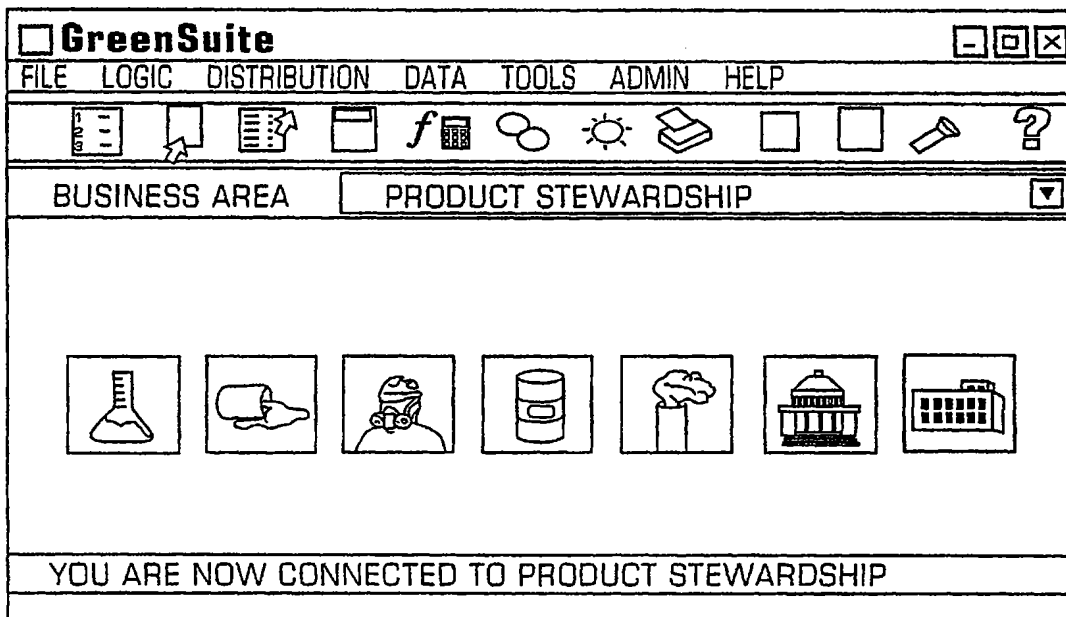


FIG. 8

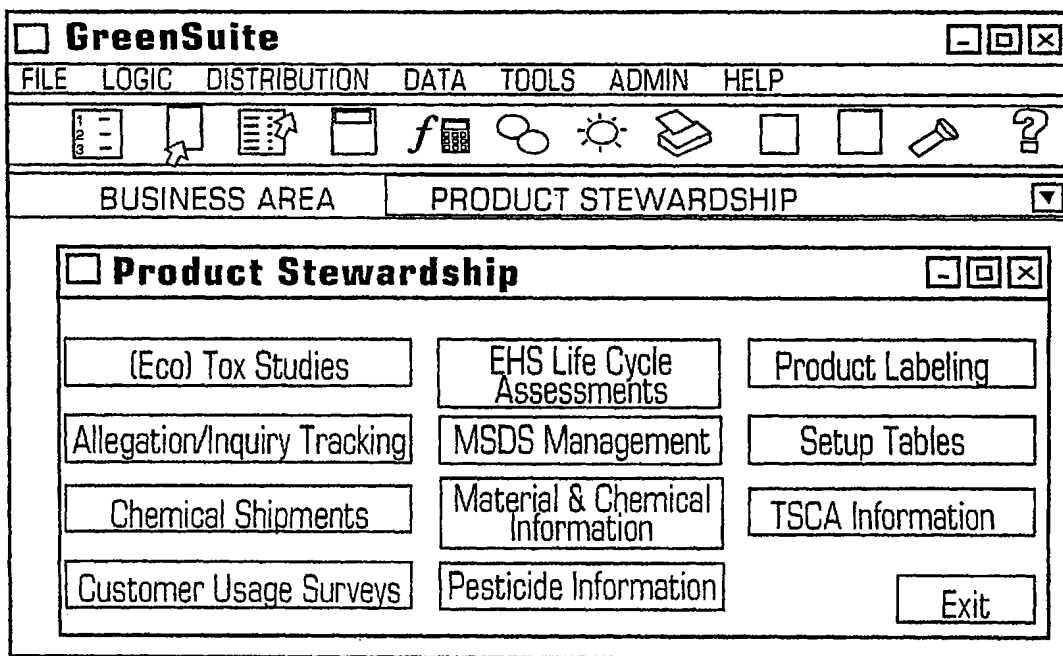


FIG. 9

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Worklist - □ ×

Business Area: ▾
 Group: ▾
 Search: Find
 Worklist: ▾

Worklist Menu

	DESCRIPTION	MODULE TYPE	MODULE NAME
1	ENTER WASTE STREAM	FORM	HAZARDOUS WASTE PROFILE
2	ENTER WASTE STREAM SOURCE CODES	FORM	WASTE PROFILE RCRA SOURCE CODE
3	ENTER WASTE STREAM EPA NUMBERS	FORM	WASTE PROFILE EPA NUMBERS
4	ENTER WASTE STREAM STATE NUMBER	FORM	WASTE PROFILE STATE NUMBERS

Open Remarks Exit

FIG. 10

Set Up Worklist - □ ×

Business Area: ▾
 Group: ▾
 Worklist Name:

[<] [

	SEQUENCE	MODULE TYPE	MODULE NAME	WORKLIST
1		1 FORM	HAZARDOUS WASTE PROFILE	
2		2 FORM	WASTE PROFILE RCRA SOURCE CODES	
3		3 FORM	WASTE PROFILE EPA NUMBERS	
4		4 FORM	WASTE PROFILE STATE NUMBERS	
5		5 FORM ▾		

Exit

FIG. 11

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Data Entry Form - Air Emission Amount

Monitor	null	▶ +▲
Material Or Chemical	Volatile Organic Compounds	▶ +
Estimation Basis	Estimate Based on AP-42 Emission Factors	▶ +
Emission Calculation Date	select NATGAS_UNCONTROLLED_LBSYR(5.50,112.82) rslt from dual	
Estimation Method		
Process Rate	112.82	
Rate Unit of Measure	MMcft/yr	▶ +
Emission Factor	E.F.	

Warning Applet Window

FIG. 12

Edit Form: Table Selection

Form Name	Air Emission Amount	
Table Name	AIR EMISSION AMOUNT ▼	<input type="text"/> <input type="button" value="Find"/>

Available Fields <div style="border: 1px solid black; padding: 5px; min-height: 100px;"> AIR PARAMETER AIR PARAMETER2 USERCOL2 USERCOL3 USERCOL4 USERCOL5 </div>	<input type="button" value=">"/> <input type="button" value="<"/> <input type="button" value=">>"/> <input type="button" value="<<"/>	Selected Fields <div style="border: 1px solid black; padding: 5px; min-height: 100px;"> ID ▲ FACILITY SOURCE LOCATION SOURCE CATEGORY SOURCE PROCESS PARAMETER SOURCE EQUIPMENT UNIT SOURCE PERMITTED UNIT ▼ </div>
---	--	--

Warning Applet Window

FIG. 13

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Report printing [-] [□] [X]

AIR EMISSION FEES

RUN DATE	FEE YEAR	POLLUTANT	CAS NUMBER	EMISSIONS
1998-12-03 10:42:54.0	1998	FORMALDEHYDE	50000	1.1680
1998-12-03 10:42:54.0	1998	BENZENE	7143203210	.5935
1998-12-03 10:42:54.0	1998	PARTICULATE MATTER-PM10	789779	.5625
*				
1998-12-04 15:39:36.0	1998	FORMALDEHYDE	50000	1.1680
1998-12-04 15:39:36.0	1998	PARTICULATE MATTER-PM10	789779	.7085
1998-12-04 15:39:36.0	1998	VOLATILE ORGANIC COMPOU	5659789	.4016
1998-12-04 15:39:36.0	1998	BENZENE	7143203210	.5935
*				
1998-12-04 15:39:55.0	1998	FORMALDEHYDE	50000	1.1680
1998-12-04 15:39:55.0	1998	VOLATILE ORGANIC COMPOU	5659789	.4016

FIG. 14

Report Builder--Table/Views [-] [□] [X]

Report

Table/View

Available Fields

RUN

Selected Fields

LOCATION_NAME
 POLLUTANT_CAS_NUMBER
 POLLUTANT_FEE
 POLLUTANT_NAME
 REPORTING_YEAR
 RUN_DATE
 TOTAL_EMISSIONS_TONS

FIG. 15

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Run Process Results					
Process GENERAL MATERIAL SPILLS ABOVE REPORTABLE QUANTITY					
Results					
	INCIDENT DATE	LOCATION NAME	CAS NUMBER	MATERIAL_NAME	QUANTITY
1	03/23/1998	ABC Company	7782414	FLUORINE	RELEASED
2	09/08/1998	ABC Company	7782414	FLUORINE	
3	03/23/1998	ABC Company	359068	FLUROACETYL C	
4	09/08/1998	ABC Company	359068	FLUROACETYL C	
5	03/23/1998	ABC Company	50000	FORMALDEHYDE	
6	09/08/1998	ABC Company	50000	FORMALDEHYDE	
7	03/23/1998	ABC Company	2540821	FORMOTHION	
8	09/08/1998	ABC Company	2540821	FORMOTHION	
9	03/23/1998	ABC Company	3878191	FUBERIDAZOLE	
10	09/08/1998	ABC Company	3878191	FUBERIDAZOLE	
11	03/23/1998	ABC Company	22224926	FENAMIPHOS	

PRINT | EXIT

FIG. 16

Advanced Query Builder					
Select Statement	GS_MATSPILL_EXCEEDS_RQ		GS%	Find	Refresh
Data Sources	Columns	Clauses	Group By	Set Operations	Description Utilities View Tree
Available Columns		Used Columns		<input checked="" type="radio"/> All <input type="radio"/> Distinct	
MD.MATERIAL_ID	>	MD.INCIDENT_DATE		Alias	Update
RQ.MATERIAL_ID		MD.LOCATION_NAME		RQ_LBS	
RQ.REPORTABLE_QUANTITY	<	MD.CAS_NUMBER		Formula	
RQ.UOM_ID		MD.MATERIAL_NAME		RQ.REPORTABLE_QUANTITY	
UOMC.FROM_UNITS		MD.QUANTITY_LBS			
UOMC.FROM_UOM_ID		RQ.REPORTABLE_QUANTITY			
UOMC.MULTIPLY_BY		RQ.REGLIST_NAME			
UOMC.TO_UNITS					
UOMC.TO_UOM_ID					
				Add	Delete Update
		Move Up	Move Down		
		OK	Cancel	Exit	
RQ.REPORTABLE_QUANTITY-UOMC.MULTIPLY (BY 1)					

FIG. 17

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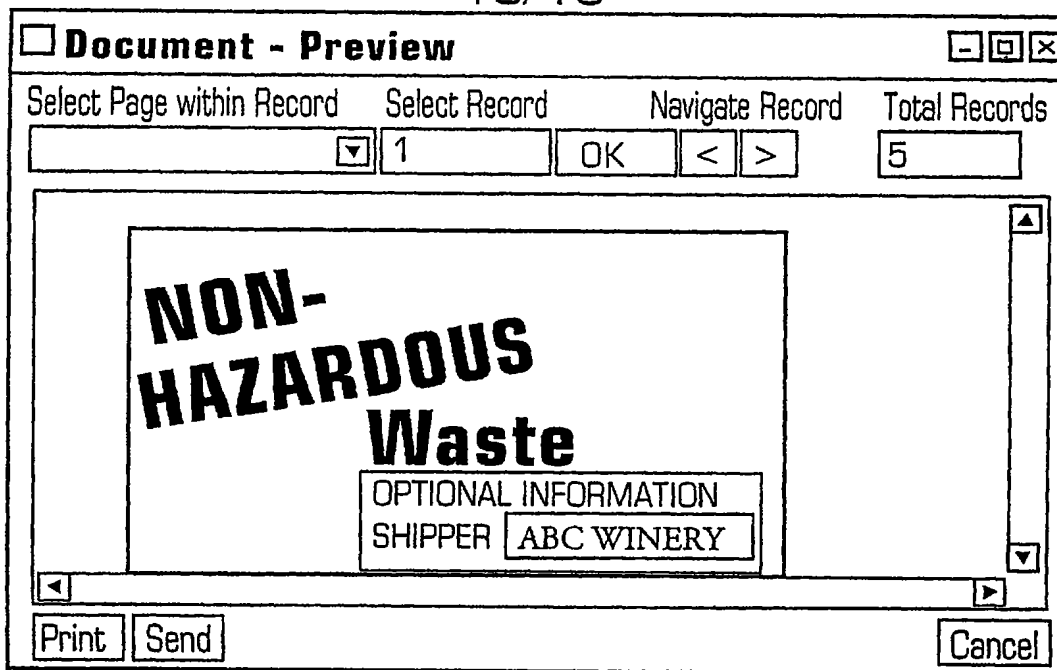


FIG. 18

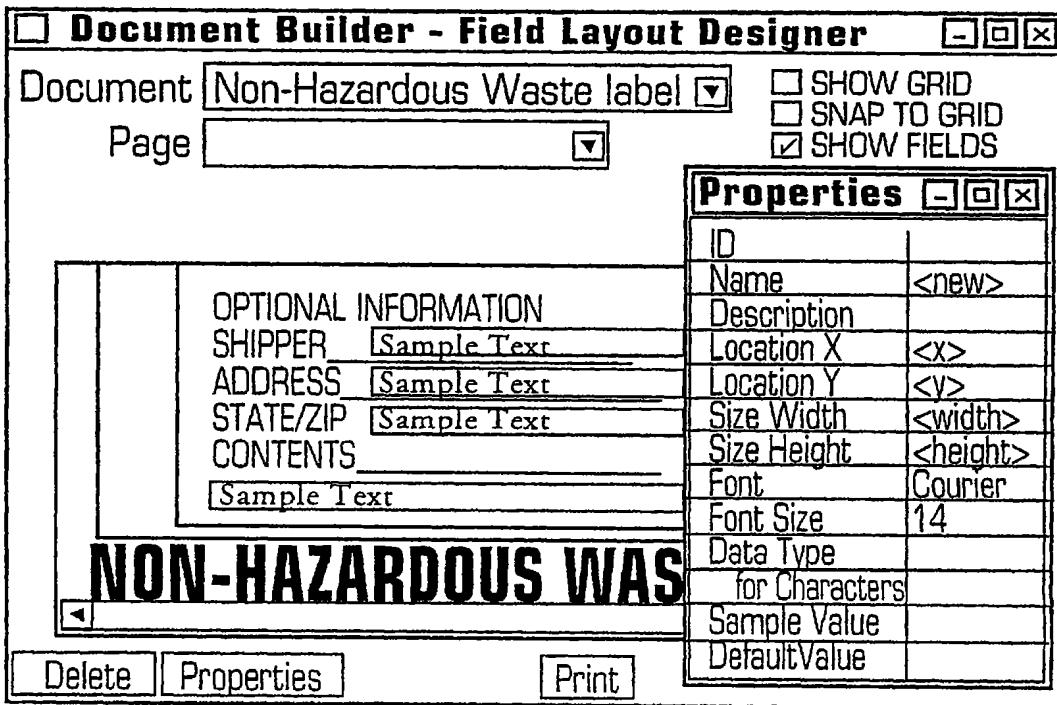


FIG. 19

Electronic Acknowledgement Receipt

EFS ID:	3514770
Application Number:	12098154
International Application Number:	
Confirmation Number:	1656
Title of Invention:	Integrated Change Management Unit
First Named Inventor/Applicant Name:	Richad Frankland
Customer Number:	58249
Filer:	C. Scott Talbot/Jennifer Drake
Filer Authorized By:	C. Scott Talbot
Attorney Docket Number:	LUFK-001/01US
Receipt Date:	25-JUN-2008
Filing Date:	04-APR-2008
Time Stamp:	17:11:31
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	Drawings-only black and white line drawings	309694_2002_dwgs.pdf	841323 000a542f8e59f0faae9ed42ce8510b622edb5d1	no	13

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.



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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: 12/098,154, 04/04/2008, 2161, 435, LUFK-001/01US, 1, 1

CONFIRMATION NO. 1656

FILING RECEIPT



58249
COOLEY GODWARD KRONISH LLP
ATTN: Patent Group
Suite 1100
777 - 6th Street, NW
WASHINGTON, DC 20001

Date Mailed: 04/25/2008

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 write to the Office of Initial Patent Examination's Filing Receipt Corrections. 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)

- Richad Frankland, San Jose, CA;
Chistopher M. Mitchell, El Granada, CA;
Joseph D. Ferguson, Santa Clara, CA;
Anthony T. Sziklai, Half Moon Bay, CA;
Ashish K. Verma, Foster City, CA;
Judith E. Popowski, Half Moon Bay, CA;
Douglas H. Sturgeon, San Mateo, CA;

Power of Attorney:

John Schipper--26994

Domestic Priority data as claimed by applicant

This application is a CON of 09/797,488 03/01/2001 PAT 7,356,482

Foreign Applications

If Required, Foreign Filing License Granted: 04/22/2008

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US 12/098,154

Projected Publication Date: To Be Determined - pending completion of Corrected Papers

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Integrated Change Management Unit

Preliminary Class

707

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).

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

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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).



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Table with 4 columns: APPLICATION NUMBER (12/098,154), FILING OR 371(C) DATE (04/04/2008), FIRST NAMED APPLICANT (Richad Frankland), ATTY. DOCKET NO./TITLE (LUFK-001/01US)

CONFIRMATION NO. 1656

FORMALITIES LETTER



58249
COOLEY GODWARD KRONISH LLP
ATTN: Patent Group
Suite 1100
777 - 6th Street, NW
WASHINGTON, DC 20001

Date Mailed: 04/25/2008

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) All.

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.

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/kalhaidari/

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

Attorney Docket No. LUFK-001/01US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Anthony T. Sziklai et al.

Examiner: Unassigned

Serial No.: Unassigned

Art Unit: Unassigned

Filed: Herewith

Confirmation No.: Unassigned

For: **INTEGRATED CHANGE MANAGEMENT UNIT**

U.S. Patent and Trademark Office
Randolph Building
401 Dulany Street
Alexandria, VA 22314

PRELIMINARY AMENDMENT

Prior to calculating the filing fee and examination of the above-identified application, please amend the above-identified application as follows:

Amendments to the specification begin on page 2 of this paper.

Remarks begin on page 3 of this paper.

In the Specification:

Please insert the following paragraph after the title of the invention and before the section entitled "Field of the Invention" on page 1 of the specification:

Cross-Reference To Related Cases

This application is a continuation of U.S. Patent Application No. 09/797,488, filed on March 1, 2001, entitled "Integrated Change Management Unit," which is incorporated herein by reference in its entirety.

Remarks

Entry and consideration of the foregoing amendments is respectfully requested.

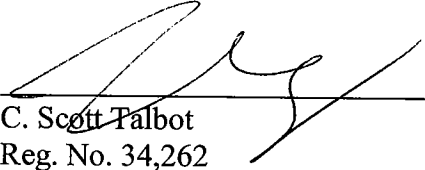
The Director is hereby authorized to charge any appropriate fees under 37 CFR 1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-1283.

Dated: 4 April 2008

Cooley Godward Kronish LLP
ATTN: Patent Group
777 6th Street, N.W., Suite 1100
Washington, D.C. 20001
Tel: (703) 456-8000
Fax: (202) 842-7899
359529 v1/RE

Respectfully submitted,
COOLEY GODWARD KRONISH LLP

By:



C. Scott Talbot
Reg. No. 34,262

#3



DECLARATION FOR PATENT APPLICATION

As an inventor named below, I hereby declare that:

(1) my residence, post office address and citizenship are as stated below next to my name;
(2) I believe I am an original, first and joint inventor of the subject matter that is disclosed and claimed, for which a U.S. patent is sought, on the invention entitled "INTEGRATED CHANGE MANAGEMENT UNIT", the patent specification and claims of which are attached hereto;

(3) I hereby state that I have reviewed and understand the contents of the above-identified patent application, including the claims;

(4) I hereby acknowledge a duty to disclose information that is material to examination of this application in accordance with 37 C.F.R. 1.56;

(5) I hereby appoint the following patent attorney to prosecute this application and to transact all business concerning this application in the United States Patent and Trademark Office:

John F. Schipper, Reg. No. 26994
2211 Park Boulevard
Palo Alto, California 94306
Telephone: 650-321-7449

Facsimile: 650-321-7606; and

(6) I hereby declare that all statements made herein of my own knowledge are true, and that all statements made herein 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 this application or any patent that issues on this application.

Full name of first inventor RICHARD FRANKLAND

Inventor's signature Richard Frankland

Date 12/15/98

Inventor's residence 5022 Miramar Avenue

Citizenship United Kingdom

Post Office address San Jose, California 95129

Full name of second inventor CHRISTOPHER M. MITCHELL

Inventor's signature Chris Mitchell

Date 12-15-98

Inventor's residence P.O. Box 1332

Citizenship United States of America

Post Office address El Granada, California 94018

Full name of third inventor JOSEPH D. FERGUSON

Inventor's signature Joseph D. Ferguson

Date 12-17-98

Inventor's residence 724 Bucher Avenue

Citizenship United States of America

Post Office address Santa Clara, California 95051

Additional inventors are named on separate Declaration sheets 1 and 3 attached hereto.

DECLARATION FOR PATENT APPLICATION

As an inventor named below, I hereby declare that:

(1) my residence, post office address and citizenship are as stated below next to my name;
(2) I believe I am an original, first and joint inventor of the subject matter that is disclosed and claimed, for which a U.S. patent is sought, on the invention entitled "INTEGRATED CHANGE MANAGEMENT UNIT", the patent specification and claims of which are attached hereto;

(3) I hereby state that I have reviewed and understand the contents of the above-identified patent application, including the claims;

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John F. Schipper, Reg. No. 26994

2211 Park Boulevard

Palo Alto, California 94306

Telephone: 650-321-7449

Facsimile: 650-321-7606; and

(6) I hereby declare that all statements made herein of my own knowledge are true, and that all statements made herein 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 this application or any patent that issues on this application.

Full name of first inventor ANTHONY T. SZIKLAI

Inventor's signature [Signature]

Date 12/15/98

Inventor's residence 516 San Benito Street

Citizenship United States of America

Post Office address Half Moon Bay, California 94019

Full name of second inventor ASHISH K. VERMA

Inventor's signature [Signature]

Date 12/15/98

Inventor's residence 1999 Beach Park Blvd. No. 45

Citizenship India

Post Office address Foster City, California 94404

Full name of third inventor JUDITH E. POPOWSKI

Inventor's signature [Signature]

Date 12/15/98

Inventor's residence 301 Alameda Avenue

Citizenship United States of America

Post Office address Half Moon Bay, California 94019

Additional inventors are named on separate Declaration sheets 2 and 3 attached hereto.

DECLARATION FOR PATENT APPLICATION

As an inventor named below, I hereby declare that:

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"INTEGRATED CHANGE MANAGEMENT UNIT",
the patent specification and claims of which are attached hereto;

(3) I hereby state that I have reviewed and understand the contents of the above-identified patent application, including the claims;

(4) I hereby acknowledge a duty to disclose information that is material to examination of this application in accordance with 37 C.F.R. 1.56;

(5) I hereby appoint the following patent attorney to prosecute this application and to transact all business concerning this application in the United States Patent and Trademark Office:

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(6) I hereby declare that all statements made herein of my own knowledge are true, and that all statements made herein 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 this application or any patent that issues on this application.

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Electronic Acknowledgement Receipt

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1		LUFK-001_01US-Continuation.pdf	4521228 3374b15613405be2ebb15df8bf8bbe3e eff6d0f	yes	80

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	Document Description	Start	End
	Specification	1	58
	Claims	59	60
	Abstract	61	61
	Drawings-only black and white line drawings	62	74
	Preliminary Amendment	75	77
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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.

INTEGRATED CHANGE MANAGEMENT UNIT

Field of the Invention

This invention relates to the integrated management of information
5 affected by regulatory changes, such as changes in environmental, health and
safety laws, and non-regulatory changes.

Background of the Invention

Control of industrial and commercial activities by means of federal,
state and local laws, statutes, ordinances and regulations ("regulations"
10 herein) is endemic in the United States. Examples of activities that are
regulated by such regulations include: environmental health and safety
("EH&S"; Titles 7, 10, 29, 30, 40, 42 and 49 of the Code of Federal
Regulations and related state and local codes); administrative procedures
applicable to government personnel (Title 5); agricultural activities (Titles 7
15 and 9); creation, use, treatment and disposal of nuclear materials (Title 10);
conversion and distribution of usable forms of energy, power and water
(Titles 10 and 18); banking, financial and securities activities and foreign
trade (Titles 12, 15, 16, 19 and 22); space and aeronautical activities (Title
14); commercial trade practices (Title 16); food, drugs, cosmetics, medical
20 treatments and devices ("FDCMTD"; Title 21); transportation of persons and
cargo (Titles 23 and 49); housing and urban development (Title 24); firearms
production and trade (Title 27); workers compensation (Title 29); mining and
related activities (Title 30); national defense activities (Titles 15 and 32);
navigation and navigable waters (Title 33); education (Title 34); activities in
25 and on parks, forests, public lands and other public property (Titles 36 and
43); intellectual property activities (Title 37); veterans' pensions and relief
(Title 38); postal service activities (Title 39); public contracts and public
property management (Titles 41 and 48); public health (Title 42); emergency
management and assistance (Title 44); grant of public welfare and assistance
30 (Title 45); telecommunications (Title 47); and wildlife and fisheries activities

(Title 50). Some of the most pervasive regulations concern EH&S and FDCMTD activities.

5 Generation and use of hazardous substances in the United States has grown steadily in the last 53 years and is now estimated to be over 300 million metric tons per year. According to one definition, a "hazardous substance" is any substance or mixture of substances that may cause substantial personal injury or substantial illness during or as a proximate result of any customary or reasonably foreseeable handling or use, including reasonably foreseeable ingestion by children, if the substance: (1) is a toxic agent or reproductive toxin; (2) is corrosive; (3) is an irritant; (4) is a strong sensitizer; (5) is flammable, combustible or explosive; (6) is pyrophoric; (7) is a carcinogen, hepatotoxin, nephrotoxin or neurotoxin; (8) is an agent that acts on the hematopoietic system; (9) is an agent that damages the lungs, skin, eyes or mucous membranes; (10) is a compressed gas; (11) is an organic peroxide; (12) is an oxidizer; (13) is unstable, reactive or water-reactive; (14) generates pressure through decomposition, heat or other means; (15) is sufficiently radioactive to require labeling as such; (16) is a toy or other article intended for use by children and presents an electrical, mechanical or thermal hazard; or (17) is specially listed as a hazardous substance by a state or federal agency having jurisdiction over such substances.

At the federal level, special purpose hazardous substance laws and regulations, focusing on a particular hazardous substance or narrow class of such materials, have been applied for more than a century. In 1866, a federal law regulating transportation and storage of explosive and flammable materials was promulgated. This was followed in 1899, 1910, 1938, 1944 and 1947 by passage of the Refuse Act, the first Insecticide Act, the Food, Drug and Cosmetic Act, the Safe Drinking Water Act, and the Insecticide, Fungicide and Rodenticide Act, respectively. In 1955 and 1966, the Clean Air Act and the Federal Hazardous Substances Act appeared, respectively. Since 1969, the pace of introduction of new laws regulating hazardous

substances has increased, and approximately 15 new major federal laws and voluminous regulations have been introduced in this area. These laws often have overlapping jurisdiction and are not always consistent with one another. Several states, such as California, have passed their own hazardous substance laws before the corresponding federal hazardous substance laws were adopted. These laws still apply in those states and in many cases supersede their Federal counterparts. These laws statutes, ordinances, regulations and related constraints are constantly changing and require corresponding changes in data entry, data analysis and presentation of the results.

The Safe Drinking Water Act ("SDWA"), originally passed in 1944 and amended several times since then, covers all drinking water supplies in all states. Primary standards, to prevent adverse effects on human health, and secondary standards and covering certain aesthetic effects such as odor and turbidity of processed drinking water, are set down in terms of maximum permissible concentrations of specified contaminants in water delivered to any public drinking water system. From a regulatory standpoint, SDWA falls under the broader mandate of the Clean Water Act ("CWA"), whose ultimate goal is maintenance of the "chemical, physical, and biological integrity of the nation's waters."

CWA, with its most recent amendment, the Water Quality Act ("WQA") of 1987, establishes mandatory effluent limitation guidelines for all facilities which discharge waste into water bodies, or allow waste to enter and potentially contaminate subsurface water sources, like aquifers. CWA created the National Pollutant Discharge Elimination System ("NPDES") to regulate effluents, influents (waterborne wastes received by a treatment facility) and sludge. The primary enforcement mechanism of NPDES is the NPDES permit. CWA directs control authorities at the federal and state level to administer and enforce permit compliance. NPDES permits include terms and conditions ranging from required monitoring of point source discharges to the implementation of control technologies to minimize outfall.

The Clean Air Act ("CAA"), passed in 1955 and amended several times since that time (most recently, in 1990), covers emission of pollutants into the ambient air and atmosphere. This may include hazardous wastes that are liquid or gaseous when discharge occurs. National Ambient Air Quality Standards ("NAAQSs") are set forth for seven chemicals or chemical groups: SO_x, CO, NO_x, O₃, Pb, hydrocarbons and total suspended particulates. Additionally, emission standards are set forth for asbestos, beryllium, mercury and vinyl chloride. Primary Standards are set forth to protect human health, and Secondary Standards are set to protect or limit damage to other entities, such as flora, fauna and personal and real property. The federal government in effect delegates responsibility to achieve these standards to the individual states, which are required to present and implement State Implementation Plans to achieve the target air quality standards in various identified air basins in the states.

The primary enforcement mechanism of CAA is the CAA permit. Permits covering emission source construction, modification, and operation follow the NPDES scheme, adopting strict measures for controlling and reducing emissions of airborne waste at the source. CAA permits include terms and conditions ranging from the application of abatement devices and other control technologies for emission reduction, to required monitoring at all source emission point sources and non-point sources (i.e., fugitive emission locations). Permits based on economic incentive strategies, such as marketable emission allowances, were added to the federal regulatory program maze under the 1990 amendments. Although these additions were intended to stimulate compliance via market-based vehicles (like emission allowance futures trading), these permits have not, as yet, been broadly implemented.

The Toxic Substances Control Act ("TSCA"), originally passed in 1965, together with the Federal Hazardous Substances Act ("FHSA") passed in 1966 and the Resource Recovery Act ("RRA") passed in 1970, were the initial

federal laws governing generation and handling of toxic and other hazardous substances. Most provisions of the RRA and the FHSA have been incorporated in the Resource Conservation and Recovery Act, discussed below. Under TSCA, the Environmental Protection Agency ("E.P.A.") reviews any
5 chemical substance that is or will be produced in sufficient quantity that it may cause significant acute or chronic human exposure. Testing is performed with respect to human health and the environment and focuses particularly on possible risk of serious harm to humans from (1) cancer, (2) genetic
10 mutations and (3) birth defects. If the EPA finds that the risk to human health or to the environment is sufficiently great, the EPA may: (1) limit the amount of the chemical to be manufactured or used; (2) prohibit a particular use; (3) require placement of warning labels on all containers of the chemical; (4) require placement of public notices of use; and (5) regulate commercial use and/or disposal of the chemical.

15 Any person, including a company, that manufactures or imports more than 10,000 pounds or more of a chemical named on an E.P.A. Chemical Substances Inventory List is subject to the reporting requirements under TSCA. These reporting requirements include: (1) updating of a list of all
20 chemicals present on a site, at four-year intervals or more frequently; (2) submission (to the E.P.A.) of a Pre-manufacture Notice and relevant test data for any new chemical, at least 90 days before manufacturing or importing the chemical; (3) submission of a Notice Of Intent To Import or To Export a
25 listed chemical, within seven days after entering into a contract to import or export the chemical, if the chemical is known to be mutagenic, teratogenic or carcinogenic or is known to cause chronic health or environmental problems; (4) reporting of a significant new use for a chemical already on the E.P.A.
30 list; (5) reporting of known significant adverse reactions caused by handling or discharge of any chemical used by the reporting entity; (6) submission of any unpublished health and/or safety studies on certain chemicals used by the reporting entity; (7) notification of any substantial risk of injury to human

health or the environment, due within 15 days after the reporting entity first receives information on the risk; (8) submission of information on production of, use of and exposure to certain chemicals to an Interagency Testing Committee for analysis by the Committee; (9) submission of specified
5 comprehensive information on a fixed format reporting form; (10) submission of results of tests, if any, performed by the reporting entity on certain hepta-halogenated dibenzo-p-dioxins and dibenzofurans, within 90 days after a test, if a positive result is obtained; and (11) submission of a Notification of PCB Activity form by any storer, transporter or disposer of
10 polychlorinated biphenyl ("PCB") waste. TSCA also sets forth certain requirements for labeling of, disposal of and recordkeeping for certain chemicals, such as PCBs.

The Occupational Safety and Health Act ("OSHA"), passed in 1970, covers the conditions under which employees work. The regulations issued
15 under OSHA make this Act among the most detailed of all workplace laws. The relevant parts of OSHA prescribe standards for the protection and welfare of employees exposed to workplace hazards. An employer must establish a written hazard communication plan to advise its employees of hazards associated with chemicals the employees handle, and incorporate into
20 this plan the use of container labels, warning signs, Material Safety Data Sheets ("MSDSs") and training programs. The centerpiece of the OSHA Hazard Communication Standard is the MSDS, required for each hazardous substance manufactured or used on the site. The MSDS includes all relevant information pertaining to a hazardous substance, from its ingredients to
25 physical properties, health hazards, exposure limits, storage incompatibilities, safe handling and use precautions and much more. An employer must report, within 48 hours, any incident that results in a fatality, or in hospitalization of five or more employees. The OSHA Log and Summary of Occupational Injuries and Illnesses form is used to record all work-related injuries and
30 illnesses for each calendar year. Many such records must be maintained by

the employer for the duration of employment of an employee, plus 30 years. An employer must develop and implement a written emergency plan and make the plan available in the workplace, whenever an OSHA standard requires it. An employer must also develop and implement a written safety and health program and a medical surveillance program for employees involved in hazardous waste operations, including emergency response procedures.

The Occupational Health and Safety Administration ("O.S.H.A.") under the Department of Labor (D.O.L.) develops and enforces all OSHA standards. The O.S.H.A. primary enforcement activity is the inspection, or audit procedure. Facilities covered by one or more OSHA standard are subject to voluntary (routine) inspections, as well as non-voluntary inspections based on a warrant to search.

The Hazardous Materials Transportation Act ("HMTA"), passed in 1974, is administered jointly by the Department of Transportation ("D.O.T."), established in 1966, and the E.P.A., established in 1969. The HMTA sets forth 15 hazard classes of materials (e.g., flammable liquids, high explosives, poisons) plus five classes of "other regulated materials" and sets forth laws and corresponding regulations on: (1) identification, listing, labeling and placarding of these hazardous substances; (2) recordkeeping requirements for handling these hazardous substances, including Uniform Hazardous Material Manifests for shipment of hazardous wastes; (3) requirements for generators and transporters of hazardous substances and for owners and operators of specially defined treatment, storage and disposal facilities ("TSDFs") for these hazardous substances; (4) permit and pre-transport notification requirements and transportation routing for all facilities that generate or transport these hazardous substances; (5) requirements for tracking the movement of these hazardous substances; (6) containers to be used for transport; (7) incident notification and other procedures for handling and reporting accidental and intentional discharges of hazardous substances;

and (8) testing and standards for operators of transport vehicles for hazardous substances. Hazardous wastes and other hazardous substances are not distinguished under the HMTA. A "generator" of a hazardous waste is defined simply as "any person whose act first causes a hazardous waste to become subject to regulation". Transportation modes covered include movement of the hazardous substance by air, rail, water and highway. The D.O.T. is authorized to inspect generator and transporter facilities, vehicles and records to insure compliance.

The Resource Conservation and Recovery Act ("RCRA"), passed in the present form in 1976, was originally part of the Clean Air Act, passed in 1966. The RCRA establishes "cradle-to-grave" responsibility for hazardous solid waste handled by a generator, by a TSD operator, or by a hazardous waste transporter or recycler. Under RCRA, a solid waste is a "hazardous waste", if: (1) the waste arises from specified manufacturing practices; (2) the waste is one of a group of specified wastes; (3) the waste contains any of a group of specified chemicals; or (4) the waste has specified toxicity, chemical reactivity, ignitability or corrosive characteristics. Household wastes are generally exempted from RCRA coverage. Generators of more than 1,000 kilograms per month of ordinary hazardous wastes or of more than 1 kgm per month of extremely hazardous waste must operate under a RCRA permit covering registration, container labeling, recordkeeping and other requirements. "Small quantity generators", who generate 100-1,000 kgms per month of hazardous wastes and no more than 1 kgm per month of extremely hazardous wastes, are covered by simpler requirements. Generators of still smaller amounts of the hazardous wastes or the extremely hazardous wastes are often exempt from regulation under RCRA.

The goals of RCRA include: (1) protecting the health, safety and environment of the public; (2) regulating the generation, treatment, disposal and storage of hazardous wastes; (3) reducing environmental pollution from waste disposal; (4) encouraging recycling and/or re-use of hazardous wastes;

and (5) eliminating certain landfill and other solid waste disposal practices. A Notification of Hazardous Waste Activity must be submitted by a generator, transporter or operator of a hazardous waste TSDF to apply for an E.P.A. identification number and for any applicable E.P.A. permits for on-site
5 treatment, storage or disposal. Hazardous waste generators are required to conduct their own studies to determine if a specific hazardous waste can be treated to reduce its volume or toxicity, with records of such studies being submitted each year to the E.P.A. and being maintained for three years.

10 A Uniform Hazardous Waste Manifest, developed by the E.P.A. under RCRA and under HMTA, must be used by persons who transport hazardous waste for off-site treatment, storage or disposal, and a copy of each Manifest must be maintained as part of a facility's operating record. Owners or operators of a TSDF who receive hazardous waste without a proper Manifest must submit an Unauthorized Waste Report to the E.P.A. within 15 days after
15 such an incident occurs. Upon closure of a hazardous waste facility, records of hazardous waste disposal and the amounts thereof must be submitted to the E.P.A. and to local land use control authorities.

20 A hazardous waste generator must demonstrate that it has the financial ability to cover liability claims involving sudden or non-sudden discharges from the facility. An owner or operator must monitor and inspect all on-site tanks that treat or accumulate hazardous waste. A spill or other discharge must be reported to the National Response Center ("N.R.C.") within 24 hours after the incident occurs, and a detailed report on such incident must be submitted to the E.P.A. within 30 days after the incident. RCRA is enforced
25 concurrently with applicable state statutes.

30 The Comprehensive Environmental Response, Compensation and Liability Act ("CERCLA") was passed in 1980 in response to the discovery of several hazardous waste disposal sites that would have to be cleaned up at government expense. CERCLA was intended to: (1) provide a system for identifying and cleaning up chemical and hazardous substance releases; (2)

establish a fund to pay for cleanup of release sites, where those responsible cannot or will not pay for the cleanup; and (3) enable the federal government to collect the costs of cleanup from the responsible parties. The federal government set aside \$1.8 billion in the first Superfund for hazardous waste site clean-up purposes. CERCLA includes on its hazardous substance list all hazardous wastes under RCRA, all hazardous air pollutants regulated under the CAA, all water pollutants regulated under the CWA, and most substances regulated under TSCA.

In 1986, the Superfund Amendments and Reauthorization Act ("SARA") added another \$6.2 billion to the Superfund for clean-up purposes. SARA also enacted Community-Right-to-Know requirements into law. Title III of SARA contains the Community Right-to-Know requirements and provides for: (1) Emergency Response Planning; (2) Accidental Release Notification; (3) Facility Hazardous Substance Inventory Reporting; and (4) Facility Toxic Substance Release Reporting.

Sections 301-303 of Title III enacted the requirement for Emergency Response Planning. Emergency Response Planning as enacted by SARA required the creation of committees at both State (State Emergency Response Committee, or S.E.R.C.) and Local (Local Emergency Planning Committee, or L.E.P.C.) levels. Owner/operators of facilities with specified hazardous substances on site in quantities in excess of specified thresholds are required to prepare and submit Emergency Response Plans to the L.E.P.C. having jurisdiction over the facility. Elements of the facility Emergency Response Plan include: (1) identification of Emergency Response procedures to be used for action on the site and for areas surrounding the site; (2) identification of a facility co-ordinator for implementing the plan; (3) procedures to be used during emergencies for notifying authorities and potentially affected parties; (4) methodology for determination when a release has occurred and the probable area and population at risk; and (5) description of Emergency

Response assets that are in place as well as the contact point for the Emergency Response assets.

Section 304 of Title III requires preparation and filing of an Accidental Release Notification report whenever an accidental release of a specified hazardous substance occurs in which (1) the substance crosses the facility boundaries or is released in transport on public roads, and (2) the release amount exceeds specified thresholds. This report must address: (1) actions taken to contain or respond to the release; (2) any known or anticipated acute or chronic health risks associated with the release; and (3) advice regarding medical attention required for any exposed individuals.

Section 311 and 312 of Title III provide for facility hazardous substance inventory reporting. Facility hazardous substance inventory reporting is required if substances for which an MSDS is required under OSHA are present in quantities in excess of specified thresholds. Facilities subject to hazardous substances inventory reporting requirements must: (1) produce a listing of specified hazardous substances present at the facility or an MSDS for each specified hazardous substance; and (2) an emergency and hazardous chemicals inventory report form. Both reports (listing/MSDS and inventory report) must be submitted to the following agencies: (1) L.E.P.C.; (2) S.E.R.C.; and (3) local Fire department.

Section 313 of Title III requires the E.P.A. to establish an inventory of toxic chemical emissions from certain facilities. To do so, the E.P.A. requires owners and operators of facilities that manufacture, import, process, or use specified toxic chemicals to report annually their releases of those chemicals to any environmental media. Releases to air, water, and land, and releases to off-site locations such as publicly owned treatment works or hazardous waste disposal sites, must be estimated and reported under Section 313. Both routine and accidental releases must be reported. Facilities must report even if their releases comply with all environmental laws and permits.

The Pollution Prevention Act ("PPA"), passed in 1990, requires hazardous waste generators and other similar facilities that manufacture, import, process or otherwise use listed toxic chemicals to annually report releases of any of these chemicals to any environmental medium (atmosphere, water, soil and biota). For each listed chemical that is reported, the generator must provide: (1) the quantity of the chemical that is released (before recycling, treatment or disposal) into a waste stream and the change, if any, from release in the preceding year; (2) the quantity of the chemical, if any, that is recycled or treated at the facility or elsewhere, the percentage change from the preceding year and the method(s) of recycling or treatment used; (3) the source reduction practices adopted by the generator and the quantitative method(s) used to monitor these practices, with these practices being reported in the categories of (a) equipment, technology, process or procedure modifications, (b) reformulation or redesign of the products, (c) substitution of input materials and (d) improvement in management, training, inventory control, materials handling or other administrative practices; (4) quantities of the chemical, if any, that are released in one-time events not associated with production processes; (5) quantities of the chemical expected to be released into a waste stream or to be recycled in each of the two immediately following years; and (6) a ratio or other quantitative comparison of production of the chemical between the current and preceding reporting years. Much of this information would be reported on a revised Form R under SARA Title III for each listed chemical.

Various attempts have been made to manage regulatory compliance, but no solution has been developed before that provides a comprehensive, integrated framework for (1) absorbing business changes into the application and database without affecting the integrity of the system, (2) automatically making application and database changes using intelligent agent routines, (3) managing technical and business content-related functionality using metadata tables rather than relying on traditional programming methods. Other

workers have created regulations databases, document management systems and other partial solutions for tracking changes in, and compliance with, regulations and similar requirements, but these partial solutions have not addressed the effects of change across an integrated database application or across an integrated framework of technical functions. These partial solutions also do not provide a "closed loop" approach to identifying changes using intelligent network agents, recommending modifications to the business content, and automatically effecting modifications in the system without the use of programmers and/or programming.

One recurring problem with any database that frequently changes is maintenance of the database as current. Where a database depends upon the current regulatory state, as where an EH&S database is being maintained by a conventional approach, continual reprogramming of the database software is required to reflect a constant stream of changes. This approach is not cost effective and, in effect, mortgages the database maintainer's future.

What is needed is an integrated change management system for a selected area of commercial or industrial activity that: (1) provides one or more databases having all relevant available information, including knowledge of regulatory and non-regulatory information and changes, used in connection with the activity; (2) facilitates sharing of this information between databases; (3) generates and archives records of software system versions used for data entry, reporting, processing, analysis and results presentation, and changes to these versions; (4) generates all documents and reports required for compliance under applicable regulations, laws and statutes; (5) provides screen images, and appropriate changes to these images, that implement data entry, processing, analysis, reporting and results presentation; and (6) allows entry of the changes and modification of the affected data entry forms, report forms, views, screen images, functions, processes and formulas, without requiring (re)programming of the underlying software.

Summary of the Invention

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

15

Brief Description of the Drawings

Figure 1 schematically illustrates the relationship of four layers that are the primary components of the invention.

20 Figure 2 is a flowchart illustrating use of the invention to respond to one or more relevant changes found by an intelligent agent on a network.

Figures 3, 4 and 5 display metadata tables that are important in operation of the metadata layer.

25 Figures 6 and 7 are flow charts comparing procedures for creating a data entry form, using the invention (Figure 6) and using a conventional approach (Figure 7).

Figures 8-19 are examples of screen images used in application of the invention to EH&S activities.

Description of Best Modes of the Invention

The invention provides an integrated system for managing data that is, or can be, constantly changing, because of changes in regulations, in the business environment, in technology and in any other factor that materially affects operations and/or information management requirements of a particular business. Without an integrated method for automatically handling such changes, a developer or user of software that tracks business operations must continually rewrite part or all of the software in order to accurately and fully reflect these changes, usually at great expense and effort and with little hope for relief.

This invention monitors, responds to, and incorporates changes in, federal, state and local laws, statutes, ordinances and regulations (referred to collectively herein as "regulations") and changes in technology in one or more regulated areas of commercial activity, such as environmental health and safety (EH&S), and food, drugs, cosmetics, medical devices and treatments ("FDCMTD"). Initially, making applicable laws and regulations available and searchable gives rise to data management requirements and to development of one or more suitable databases. Implementation of a database carries with it questions concerning initial investment, maintenance and upgrade costs, integrity and security concerns. When one or more of the applicable regulations changes, this affects the data management requirements and the underlying database(s) and any existing software linkages between related database structures. The invention provides a relatively seamless system for creating robust solutions without the use of programmers and/or programming, (2) monitoring and assimilating business change into business solutions rapidly, without (re)programming, and (3) providing business solution customization and extensibility without impacting the integrity or security of the system.

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The system operates at four layers, as illustrated in Figure 1: (1) a change management layer 11 that includes one or more change agents that "cruise the Web" and identify and bring to the user's attention relevant regulatory and non-regulatory changes found on the Web that may affect a user's business; (2) a Java data management layer 13, a user interface, built using the Java language, that applies metadata attributes to business and business-change related data (regulation-based or non-regulation-based); (3) a metadata layer 15 that provides and/or defines data about every feature of the user interface including, without limitation, tools, worklists, data entry forms, reports, documents, processes, formulas, images, tables, views, columns, and other structures and functions; and (4) a business content layer 17 that is specific to the particular business operations of interest to the user.

Within the Java management layer, configuration tools take the place of a programmer and define various end user functions in terms of metadata, and metadata definitions are used to implement the desired end user functions. Within the metadata layer, the relevant items (data entry forms, etc.) in the business content layer are defined, regulatory and non-regulatory changes in these items are implemented, and access thereto is provided. Within the business content layer, the relevant items are stored (and changed, as appropriate) for the specific business operations of concern to the end user. A business area or grouping in the business content layer is referenced and described by the metadata layer to enable management by the data management layer. The system's four layers, plus the Configuration tools and the End User tools, are illustrated in Figure 1.

The invention includes an integrated framework of technical functions for tracking and managing regulatory compliance, non-regulatory requirements and other change-intensive business activities. The invention provides a cost-effective approach for absorbing database and application changes that arise from changes in regulations, policies, procedures, processes, materials, and similar factors. The integrated framework of the

invention is divided into two main groupings, Change Configuration functions and End User functions. The Change Configuration functions support creation and change of End User functions through a variety of flexible and intelligent manual routines, such as intelligent agents, screens, fields, reports, documents and logic that can be changed without requiring programming skills. The End User functions support business-related activities, such as data entry, data analysis, document generation, document distribution and reporting, that are utilized by a typical business user.

The metadata architecture is unique in that it stores all of the information used to create the front-end business application and manage the back-end business database. Unlike "hard-coded" systems, in which business functionality and content is managed by explicit lines of code, the metadata architecture of the invention is entirely data-driven.

Regulations and technical requirements are constantly changing in the United States. Regulatory changes are recorded and posted for reference in different media, including paper, microfiche and electronic media. The internet is one source of information on regulatory change that is both prompt and cost-effective. The following example illustrates how a change, made to a regulation, is identified on the Internet and incorporated and managed by the invention.

A. Example

Assume that a federal regulation, governing disposal of hazardous waste in landfills, is amended so that the regulation now requires analysis, reporting and record keeping of landfill samples. Part of the change language addresses what landfill sample information must be collected, including landfill type, landfill cell, parameter(s) sampled, identification of chain-of-custody, and laboratory results. The change is posted in the Federal Register and becomes promptly available as a hard copy (paper) and electronically, on the Internet.

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The invention begins tracking change using one or more intelligent agents ("IA's"). An "intelligent agent" is a specialized program that resides on a network, or at a server as an applet, and can make decisions and perform tasks based on pre-defined rules. Preferably, two or more IA's used by a
5 business will have sufficiently different assignments that at most modest overlap occurs between the IA's. An IA function is part of the Logic Menu, which is discussed subsequently.

A change made to landfill waste regulations is identified by an IA on the Internet, and the relevant change information is routed to a selected
10 metadata table in the invention. The change information includes one or more of five recommendations: (1) create a new WorkList; (2) change one or more data entry forms; (3) create one or more new reports; (4) create a new process; and (5) add one or more new document images. Configuration Users can choose to automatically configure the preceding recommendation based
15 on a set of default conditions, or can manually implement the configuration using a configuration toolkit.

A new WorkList is created manually in a Set Up WorkList function, discussed subsequently, to guide an End User through the tasks involved in recording a sample, tracking the sample through a chain-of-custody, printing
20 a management report of all samples submitted for analysis, preparing and processing a government report, and printing or otherwise distributing the government report on a required government form, or on the Internet, as a document image. No workflow or task management programming is involved in creating the new WorkList. An End User can select the new WorkList in
25 the WorkList function under the File menu and can begin tracking the changing work and tasks.

The WorkList function serves a central role, offering a means for integrating the various data management functions in what can be characterized as a virtual, task-driven menu. The invention provides an
30 integrated user interface with all the functions necessary for managing

business data: data entry forms, reports, documents, processes, formulas, etc. The WorkList extends this user interface by allowing users to set up lists of functions in the order that such functions are typically used by an end user. Figure 3 illustrates the important structures and relationships that allow such implementation. Figure 3 illustrates how worklist items can include modules (data entry forms, reports and documents), processes and sub-worklists. A user can create its own task-driven menu and adapt rapidly to change(s) and minimize or eliminate the cost of (re)programming.

10 A change to a data entry form is accomplished automatically, using default assumptions. A Configuration User can automatically launch the configuration process from the Change Log, adding two new fields to the Waste Sample form, for 'Landfill Type" and 'Landfill Cell.' No forms (re)programming is required in adding the two new fields to the Waste Sample form. An End User sees these changes to the form(s) the next time one of the Waste Sample forms is opened in the Data Entry Form under the File Menu.

20 A new Report is created automatically, using the View Builder and the Report Builder functions to track all samples sent for analysis, sample status and sample turn-around time. The Configuration User uses View Builder to join and create new views and sample reporting tables, such as Samples, Laboratory_Samples and Sample_Status. The Configuration User uses Report Builder to sequence the fields in the report, specify desired fonts, and create a title for the report. No report (re)programming is required in creating the view or report. An End User can select and print the new report within the Report function.

30 A new process is created manually, using the Advanced Query Builder and Set Up Processing functions. The new process may determine which samples contain contaminants with levels above a regulatory limit or threshold. The Configuration User uses the Advanced Query Builder to create a view that joins Sample_Results and Regulatory_List_Results and

contains logic for comparing one value to another. The Set Up Processing function defines the new view as a process that can be scheduled and that will return results each time the function is executed or launched. No SQL, PL/SQL or other type of (re)programming is required to create the new view or process. An End User can select, schedule and execute the new process using the Process function in the Logic Menu.

A document image is created manually in the Document Builder function to provide regulatory report data on the required government form. The Configuration User imports the image from the Internet and maps the fields on the form to columns in a database. No (re)programming is required in mapping the document(s) to the database. An End User can select the Document Image function from the File Menu and visually examine the results of the report process on the government form.

The system uses a standard interface, a part of the invention, that is based on a multi-tier, server-based, Web-enabled computing model that does not require (re)programming to respond to changes in the received data. A system created using the invention is dependent upon, and driven by, the supporting metadata. The metadata describes the various system components, using a business-like terminology, and replaces the front-end or desktop portion of a user interface. Three main components of the interface portion of the invention are a Web server, a database server and a Java-enabled browser that uses TCP/IP or a similar protocol.

A primary requirement of the invention is to allow a reasonably skilled end user to produce a set of relevant data through the interface, without requiring use of a programming or database manipulation language (DBML), such as SQL.

Each of the four layers is discussed in more detail in the following sections.

B. Business Content Layer

The business content layer includes business knowledge, logical designs, physical designs, physical structures, relationships, and data associated with a selected area of business activity. A business area can be a functional field within an organization, such as finance or human resources, or a particular type of business, such as printing or a (specialty) food business, for which business-related data must be accumulated and managed. The business content layer is defined by and referenced in the metadata layer so that the necessary objects, tables, columns, relationships, functions, procedures and data can be read and updated by the Java data management layer. The business content layer may be characterized as a business content database.

C. Metadata Layer

The metadata architecture is created using Oracle or a similar database system. The metadata model has two main components, a business content data dictionary and an application component. The data dictionary describes or defines the data elements of the application system and the business content layer and how a data element is recorded and managed at the database management system (DBMS) level. The application component primarily records procedures for manipulating business information using data entry forms, worklists, processes, documents, reports and business logic.

The most important aspect of the server-based, programming-free model is the system's ability to create, change and (re)configure the application system at one location and to promptly make the modified application system available elsewhere within the enterprise as well. This approach also eliminates the need to write new code or to modify existing code and eliminates the need for (re)compiling and creating executable instructions and updating every affected user's computer within the organization. This approach is implemented using intuitive, user-friendly, dialog-based screens and using small code segments to define business logic.

Figures 4 and 5 illustrate some of the relationships between several of the metadata tables that are part of the metadata layer. The GreenSuite Image table 31 stores application images for use with menus that are part of the system. The imagelink table 32 records the links between modules and
5 images. The image source table 33 provides image files for use in the system. The View column table 34 holds the columns defined for all views in the system. The View table 35 holds the definition of a "View."

The View Business Area table 36 records information about business area Views in the system. The Business Area table 37 holds the definition of
10 business areas and forms a high level grouping of various business functions that can be implemented using the system. The business process business area table 38 records information about business area processes in the system. The business area worklist table 39 records worklists for the business area. The View parameter table 40 holds the parameters that define all views in the
15 system.

The View group table 41 records information about group Views in the system. The group table 42 holds the various user groups defined in the system. The group menu table 43 stores the menu items that are accessible by user groups. The menu table 44 holds the menu items and their hierarchical
20 structures in the system. The user table 45 holds the user names defined in the system.

The group module table 46 stores the modules that are accessible by user groups in the system. The business area module table 47 records module names for every business area. The language table 48 provides different
25 language definitions for use in the system. The menu title table 49 provides the menu titles for the system. The business process table 50 provides the definitions and business logic of the processes defined within the system, to support reporting activities.

The report group table 51 provides details for the report group. The
30 report matrix table 52 provides the definitions of matrix reports. The module

item table 53 provides the definitions and business logic of individual data elements for every data entry form, report and document defined in the system. The module table 54 provides the definition and business logic for all data entry forms, reports and documents created within the system. The report parameter table 55 records the parameters specified for reports in the system.

The report trigger table 56 records the triggers specified for reports in the system. The worklist item table 57 provides definitions of, and links to, modules launched from the worklist. The worklist table 58 provides the definitions and logic for worklists that facilitate work flow for a business activity. The calculation profile table 59 provides the definitions and logic to perform calculations related to data entry forms, for decision making and data input. The calculation profile value table 60 records the calculation profile variable values.

The module formula table 61 provides the formulas used by the modules in the system. The module formula argument table 62 provides the formula arguments used in the module. The module trigger 63 provides the generic triggers specified for modules in the system. The output item table 64 provides details for the document module items. The output data source table 65 provides details for the document module items data source.

The related module table 66 provides the links between modules in the system. The formula table 67 provides the definitions of formulas used in the system. The formula argument table 68 records the arguments for all formulas used in the system. The table 69 maintains all the application table definition details. The output data item table 70 provides details for the document module items.

The calculation profile variable table 71 records the calculation profile variables. The column table 72 records the data elements of every table recorded in the table 69. The output group property table 73 maintains the details of the application table columns. The module event trigger table 74

provides the event triggers specified for modules in the system. The module event trigger step table 75 provides the event trigger steps specified for modules in the system. The output template table 76 provides the document template details.

5 With reference to Figure 3, the constraint column table 81 provides individual data elements for the business rules. The constraint table 82 provides the business rules defined at the database level for every table in the application system, together with the meaning of each rule. The column table 72 is characterized in the preceding. The column allowable value table 83
10 provides the business rules at a data element level. The autofill table 84 records the automatic data transfer setup. The arc column table 85 provides data elements that are part of every usually exclusive relationship in the system. The arc table 86 records the mutually exclusive relationships in the system. The lookup table 87 provides the lookup definitions for every child
15 table in the system. The tablename table 69 is characterized in the preceding. The object table 88 holds the names of the database objects defined in the system. The about table 89 stores versions of, and copyright information concerning, the system. The datatype table 90 provides the datatype definitions throughout the system. The dependency tree table 91 provides the
20 application and database hierarchy(ies). The color table 92 provides the color definitions for use in various tools.

D. Java Data Management Layer

The Java format is chosen as the basis for the data management layer because Java is an object-oriented language that is powerful, flexible, easily
25 learned, multi-threaded, portable, and distributable over a network through use of a browser.

When an object-oriented language (OOL) is employed, once a particular kind of activity has been programmed for an object, that behavior can be shared with other like objects, rather than being reprogrammed each
30 time a new like object is introduced. A future program or activity can

"inherit" code from a program that presently exists so that code becomes reusable. One result of this is reduced (re)programming time and code debugging time.

5 Java is powerful, in part because of the class libraries provided in the language. For example, a programmer who wishes to place a special button on a screen can use qualities of a button provided with the Java Abstract Window Toolkit, then add behavior to perform specific tasks. Java is also more easily learned than its closest predecessor, C++. Although much of the syntax of Java and C++ is the same, a Java programmer doesn't have to deal
10 with pointers and memory allocation, two onerous features that are part of programming with C++.

Java, because it is multi-threaded, can handle two or more tasks simultaneously. For example, building part of a screen, displaying the part of the screen, and pursuing the remainder of the screen-building activity in a
15 background thread gives an end user the impression that the screen is quickly ready for use.

A Java program, once written, can be run on any platform having a Java interpreter so that Java is portable. Because compilation of a Java program generates "bytecode", not machine-specific runtime code,
20 recompilation is not necessary when moving from one platform to another. The major browsers, Netscape Navigator and Internet Explorer, include a Java interpreter so that a user of those browsers can run Java code.

Traditional client-server applications require upgrades to a client
25 machine whenever code changes are implemented, a daunting task in a large network. Where Java applets are used, code is downloaded at runtime, insuring that the client has the most recent version of the code. This allows easy deployment of Java code over the Internet, or over an intranet of an organization. The Java security model prevents unauthorized tampering with the client machine using non-authenticated code. By using Java, the invention
30 disclosed here also becomes platform-independent, portable, secure and easy

to deploy over a suitable network, such as the Internet. A more extensive discussion of Java is available at <http://www.javasoft.com>.

5 The Java data management layer of the system provides a graphical user interface for both the metadata layer and the business content layer, which allows a web browser user to communicate with the metadata and business content layers on a server from anywhere in the world.

10 No part of the Java data management layer is programmed for specific business content. Each procedure used by an end user is, or can be, tailored for specific business content and for specific user roles. The end user's system may be (re)configured without programming and may be maintained without programming.

15 The user interface is generated by the interpretation of the metadata layer delivered to the Java data management layer. The relationship between the business content layer and the Java data management layer may be characterized as a "data mapping," with no hard-wired coding as is typical in a conventional program. "Data mapping," as used here, refers to a mechanism that provides a correspondence between an item in a graphical user interface (GUI) and an item to be changed in the business content layer.

20 The Java data management layer the end user sees is defined only by the metadata and is generated as needed by a single program that interprets what a form will look like. Flexibility is maintained by having no hard-wired connection between code and the business content layer.

25 In a similar manner, reports and other output documents exist only in the metadata created through the Java data management layer. These output documents are produced by interpreting the metadata and by extracting data from the particular business content chosen. Events may be set up based on one or more changes in the business content data, but processing of an event depends on metadata that defines the event. Processing steps can be created to summarize and "filter" data, depending upon the metadata defining the

summarization and filtering techniques. Data can be imported from, and exported to, other systems based on metadata definitions of data structures.

5 With reference to inputs, outputs, processing and events, the metadata defines how the system should respond. The metadata can also be changed by an advanced user. Normal programming steps are decomposed into pieces that can be combined by a non-programmer into a coherent set of procedures that define a unique system.

Using the Java data management layer, an end user can enter data into the business content layer using forms tailored to the user's specific task(s).
10 The end user sees specific menus, forms and reports that pertain to the user's work. Alerts, based on selected trigger conditions, are received by e-mail or screen messaging, reminding the user of tasks to be performed, relevant training and relevant events that have occurred. An end user cannot affect the business content layer, except in assigned areas, so that data are secure while
15 being accumulated. A user located in a remote site, connected by telephone or through the Internet, can provide input information for a company's system using the Java data management layer.

A manager who uses the system can see high-level, cumulative data concerning a relevant area in the business content layer and can move to the
20 level of detail needed for the task at hand, including charts and graphs accumulated over time for monitoring a business area. Through event management, a business can be alerted, by e-mail, facsimile or screen message, to trends that are especially relevant to that business area.

The Java data management layer and the metadata layer together serve
25 as a standard interface system that is positioned "on top of" one or more databases, allowing addition, deletion and modification of data entry forms, tables, views, images, reports, queries, information processing and logic, monitoring or work flow and distribution and routing, menu presentations and provision of regulatory or non-regulatory alerts. Substantially all of the
30 data entry and modification, report monitoring and preparation, and other

monitoring processes are transparent so that the user need not be a computer programmer to deal with changes that occur from time to time.

E. Change Management Layer

5 The change layer primarily involves an intranet or the Internet and uses one or more intelligent agents (IA's) that continually search on the Web for relevant changes in a selected business area. The changes may be regulatory and/or non-regulatory, and each IA is defined by rules and constraints that focus on the selected business area. When an IA discovers a relevant change, the IA obtains all available information concerning this
10 change and delivers this information to the Java data management layer. A user may configure the system to apply pre-defined rules to the change in order to determine whether the change information delivered by the IA will be accepted and acted upon by the Java data management layer. Alternatively, the user may decide manually (or manually override the pre-defined rules)
15 whether the delivered change information will be accepted and acted upon, or ignored.

Assume that a data entry form is to be created based on the Department Table of the invention. Figure 6 is a flow chart showing the steps used to accomplish this. In step 101, the Form Builder function is launched from the
20 Tools Menu. In step 103, the form is given a name, and the Department Table is selected as the base table. In step 105, one or more fields are chosen for incorporation in the data entry form, and the form is uploaded to the network. A maximum of three steps is required to create a data entry form using the invention. The data entry form and its definition may be assumed to
25 be bug-free, because the underlying Form Builder has been thoroughly tested and confirmed to generate the correct metadata definition of the desired form.

This approach should be compared with the flow chart in Figure 7, showing the procedure for creating the same data entry form in a
30 conventional language-based development environment. In step 111, the

language-based environment development tool is invoked. In step 113, the program code is written and debugged. The program is compiled, in step 115, and an executable is generated, in step 117. In step 119, the executable is placed in the appropriate directory on all user desktops in the organization.

5 Additional steps are required to create a new data entry form, using a conventional approach, and steps 113 and 115 should be represented as a loop, because it is unlikely that the new program code will compile and run the first time.

10 The invention is preferably implemented in software and, as noted in the preceding, has been reduced to practice using a Java programming language and using a relational database system such as Oracle to create links between the different components of the software package. In one embodiment, the system is expressed as seven interacting menus (File, Logic, Distribution, Data, Tools, Administration and Help), each with supporting
15 functions, in the following format and with the following functions

I. File Menu

A. WorkList

1. WorkMap
2. WorkCalendar
- 20 3. WorkChat
4. WorkList Help

B. Data Entry Forms

1. Image/URL
2. Video/Audio
- 25 3. Form Report
4. Copy Record
5. Archive Record
6. Find Data
7. Calculate Record
- 30 8. Form Help

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9. Grid Data Entry
10. Related Forms

C. Report

- 5
 - 1. Process
 - 2. Edit
 - 3. Preview
 - 4. Report Print
 - 5. Report Send

- 10
 - D. Program
 - E. Favorites
 - F. Find

II. Logic Menu

- 15
 - A. Calculator
 - B. Process
 - 1. Run Process
 - 2. Schedule Process
 - C. Intelligent Agent
 - D. Graph/Chart

20 III. Distribution Menu

- A. Alert Messaging
 - 1. Alert History
 - 2. Conditional Alerts

- 25
 - B. Send To
 - C. EDI

IV. Data Menu

- 30
 - A. Import
 - B. Export
 - C. Archive
 - D. Copy

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WebLinks**V. Tools Menu****A. New Form Builder****B. Edit Form**

- 5
1. Form Properties
 2. Link To
 3. Item Properties
 4. Display Items
 5. Formula Items

10

C. Edit Form Items**D. Event Builder****E. Report Builder****F. Document Builder****G. Delete Module**

15

H. Formula Builder**I. View Builder****J. Advanced Query Builder****K. Intelligent Agent Builder****L. Set Up Processing**

20

M. Set Up WorkList**N. Maintain Parameters****VI. Administration Menu****A. Set Up Distribution****B. Maintain Distribution Groups**

25

C. Maintain Menu**D. Maintain Server Process****E. Security****F. Change Password****G. Maintain Functional Versions**

30

VII. Help Menu

- A. Help System
- B. Help Desk
- C. About Change Agent System

Content and purpose of these functions are discussed in the following.

5 I. File Menu

A. User WorkList is a task-driven function that a user creates to support the user's own internal business processes. WorkList is integrated with other functions in the framework and can be used to launch entry forms, reports, processes, tools, URLs, Web pages and external programs. The
10 integrated function of WorkList include the following.

1. WorkMap is an integrated business process management and routing function that implements user tracking of the status of a task, receipt of new tasks, and routing of tasks to other users. WorkList can be viewed as a workflow activity by enabling the WorkMap option. WorkMap data can be
15 viewed on-line, printed, or transmitted using e-mail and facsimile.

2. WorkCalendar provides an integrated calendar view, by day, week, month, calendar quarter, calendar half or year, of all tasks in a work flow activity, of a work flow activity in a graphical format. Calendar information can be viewed on-line, printed or transmitted by e-mail and
20 facsimile.

3. WorkChat is an integrated on-line chat function, allowing a user to select a chat channel and to work privately or with a selected group to solve task-related problems.

4. WorkList Help is an integrated function providing amplifying
25 information concerning an activity or requirement.

B. Data Entry Form implements manual data entry into the system, as well as querying, calculating with and analyzing entered data. Data Entry Form provides function for navigating to attached images, to Web page URLs and to subsidiary forms. The integrated function of Data Entry Form include
30 the following.

1. Image/URL implements attachment of document images and Web page URLs ("Images") to business records. A user can open an Image, view the Image on-line, print the Image and transmit the Image by e-mail and facsimile.

5 2. Video/Audio implements attachment of video and audio clips to business records. A user can launch a video or audio image, print video images, and send video and audio clips by e-mail and facsimile.

 3. Form Report implements creation of one or more reports from a base table(s) used by the form. A user can preview, print and send a
10 reports by e-mail and facsimile.

 4. Copy Record implements copying data from one record to another. A user can create multiple copies and can copy a record from a child record by selecting the relevant table(s) and column(s) to be copied.

 5. Archive Record implements archiving, de-archiving, purging
15 and viewing of one or more records.

 6. Find Data implements finding of one or more records based on parent-child relationships. A user can search for and view a record by entering an "or like" condition for any column in any parent or child table.

 7. Calculate Record attaches pre-defined mathematical formula(s)
20 to a form and calculation of results using the formula(s). A user can map formula arguments (variables, parameters) to tables and columns in a database, read in transaction data imported from external systems, set up data profiles to reduce data entry, and enable creation of new records based on calculated results. Results can be graphed, printed or transmitted by e-mail
25 and facsimile.

 8. Form Help provides form and field level help on-line.

 9. Grid Data Entry implements querying and editing of records in a grid or spreadsheet-style interface. A user can transmit grid data by e-mail and facsimile.

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10. Related Forms implements launching of a sub-form or related form from a master form.

C. Report implements viewing, printing and transmitting data based on pre-defined business requirements. Data are provided to a user in the most useful format for that user. A data report can be in tabular format, with
5 column(s) displayed horizontally, in columnar format, with data displayed vertically, or in document format, with data inserted on top of, or associated with, regulatory form images. Indeed, this association is a key feature of the invention. A report function includes the following features.

10 a. Process implements processing the results of the report. This feature is used for more complicated reports, where logic or multiple data sources (Tables, Views, etc.) may be involved. A user can define one or more parameters, such as location, date or period, to filter the results of the process.

15 b. Edit implements user editing of a report, either directly or through selection and use of data entry forms supporting the report.

c. Preview implements previewing report results in tabular, columnar and document formats. A user can also scroll through multiple pages and rows. A graph, attached to a report, can also be
20 previewed.

d. Report Print implements printing the results, and any associated graphs and other attachments, of a report.

e. Report Send implements transmission of a report, including graphs and other attachments, by e-mail and facsimile.

25 II. Logic Menu

A. Calculator implements calculation of results using pre-defined formulas. A user can enter values for formula arguments, calculate results, view the results on-line, print the results and transmit the results by e-mail and facsimile.

30 B. Process is a menu for the following process features.

1. Run Process implements processing of results for a report and analysis tasks, such as statistical analysis of data. This function is used for more complicated reports, where logic or multiple data sources (tables, views, etc.) may be involved. A user can define one or more parameters, such as location, date or period, to filter the results of the process, can export result data, and can open reports that are based on the result data.

2. Schedule Process implements launching of one or more intelligent agents and background processes. This function implements scheduling of processes (e.g., reporting) in advance, in order to limit disruptions that can occur in normal system operations.

C. Intelligent Agent launches one or more intelligent agents (IAs) to pursue internal and external Web activities. An "intelligent agent" is a specialized program that makes decisions and performs tasks based on pre-defined rules and objectives. An IA can be used to identify changes in laws, statutes, ordinances, regulations and related issues, changes in technical requirements, to provide feedback, and to perform Change Configuration tasks.

D. Graph/Chart implements opening of a graph or chart, based on a pre-defined data set, to provide line, bar, pie, stacked area charts and other charting formats. A user can manually manipulate depth, rotation and elevation of graph and chart results, can print the results and can transmit the results by e-mail and facsimile.

III. Distribution Menu

A. Alert Messaging implements transmission of alert messages by screen, pager, e-mail and facsimile. A user selects an alert mode, specifies an expiration date and time, selects one or more recipients, selects manual/send for the alert, views an alert history and/or sets up one or more alert conditions that will automatically trigger the sending of an alert. Alert Messaging includes the following function.

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1. Alert History implements viewing of one or more alerts that have been transmitted, according to content, recipient(s), sender, date and time of transmission, message and other relevant criteria.

5 2. Conditional Alert implements setup of automatically triggered (as distinguished from manually triggered) alert conditions, according to alert mode, description of triggering event, message, recipient(s) and conditional logic.

10 B. Send To implements transmission of documents and associated images through e-mail and facsimile. A user can select a document to be sent, mode of transmission, recipient(s), and the return pager number for confirmation. A user can look up distributions of historic documents by specifying document name, recipient(s), sender, date and time of transmission, message and other relevant criteria.

15 C. EDI implements transmission of data by electronic data exchange (EDI) . A user can specify transaction data being sent, recipient(s), other information describing the transaction, and can then transmit the data.

IV. Data Menu

20 A. Import implements importation of data from external files. A user can select files for import, select tables as import destination(s), define delimiters and text qualifiers, separate fixed width columns, map external file fields to database columns, define lookup conditions, parse conditions, check for errors and import data.

25 B. Export implements export of data to external files. A user selects the file(s) to be exported, the table(s) to be exported, the delimiter and text qualifier, sets up file and column properties, checks for errors and exports the file.

C. Archive implements archiving, de-archiving and purging of data. A user can enable or disable an archive, recover archived data, purge data, recover archived data and create snapshots of archived data.

D. Copy implements copying of one or more records within a table. A user can create single of multiple copies and copy data from child records by selecting relevant tables and columns to be copied.

E. WebLinks opens and attaches Web page links to a master Web page.

5 A user can select, attach, order, remove and launch a Web page from the master Web page.

V. Tools Menu

10 A. New Form Builder implements creation of new data entry forms, using a change configuration function. A user can assign one or more new forms to a business area and group, specify the form name, select base tables, select columns, create and display formula columns, format columns and save the new form.

15 B. Edit Form implements editing or otherwise changing an existing form, using a change configuration function. A user can select a form, make changes to a form, save the changes, The Edit Form module includes the following functions.

1. Form properties change of form level (as distinguished from field level) properties. A user can change a form layout, change the query filter condition and specify restrictions on global queries.

20 2. Link To links related forms to a specified form so that the related forms can be launched from Data Entry Form. Here, child forms are linked to a parent form.

25 3. Item Properties allows a user to change field level (as distinguished from form level) properties. A user can change the field label, display width, sequence, list of values, lookup form (a form that is edited for a foreign key column) and other relevant properties.

4. Display Items implements addition of display-only fields to a form. A display field can be based on columns from other tables, including tables that are twice removed from the form's base table.

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5. Formula Item adds formulas to existing tables and display-only fields.

C. Edit Form Item implements editing of form fields. A spreadsheet format allows a user to easily re-sequence and edit data for single or multiple fields.

D. Event Builder implements attachment of form level and database triggers to data entry forms

E. Report Builder is a change configuration function for building reports based on tables and views (joins of multiple tables).

F. Document Builder is a change configuration function for mapping documents, such as regulatory forms, onto to database columns for reports.

G. Delete Module is a change configuration function for deleting data entry forms, reports, processes and worklists.

H. Formula Builder is a change configuration function for creating formulas, including complex, nested equations.

I. View Builder is a change configuration function for creating views for use in reports.

J. Advanced Query Builder is a change configuration function for creating more sophisticated queries and views.

K. Intelligent Agent Builder is a change configuration function for specifying or modifying rules and objectives to be used by an Intelligent Agent to be launched.

L. Set Up Processing is a change configuration function for creating computational processes using one or more views.

M. Set Up Work List is a change configuration function for setting up task-driven menus based on data entry forms, reports, processes, sub-worklists, tools, Web pages and external programs.

N. Maintain Parameters is a change configuration function for creating and maintaining parameters for use in filtering reports.

VI. Administration Menu

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A. Set Up Distribution implements setting up users, printers, facsimile machines, pagers and other distribution instruments.

B. Maintain Distribution Groups creates distribution groups and assigns users to these groups.

5 C. Maintain Menu maintains the system menu, including the menu picks, language, color schemes and other relevant properties.

D. Maintain Server Processes implements connecting to and initiating server-side processes, such as e-mail, facsimile, pager and GIS processes.

10 E. Security implements setting up user groups, system privileges, database privileges and other relevant security activities.

F. Change Password implements changing of user passwords.

G. Maintain Functional Versions compares and manages data associated with functional versions, including changes to data entry forms, views, reports, processes and worklists.

15 VII. Help Menu

A. Help System provides context-sensitive technical and functional help.

B. Help Desk manages internal and user-related issues.

C. About Change Agent System describes the regulatory change system, including system version information.

20 The system provides a "business application browser" that combines Web browser technology with a selected set of business application items that are common to the tasks to be performed to implement information management for a given business area or requirement, including common functions such as work/task management, data entry, reporting, data processing and analysis, data presentation (printing, electronic display, distribution, etc.), and report and document preparation.

25 The invention thus combines the connectivity of a Web browser with the data management tools for a selected business activity. Because the system is, or may be arranged to be, accessed and used through an Internet connection, the system is not limited to stand-alone or local applications. A

business with activity sites throughout the world can be connected as easily as a group of contiguous sites. The system allows a business to use the normal business skills of their employees and does not require that every employee become a programmer in order to continue to respond to regulatory and/or technological and/or social changes affecting business operations and/or information management requirements.

As examples of applications which are enabled by the invention, an EH&S system and an FDCMTD system are developed and discussed subsequently.

10 In the EH&S area, for example, the business content layer in one embodiment may include seven sections that communicate with each other through a mechanism that integrates these sections:

(1) product stewardship, including product information, ecological and toxicological studies, allegations/inquiries tracking, MSDS management and materials and waste labeling;

(2) incident tracking and prevention, including emergency management, incident tracking and process safety;

(3) personnel health and safety, including personnel demographics, personnel training, safety, injuries and illnesses, industrial hygiene and occupational medicine;

(4) hazardous materials and waste, including hazardous materials, waste tracking, pollution prevention and site remediation;

(5) environmental releases, including air emissions, water discharges, soil and groundwater discharges and toxic chemical releases;

(6) regulatory requirements, including audits, regulatory lists, regulatory issues, requirements and litigation;

(7) facilities management, including physical and organizational structures, company information, equipment tracking and process and operations information; and

(8) tools that allow one to implement the EH&S functionality.

In an area such as food, drugs, cosmetics, and medical treatments and devices ("FDCMTD"), a business content layer may include activities or objects in one or more of the following seven areas and implement

5 communication between the areas:

(1) foods, food additives, prohibited food additives, animal feeds, labeling, packaging, testing on animals and humans, unavoidable contaminants, nutritional guidelines, dietary supplements, irradiated foods;

10 (2) drugs and pharmaceuticals, advertising, labeling, packaging, prescription forms and orders, drug names, interpretative statements and warnings, bioavailability and bioequivalence, controlled substances, controlled substance schedules, narcotic treatment drugs, medicated foods and feeds, over-the-counter drugs, applications for FDA approval of new and modified drugs;

15 (3) animal drugs and feeds, labeling, packaging, unavoidable contaminants, oral, implantable, injectable, ophthalmic, topical and intramammary dosages, tolerances, feed additives, feed irradiation, prohibited substances;

20 (4) cosmetics, labeling voluntary registration and filing of ingredients, warning statements;

(5) biologics, registration and product listing, use of blood and blood components, diagnostic substances;

25 (6) radiological treatments and devices, records and reports, notification of defects, repurchase, repair and replacement of electronic products, import controls, performance standards for electronic products, ionizing radiation emitting products, microwave and radiofrequency emitting products, light emitting products and sonic/infrasonic/ultrasonic radiation emitting products; and

30 (7) medical devices, clinical chemistry and toxicology devices, labeling, device corrections and removals, recalls, premarketing approval,

tracking and classification of devices, exemptions, cigarettes and smokeless tobacco, banned devices.

These areas are complemented by tools that allow one to implement the FDCMTD functionality.

5 In connection with FDCMTD activities, the primary considerations may include: (1) which FDCMTD items are now part of inventory, and which FDCMTD items need to be replenished; (2) by what other names, if any, is an FDCMTD item known in the trade; (3) what restrictions on labeling and/or packaging of an FDCMTD item are imposed; (4) what
10 restrictions, if any, are imposed on animal testing of each FDCMTD item; (5) are test results for an FDCMTD item presently being evaluated by a federal or state agency (e.g., the FDA or the NRC); (6) does dispensing of a particular FDCMTD item require licensing or certification of the distributor by a federal or state agency; (7) what are the expiration dates, if any, for
15 each FDCMTD item in inventory; (8) what are the restrictions, if any, on use, dermatological application or ingestion of each FDCMTD item in inventory; (9) which FDCMTD items, if any, are considered experimental and may not be distributed to any recipients without restriction; (10) which FDCMTD items require presentation of a properly executed restriction form
20 before the item can be dispensed; and (11) which FDCMTD items are subject to control by a federal or state government. These and related questions are incorporated in data entry forms, analysis result forms, report and other document forms, and distribution forms for a business area that includes part or all of the activities that involve one or more FDCMTD items.

25 A similar integrated set of sections can be developed in any of the other regulated areas to which one or more of the Codes of Federal Regulations applies, or selected areas of non-regulatory change in a business activity. The system uses the four interacting software layers (change, Java data management, metadata and business content), discussed in the preceding, and
30 may include an array of pre-defined document forms, report forms, data

entry forms, formulas and calculations that are most likely to be needed in that business activity. These pre-defined forms and analytical procedures are changed or supplemented to meet the relevant regulatory and non-regulatory changes that are identified by one or more Intelligent Agents that reside on a network, such as the Internet, and that are identified and entered manually by individual users. System functionality can be extended by importing related analytical techniques, such as geographic information systems capability, and by use of internet links to expand the flexibility of the system.

An EH&S system that implements the invention in one embodiment includes eight sections, illustrated in an example shown in Figures 8-19. Each E&S section has several functional modules that are responsible for different activities associated with tracking and creating reports on related activities and for providing links between the different modules in the same section and/or in another section. The sections and the input data and output data for these sections are as follows.

I. Product Stewardship

Input data:

- material/chemical information
- product information
- MSDS management
- product labeling
- ecology/toxicology studies
- pesticide information
- computer usage tracking
- allegations/inquiries tracking

Output data:

- material technical sheets
- vendor/outbound ANSI MSDS information
- products, products-in-process and waste labels
- risk assessment studies

FIFRA labels and reports
TSCA labels and reports
customer usage surveys
allegation/inquiry reports

5 **II. Incident Tracking and Prevention**

Input data:

emergency management
incident tracking
material/waste spills
10 near-miss tracking
hazards analysis and modeling
workplace safety
process safety management (PSM)

Output data:

15 emergency plans
emergency resources and mutual aid
incident notifications and agency reports
safety inspection reports
safety audit reports
20 management of change reports
PSM and project review reports

III. Personnel Health and Safety

Input data:

25 personnel information
personnel demographics
training plans
injury and illness tracking
workers compensation and disability events
industrial hygiene (IH)
30 occupational medicine

epidemiological trend analysis

Output data:

- personnel profiles and histories
- personnel locations and personnel protection equipment
5 (PPE) use
- training reports
- OSHA and internal injury/illness reports
- workers compensation and disability reports
- IH monitoring, plans and reports
- 10 medical screening reports
- epidemiological studies

IV. Hazardous Materials and Waste

Input data:

- materials management
- 15 shelf life tracking
- waste stream information
- waste manifesting
- waste accumulation and storage
- on-site waste treatment and disposal
- 20 hazmat and waste labeling
- pollution prevention
- site remediation

Output data:

- 25 SARA state/local inventory reports
- shelf life reports
- vendor and internal waste profiles
- manifests, LDR and exception reports
- EPA hazardous waste reports
- waste facility permit applications
- 30 NFPA/HMIS waste labels

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waste minimization reports

V. Environmental Releases

Input data:

air emissions

5

water discharges

leak detection and repair

emission reduction credits

soil discharge and stormwater monitoring

groundwater and water quality

10

toxic chemical releases

permit management

permit conditions and exceedence monitoring

Output data:

air emission inventory and fee reports

15

LDAR reports

emission reduction reports

discharge monitoring reports

groundwater sampling reports

toxic release inventory reports

20

permit applications and compliance reports

exceedence reports

VI. Regulatory Requirements

Input data:

environmental audits

25

inspections

requirements management

regulatory issue tracking

compliance and corrective action plans

legislation tracking

30

regulations

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regulatory list management

Output data:

audit reports

inspection reports

5 requirements reports

company and site issue reports

corrective action plan reports

legislative action reports

regulation profiles

10 regulatory list tracking

VII. Facilities Management

Input data:

site physical information

site organization information

15 customer and vendor information

process information

equipment/training information

project and task management

sample tracking

20 EH&S cost tracking

enterprise reference data

Output data:

site profile reports

customer and vendor reports

25 process history and operations reports

equipment/training reports

project and task reports

sampling and COC reports

EH&S cost reports

30 enterprise data lists

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VIII. Tools:

- data entry form creation
- data import/export
- custom fields
- 5 custom processing
- report creation
- output from report creation
- document creation
- query/data view creation
- 10 print. facsimile, e-mail paging
- alert rules and messaging
- imaging
- geographic information systems
- task management and work flow
- 15 on-line help
- archiving
- security

The Product Stewardship section includes databases that provide relevant information on chemical and physical properties of materials used at a facility, product handling information, ordinary and special hazards associated with a material consumed, processed and/or produced at the facility, and environmental health and safety (EH&S) assessments. This section can create a Materials Safety Data Sheet (MSDS) in a plurality of languages, using pre-set phrases linked to the EH&S assessments, and the 25 MSDS can be distributed to selected recipients using the system's MSDS distribution system (facsimile, e-mail, hard copy, etc.). This section permits a user to perform life cycle analyses on selected materials. MSDS image files can be created and stored within the system and/or can be converted to an ANSI standard 16-section format for HAZCOM viewing. A user can also 30 create HAZCOM warning labels that comply with NFPA and HMIS

requirements. This section also tracks material imports and exports, as well as pre-manufacture notifications, ecology-toxicity studies, allegations received concerning discharges, and inquiries concerning manufactured chemicals. This section also provides for pesticide reporting under FIFRA.

5 The Incident Tracking and Prevention section captures and accumulates information on all environmental releases and discharges and all injuries and illnesses at the facility. This section includes a listing of incident command structures, listings of qualified emergency response personnel, responsibilities for emergency responders and emergency procedures, including checklists.

10 This section identifies hazards associated with, and emergency response information for, materials that may be released. A Geographic Information System (GIS) tool is included that can be used to graphically display incident information, locations of nearby toxic, reactive, ignitable and/or corrosive chemicals and of the closest emergency response equipment. This section

15 provides agency reportability determination for SARA and CERCLA releases and provides follow-up notifications for the appropriate agencies. Associated statistical tools allow statistical analysis of incidents to identify possible trends. Environmental releases, permit excursions, injuries and illnesses at the facility can be accumulated for a selected division or facility or for an

20 entire enterprise to create reports for SARA, OSHA and internal reporting requirements. Incidents that result in workers compensation issues and/or in risk management issues can also be identified and tracked.

 The Personnel Health and Safety section is the main repository of employee information and allows scheduling, monitoring and tracking of

25 events involving industrial hygiene, safety and/or occupational medicine. All types of industrial health surveys are supported, including chemical, noise, heat stress, radiation and ergonomics. Results of occupational medicine examinations, including physical exams, health history questionnaires, respirator fit tests, EKG exams, audiometric exams, pulmonary function

30 tests, vision tests, x-ray exams and drug screening, can be accumulated and

analyzed. This section captures and accumulates employee demographics, primary and secondary job classifications, job activities, and employment histories. This section is integrated with other sections to create process surveys and analysis plans for exposure groups that can be selected by
5 industrial hygiene and safety personnel. This section aids in identification of training needs associated with a job, a location or a regulatory requirement. Groups of persons that need particular training can be identified, and content of appropriate training courses and follow-up courses can be determined. Costs associated with all examinations and training activities can be captured
10 and examined.

The Hazardous Materials and Waste section tracks a material's arrival at the facility, the maximum quantity stored, distribution and use of material at the facility, movement, and consumption and disposal of material at the facility. Material tracking provides information to support SARA
15 notifications and release reporting and allows a user to generate waste profiles, hazardous waste manifests and related DOT shipping information. This section maintains a library of previous manifests, tracks the status of manifest copies, and captures and notes discrepancies and modifications, if any, vis-a-vis an earlier manifest. The manifest information, once created, is
20 rolled up to produce RCRA state and federal waste summary reports. This section also provides for authorization, stocking, inventorying and re-ordering of material to ensure that required materials are always available. Pollution prevention projects, source reductions, waste minimization and
waste tracking against user goals can be implemented within this section to
25 meet internal and/or external targets. The section provides mass and energy balance tracking for selected processes and/or selected equipment.

The Environmental Release section captures necessary data to create agency reports of releases to air, water or other liquids, and land. Air release information can be captured for Title V requirements, risk management
30 plans, air emissions inventory summaries, and leak detection and repair

programs. This section captures multimedia permit requirements for air, effluent discharges, stormwater, water quality and waste facility permits. Permit dates and imposed conditions can be monitored using automatic screen alerts or e-mail messages. Tracking of calibration events, samples, analysis requests and laboratory reports are implementable within this section.

The Regulatory Requirements section provides additional tools that are useful in implementing and managing EH&S compliance, including identification of all internal and external requirements in order that the facility be allowed to operate. This section also identifies who is responsible for compliance with a particular requirement. This section can be used to determine if, and how, proposed regulations will affect facility operations by providing access to material, equipment and process information to which the regulations may be applied. Reference information, such as checklists and current regulations, are available through this section or by use of links to Internet data sources. Compliance documents, interpretations, procedures and work plans can be stored and shared with all affected persons and organizational units. The status of work plans, tasks and activities can be tracked and reported. Audit scheduling, audit findings and corrective actions scheduled and implemented can be identified and reported to provide feedback on the effectiveness of the facility's compliance program. This section provides an effective tool for designing and implementing an ISO 14000 compliance program for a facility.

The Facilities Management section is a cross-functional sub-system that maintains site-specific and enterprise data. This section captures geographic information, organizational structures, equipment specifications, operating information, calibration requirements, maintenance schedules, vendor information and user-defined checklists. This section also captures relevant process information and data, site disposal activities, products manufactured, unit operations, and simulation of process scenarios and recipe information. A user can profile land use wildlife resources and cultural resources present,

and sensitivity of selected receptors. This information can be presented spatially, if desired, using the GIS capability.

Figure 8 is an image of a screen showing the invention with an EH&S business solution, referred to as "GreenSuite", enabled in the main menu.

5 Figure 9 shows the business groups for a business area within the EH&S business solution. Figure 10 shows an example of a WorkList. Figure 11 shows an example of a configuration tool used to create WorkLists. Figure 12 shows an example of a data entry form. Figure 13 shows an example of a configuration tool used to create data entry forms. Figure 14 shows an
10 example of a report. Figure 15 shows an example of a configuration tool used to create reports. Figure 16 shows an example of processing results. Figure 17 show an example of configuration tool used to create data processing. Figure 18 shows an example of a document. Figure 19 shows an example of a configuration tool used to create documents.

15 In summary, the system accepts new data and forms and changes to existing data and forms, determines links of each entered data item to one or more of the sections and modules within a section, adds the data item to, or uses the data item to upgrade an extant data item within, one or more modules, and implements any quantitative or qualitative changes that should
20 be made in the remainder of the system as a result of entry of the data item.

The system also provides tools, including formulas, algorithms, functional descriptions and presentation formats that use one or more already-entered data items to compute or obtain one or more values that can
25 be (1) presented as an output value for a report or other presentation on facility operations and/or (2) used to determine whether the facility complies with relevant regulations and/or (3) used to indicate an affirmative response corrective action to be taken or already taken in facility operations.

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APPENDIX

This Appendix provides definitions for various objects used in the invention.

5 The invention in one embodiment uses a "thin client" approach in a client/server mode, in which a relatively unsophisticated client server at the user's site is connected through the Internet or another network to a server that provides one or more databases of information and provides substantially all of the analysis and processing capability for this information. A client or end user enters certain characteristics of information that the user wishes to
10 obtain or process, and the server helps the user to build one or more queries that present the request to the database(s) in a form the database(s) can respond to provide all the information the user has requested.

This "thin client" approach allows the combined server/client system to take advantage of the separate strengths of the server (simple and/or complex
15 database structures, use of on-line transaction processing tools) and of the client (use of GUI, Windows and Windows applications) without requiring unnecessary duplication of these capabilities. After the user has disconnected from the server, no server programs remain on the user's terminal. This approach requires only modest user terminal capabilities (20 Mbytes of hard
20 drive space, 8 Mbytes of RAM, a PC or Macintosh or Sun terminal with a mouse, Netscape Navigator 4.1+ or Internet Explorer 4+) and TCP/IP communications capability. The server or host terminal provides all of the database capability and most of the processing power and preferably includes a database structure such as Oracle 7.3+, 2 Gbytes of hard drive space, 256
25 Mbytes of RAM and TCP/IP capability.

Introduction of some definitions is appropriate here. A "database" is a collection or group of objects that holds various related information items. This information is divided into tables, views, columns and rows, and an object is identified by its name and/or icon in a database.

A "table" is a structure that holds data in a database, often as one or more two-dimensional structures divided into rows and columns. An example of a table is a spreadsheet. A table is often referred to as a physical file.

5 A "view" is an alternative representation of data in a table and may appear as one or more columns and/or one or more rows. The data attributes can change according to the format in which a view is presented. A view may be an overlay of a table structure but does not replace the table. A view is often referred to as a logical file.

A "base table" is a table that is referenced in a view or a query.

10 An "image" refers to a document image on a screen or a Web page that can be called up and viewed, printed, transmitted and attached to a relevant business record.

15 A "parent" table, view or form may provide information that is used directly to help construct or supplement a corresponding "child" table, view or form.

20 A "column" is one or more vertically oriented parts of a (two-dimensional) Table and is identified by specifying specific information in a table. Each column will have one data type (character, decimal, hexadecimal, integer, alphanumeric, etc.). A row-column intersection is often referred to as a field.

A "foreign key column" is a column whose data source is a parent primary key column.

25 A "row" is one or more vertical parts of a Table and consists of a selected sequence of values drawn from one or more columns -- one value for each column. Row entries are actual data in a table. A row is often referred to as a record.

30 A "query" is a request to select, format and process/analyze one or more rows of data in a table and can operate on one or more tables. A query must specify (1) where the requested data are stored, (2) what are the common elements, if any, of the tables and/or views to be searched, (3) what

data item(s) (usually, one or more columns) the user wishes to select, and (4) what criteria are applied to a data item. A query provides reporting Capability and processing/data analysis capability, using spreadsheets and other tools.

5 A "query editor" receives a user request and takes the user through all steps required to build a query to which the system can respond. A query definition is created in Structured Query Language (SQL). A query editor stores the information needed to create an SQL statement.

10 A "query filter condition" is a method for applying restrictions on data retrieved by a query.

A "trigger event" is an action performed by a user of the system that initiates another action or set of actions.

A "form level trigger" is part of a form application and is activated only when a specific trigger point is executed with the form application.

15 A "stacked area chart" is a bar type chart in which different data components are displayed as separate regions on a single, vertical or horizontal bar.

A "report filter" is a method for applying restrictions on the data retrieved by a report.

20 A table "join" reassembles the data that appears in a full row, using common columns that exist in two or more tables to associate the data. Stated more abstractly, a table join expresses a relationship between two or more rows of data in logically distinct tables.

25 An "inner join," also referred to as an "equal join," is the most common join type, returning or associating rows that match between common columns in two or more tables. An "outer join" returns or associates all rows in two or more tables, whether or not the rows match.

30 A "direct join" occurs when two or more Tables being joined together share a common column. An "indirect join" occurs when two or more tables being joined together do not share a common column; in an indirect join, one

or more intermediate tables may share one common column with one table being joined and share another common column with another table being joined.

5 When a table join is created between a first table and a second table, the relationship created between the two tables may be one-to-many, with each record in the first table being unique, and with many corresponding records in the second table. This is the preferred data representation and provides accuracy. An alternative relationship, usually undesirable because of the possibility of duplication, is many-to-many, in which at least one record in
10 each of the first and second tables is not unique. For example, multiple records in the first table may match multiple records in the second table.

An "expression" applies specified operations to data and defines row selection criteria, for example, by determining which rows of data will be returned in response to a query.

15 A "parameter" is a procedure created within the system to return a value in response to a query. For example, a parameter may be created to return a location name, a threshold value of some variable, or a begin date or end date. A parameter may be changed each time the (same) query is executed. A value, to be returned to the requestor, may be placed into a
20 parameter in either of two ways: (1) a default value is entered and (ii) a value is entered after the associated procedure is run. A value is entered into the parameter at process run time, and this value is used (1) to define a new result column or (2) in an expression, to define one or more selection criteria for the number of rows returned by the query. A result column applies
25 specified operations to data and returns a new column of data. An SQL function and arithmetic operators can be used to create a result column. a result column can be used to provide several data types, including calculated values, summary values and data processing values.

An SQL function performs operations on data and returns specific values based on the results of those operations. An SQL function may be applied to a unique data type, such as numeric, alphanumeric, character or date data, or may be used in a query definition to define a result column or an expression. A SQL function may be used in a query definition to define a result column or an expression.

Arithmetic function processing manipulates numeric data, for example, by performing arithmetic, logarithmic, trigonometric and/or statistical operations. String function processing manipulates alphanumeric data, including the operations of combining, extracting and movement of character locations. Data function processing manipulates date data to perform, for example, delay time arithmetic. The arithmetic functions include summation, subtraction, formation of an absolute value and of a trigonometric value for a numeric data item. A string function combines a plurality of strings, to form concatenated expressions, and extracts one or more characters from a string.

A "set function" groups data according to common values and returns a single summary row. A set function determines the values returned for a result column.

Date operations, one of the most common uses for a result column, include (1) conversion of date data into a desired format (such as MM/DD/YYYY), (2) conversion of string data into a date value, calculation of days remaining in a given month, and (4) calculation of the date and day one year ago. Date processing involves conversion of column values to a formatted date string, including specification of century (CC, SCC), year (SYYY, YYYY, YEAR, SYEAR, YYY, YY, Y), quarter (Q), month (MONTH, MON, MM, RM), day (DDD, DD), starting day of the week (DY, D), same day of the week as first day of the year (WW) and same day of the week as first day of the month (W).

The system also employs the Boolean connectives "AND" (in which both conditions must be satisfied in order for a row to be included in the

result set), "OR" (in which, if either of the conditions is met, a row is included in the result set) and "GROUP" (), which organizes data between the parentheses for processing.

A database developer usually has several design goals, including (i)
5 maximization of the amount of database information available and (ii)
minimization, if not elimination, of duplication of information in the
database. These two goals are sometimes at odds with each other. A typical
database will have multiple tables, chosen to help achieve the goal of
minimum duplication. This minimum duplication goal is sometimes helped by
10 breaking a full row of data into separate tables.

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What Is Claimed Is:

1. A system for monitoring processing and disposition of at least one material used in a business at a facility, the system comprising:

a first database that provides product stewardship for at least one selected material that is received, created, consumed or produced as a waste product at the facility, the first data base including information on at least one product produced at the facility, information on ecological and toxicological studies performed at the facility, information for production of a Materials Safety Data Sheet (MSDS) for at least one material used at the facility, and tracking of allegations and inquiries concerning operations at the facility; and

at least one additional database, drawn from the following group of databases:

a second ^{application} database that allows tracking and prevention of selected incidents involving unintended discharge of a material at the facility, the second database including information on response to at least one type of emergency at the facility, information on tracking of at least one incident at the facility, and safety information on at least one process used at the facility;

a third database that provides information on and monitoring of personnel health and safety at the facility, the third database including information on demographics of personnel working at the facility, information on personnel training, information on safety measures implemented at the facility, injuries and illnesses experienced by at least one worker at the facility, and information on industrial hygiene and occupational medicine studies carried out at the facility;

a fourth database that provides information on and monitoring of hazardous materials and hazardous waste, the fourth database including information on at least one hazardous material used at the facility, tracking of at least one waste material produced at the facility, information on at

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pollution prevention measures and on site remediation measures implemented at the facility;

a fifth database that tracks a controlled release or discharge of a material to the environment, the fifth database including information on discharge of at least one hazardous substance into at least one of the air, the water, the groundwater and the soil at the facility, and information on at least one toxic chemical release at the facility;

a sixth database that provides selected information on regulatory requirements for receiving, handling, processing or producing hazardous materials, the sixth database including information on at least one environmental audit conducted at the facility, information on regulatory lists used at, and on regulatory issues concerning, the facility, and information on at least litigation issue concerning the facility; and

a seventh database that provides selected information on management of the facility, the seventh database including information on at least one of the physical structure and the organizational structure at the facility, information on tracking of at least one equipment item at the facility, and information on at least one process used at the facility;

a tools module that provides software for at least one of creation of a report on operations at the facility, creation of formulas and expressions for a report on operations, creation of at least one image for a report on operations, archiving of at least one record on operations, and security measures implemented at the facility, and that implements entry of one or more changes in regulatory and non-regulatory requirements for the business without requiring manual reprogramming (of the tools module software) and

a relational database management module that links each database to each other database and to the tools module so that an information item, once entered, becomes available to each database and to the tools module.

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Abstract of the Invention

An integrated system for managing changes in regulatory and non-regulatory requirements for business activities at an industrial or commercial facility. Application of this system to environmental, health and safety activities, and to food, drug, cosmetic, and medical treatment and device activities, are discussed as examples. The system: provides one or more databases that contain information on operations and requirements concerning an activity or area of business; receives information on regulatory and non-regulatory changes that affect operations of the business; converts these changes into changes in data entry forms, data processing and analysis procedures, and presentation (by printing, electronic display and/or distribution) of data processing and analysis results to selected recipients, without requiring the services of one or more programmers to re-key and/or reformat the items affected by the change; and implements receipt of change information and dissemination of data processing and analysis results using the facilities of the Internet.

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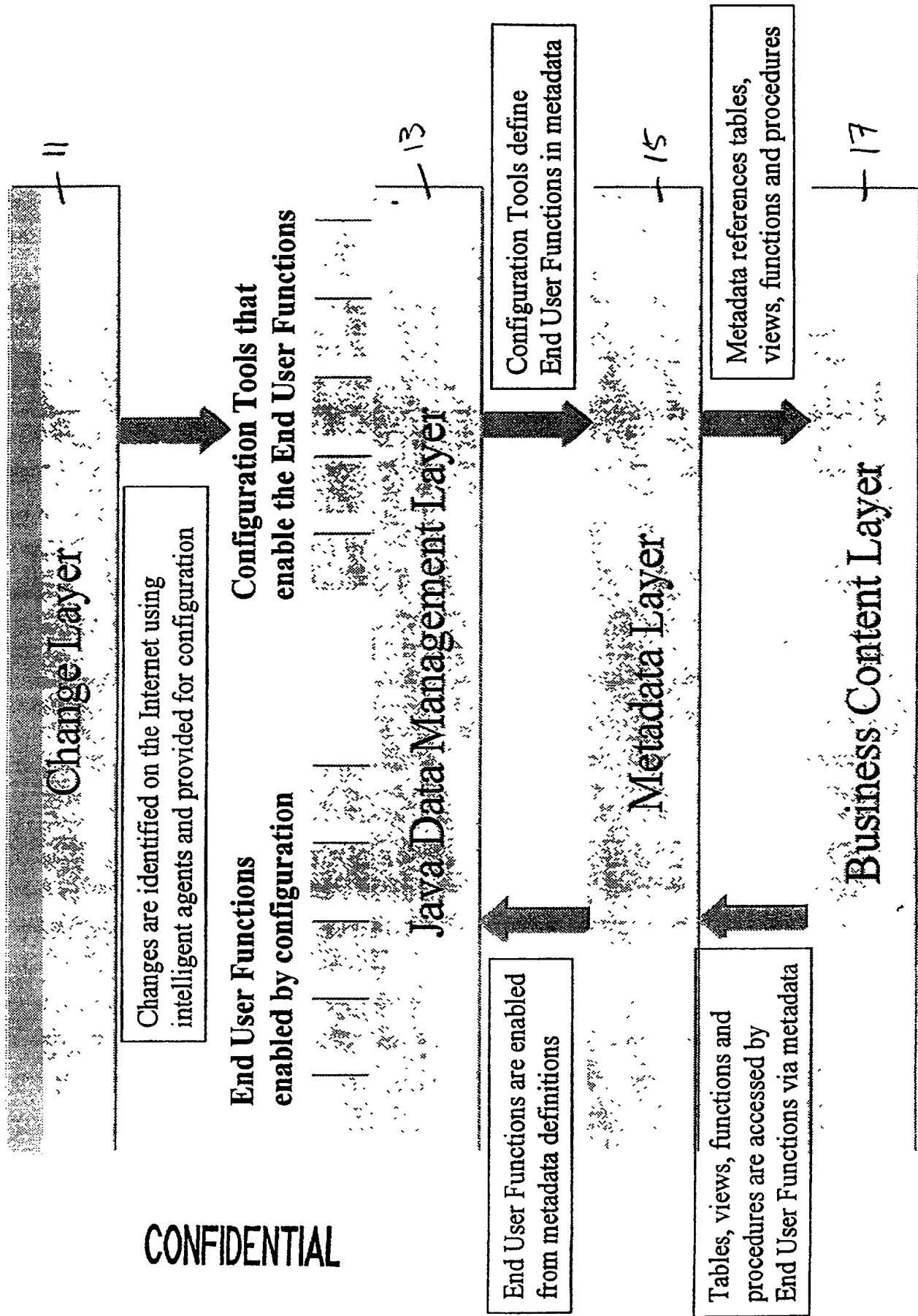


FIG 1

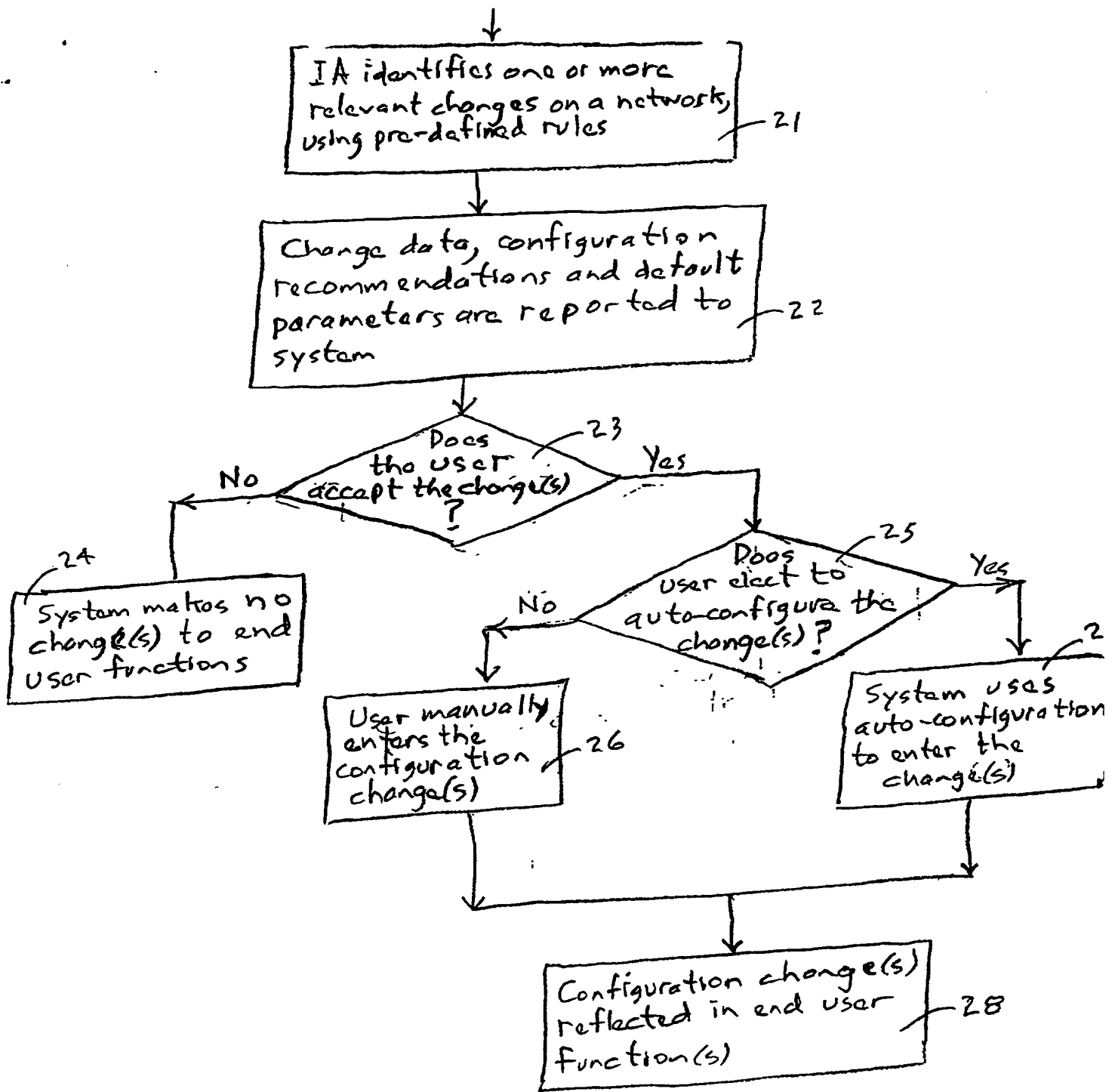


FIG. 2

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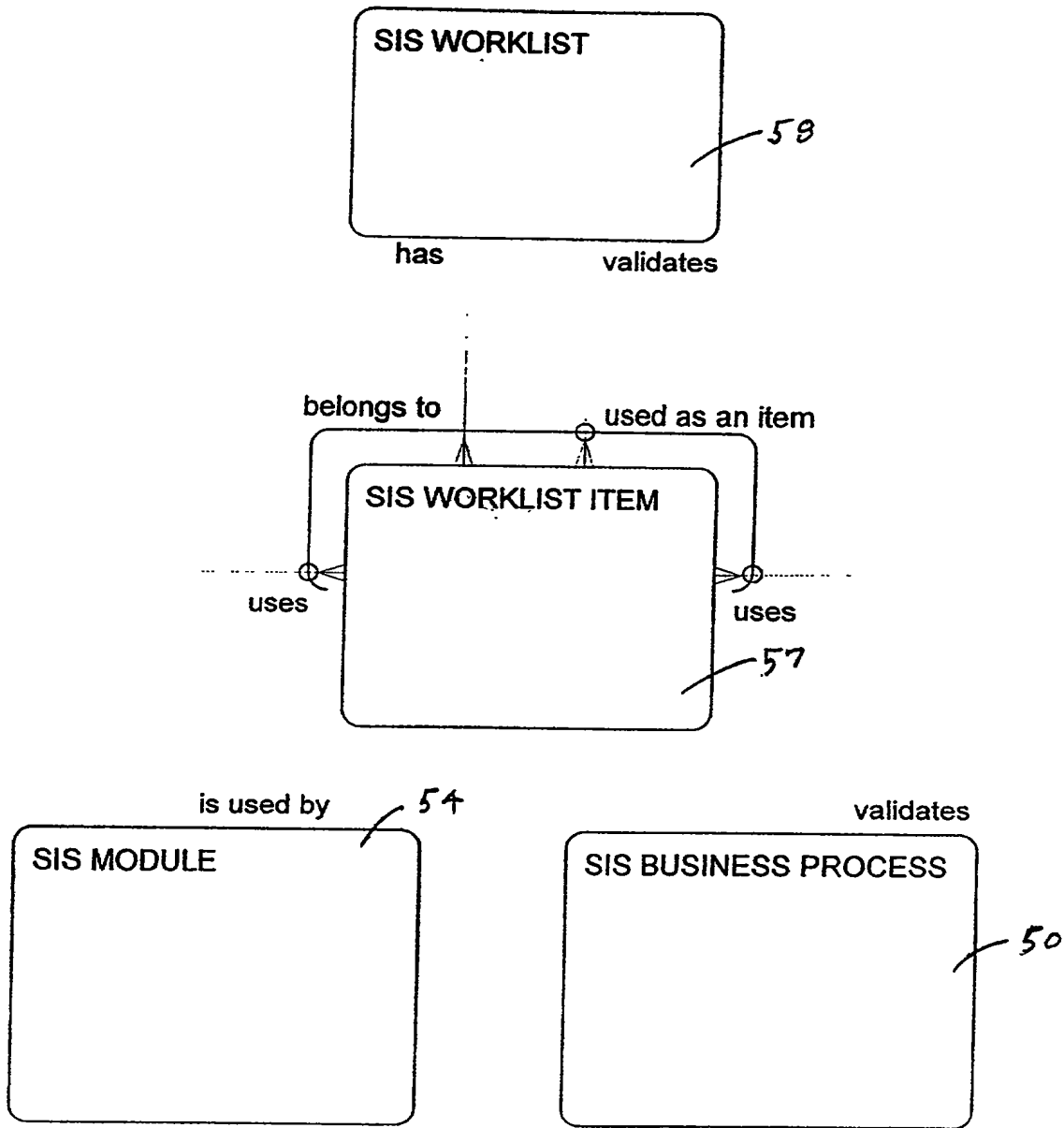
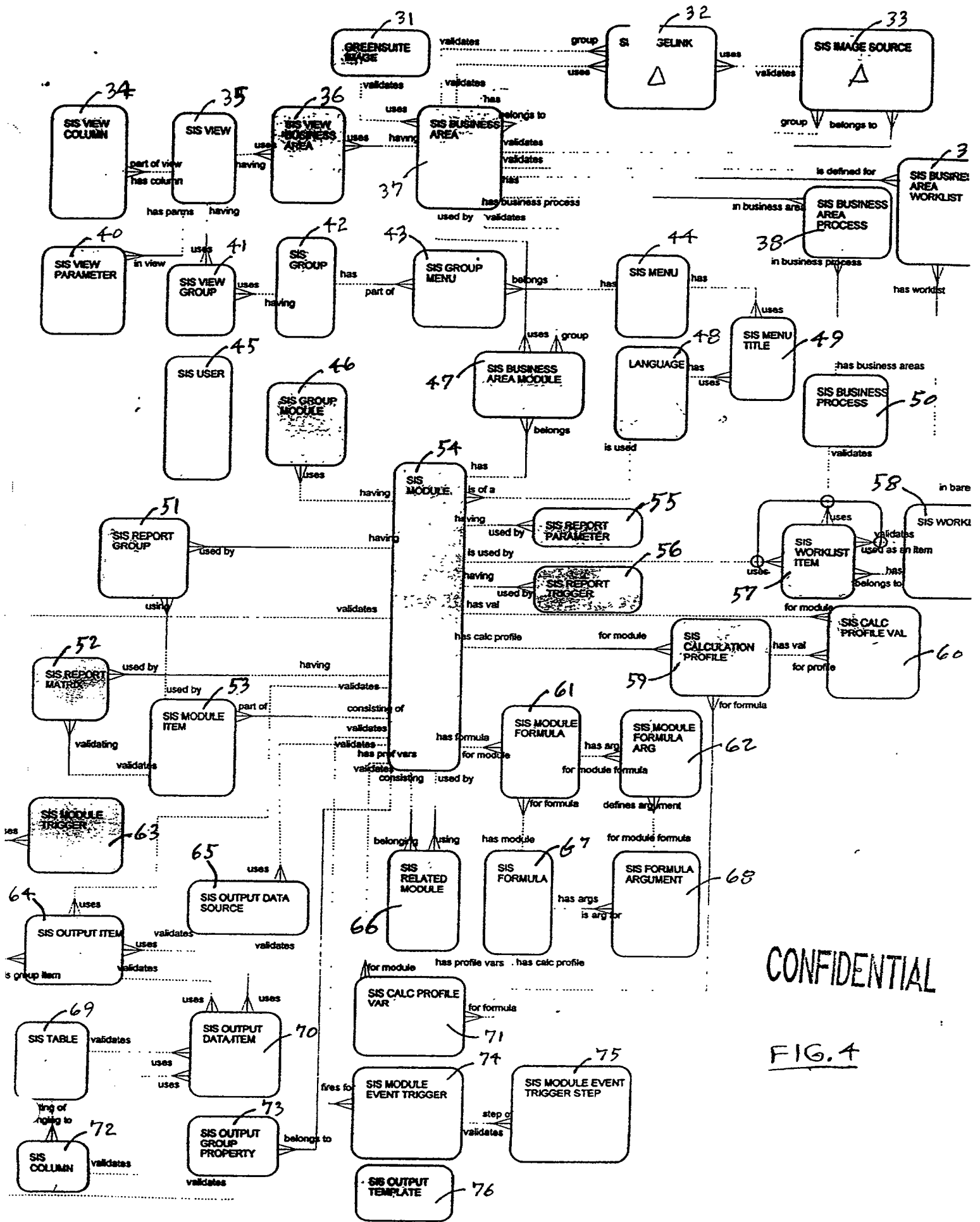


FIG. 3

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FIG. 4

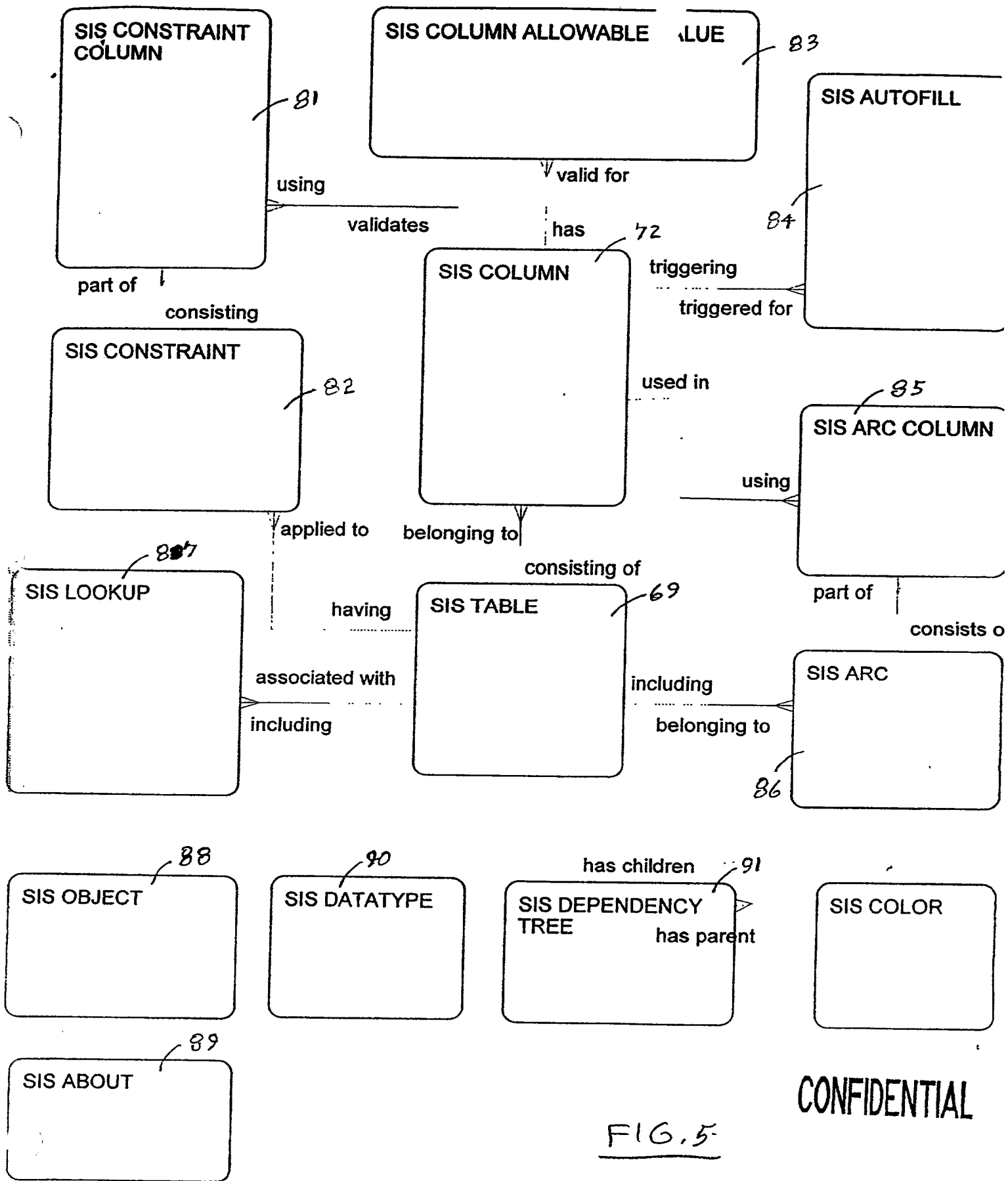


FIG. 5

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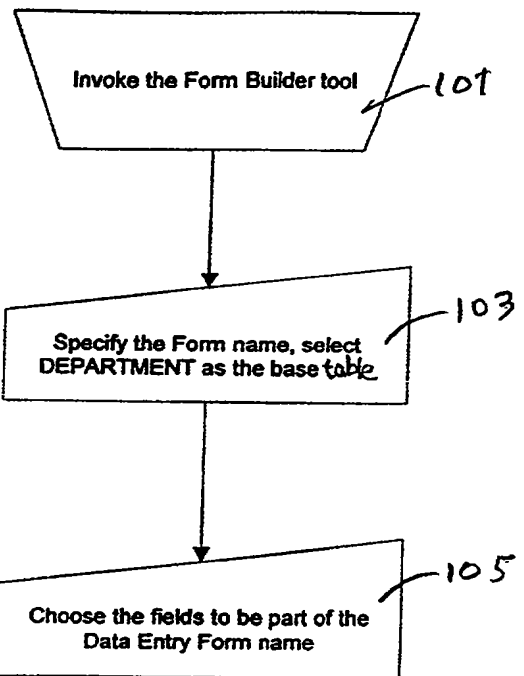


FIG. 6

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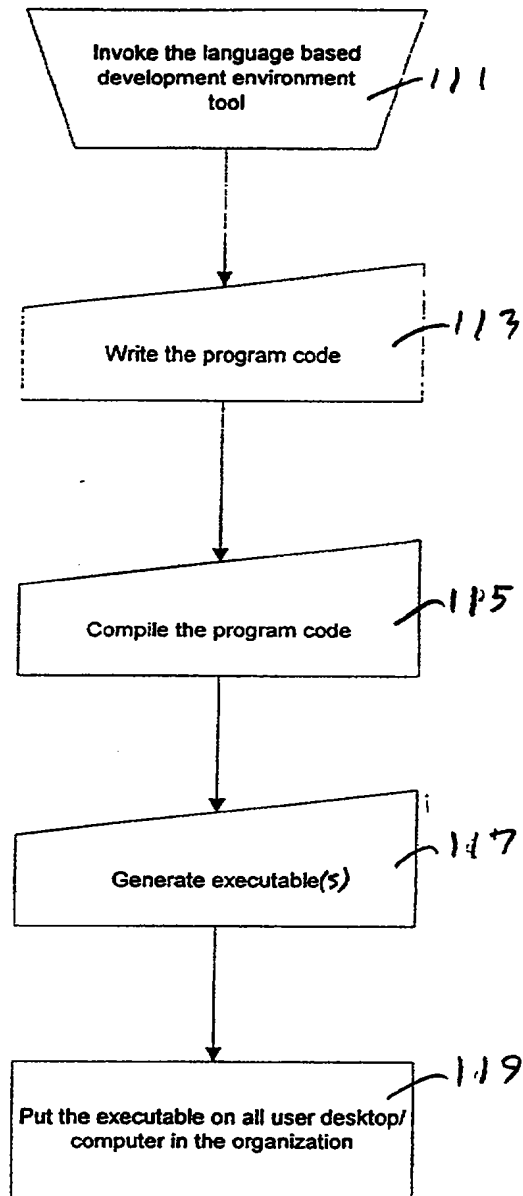


FIG. 7

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Change Agent Management Unit Main Menu

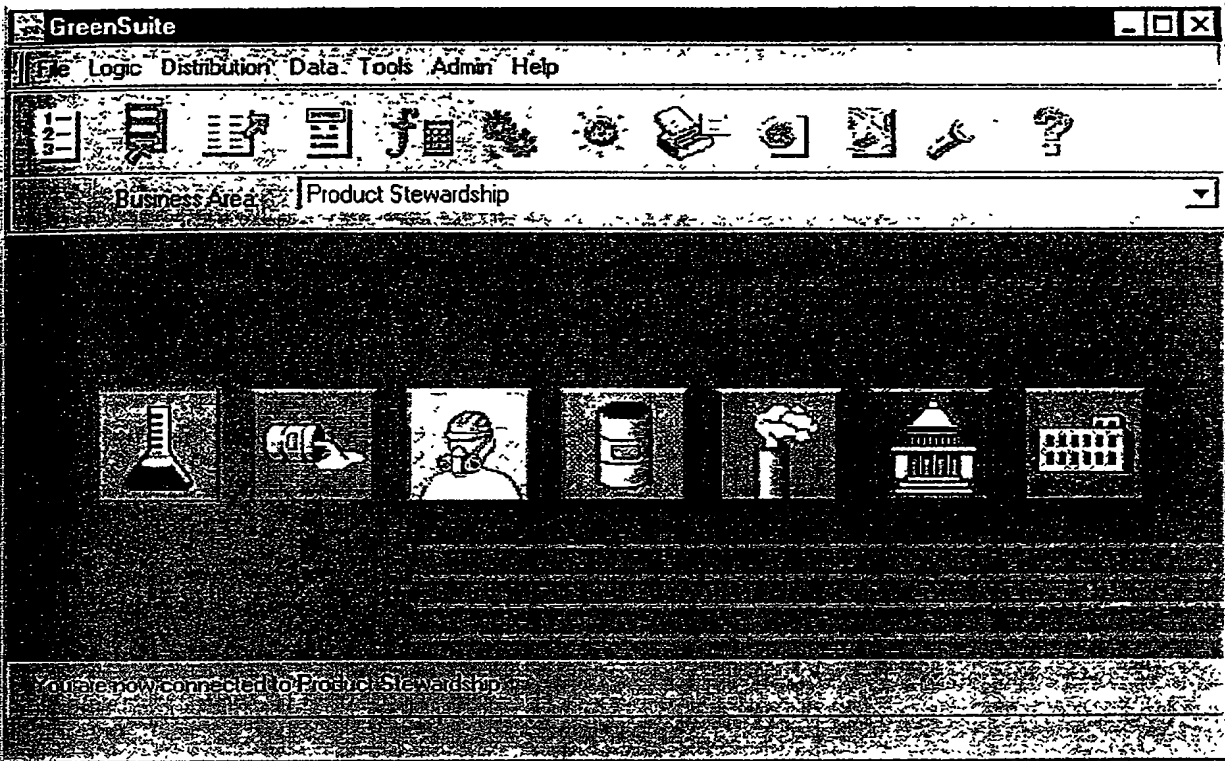


FIG. 8

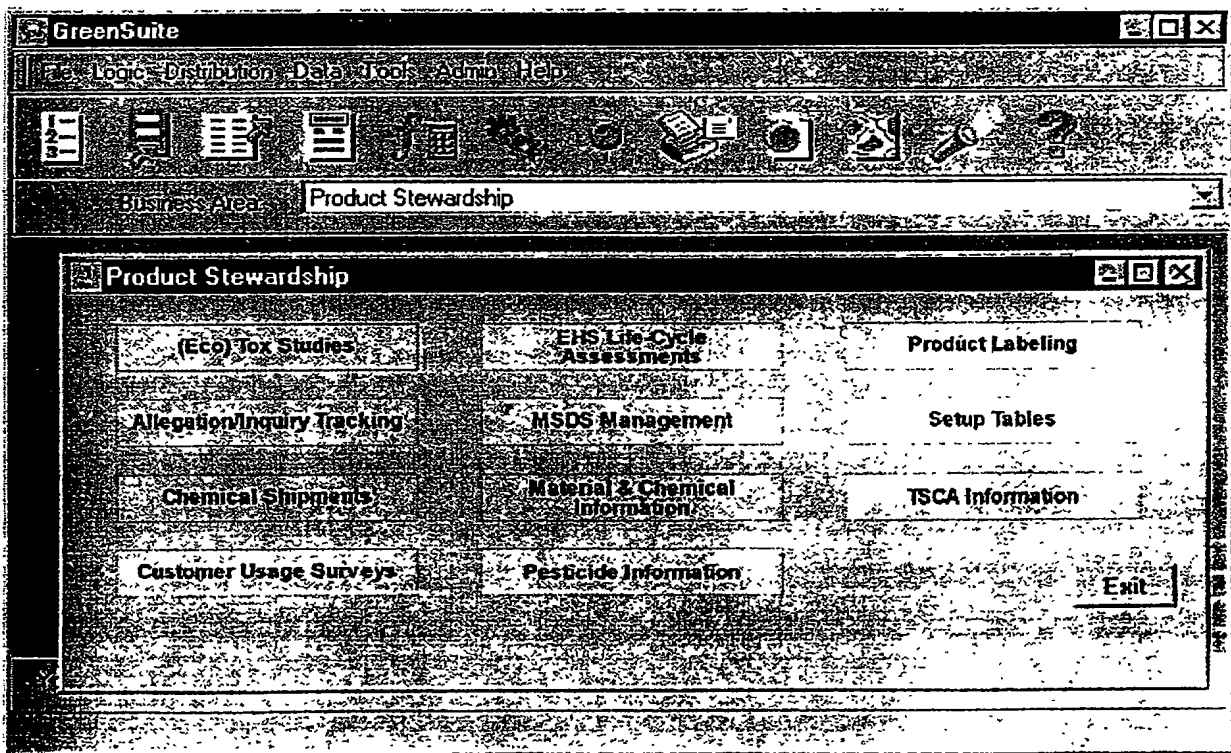


FIG. 9

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WorkList and Set Up WorkList

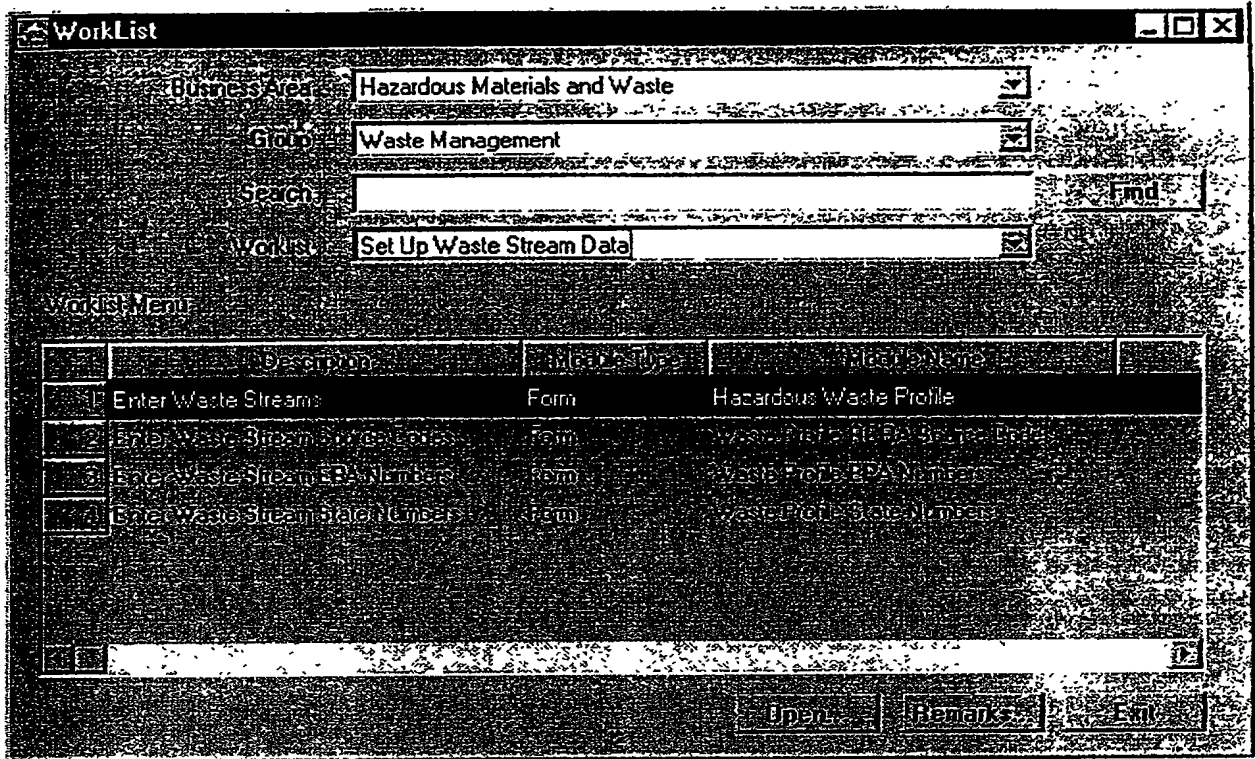


FIG. 10

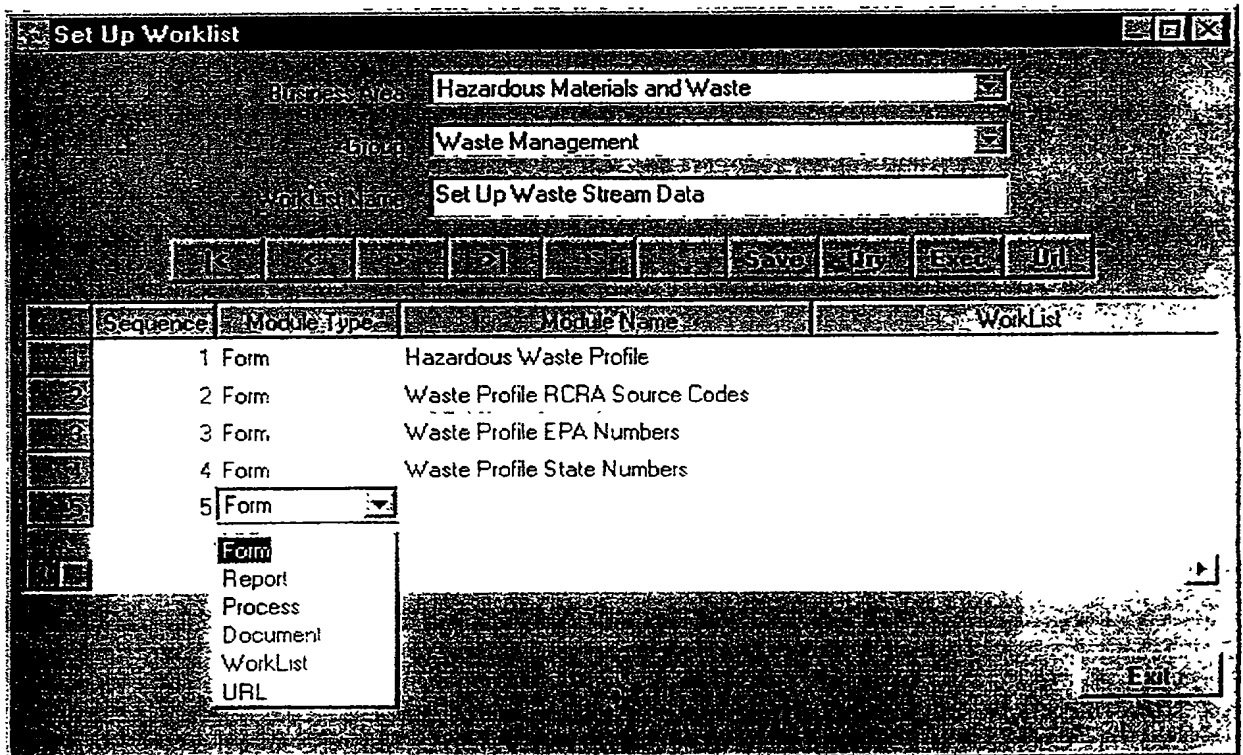


FIG. 11

Data Entry Form and Edit Form

Data Entry Form - Air Emission Amount

Monitor: null

Material Chemical: Volatile Organic Compounds

Estimator Base: Estimate Based on AP-42 Emission Factors

Emission Calculation Date: select NATGAS_UNCONTROLLED_LBSYR(5.50,112.82) rslt from dual

Estimator Method:

FIDCS Base: 112.82

Base Unit of Measure: MMcft/yr

FIDCS Code: 55

Keyboard shortcuts: K, S, D, E, P, V, M, N, F

FIG. 12

Edit Form: Table Selection

Form Name: Air Emission Amount

Table Name: AIR EMISSION AMOUNT

Available Fields:

- AIR PARAMETER
- AIR PARAMETER2
- USERCOL2
- USERCOL3
- USERCOL4
- USERCOL5

Selected Fields:

- ID
- FACILITY
- SOURCE LOCATION
- SOURCE CATEGORY
- SOURCE PROCESS
- PARAMETER
- SOURCE EQUIPMENT UNIT
- SOURCE PERMITTED UNIT
- SOURCE EMISSIONS

Buttons: Form Properties, Find, Next, Cancel

FIG. 13

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Report and Report Builder

Report printing

Air Emission Fees

RUN DATE	Fee Year	Pollutant	CAS Number	Emissions
1998-12-03 10:42:54.0	1998	Formaldehyde	50000	1.1680
1998-12-03 10:42:54.0	1998	Benzene	7143203210	.5935
1998-12-03 10:42:54.0	1998	Particulate Matter - PM10	789779	.5625
*				
1998-12-04 15:39:36.0	1998	Formaldehyde	50000	1.1680
1998-12-04 15:39:36.0	1998	Particulate Matter - PM10	789779	.7085
1998-12-04 15:39:36.0	1998	Volatile Organic Compoun	5659789	.4016
1998-12-04 15:39:36.0	1998	Benzene	7143203210	.5935
*				
1998-12-04 15:39:55.0	1998	Formaldehyde	50000	1.1680
1998-12-04 15:39:55.0	1998	Volatile Organic Compoun	5659789	.4016
1998-12-04 15:39:55.0	1998	Benzene	7143203210	.5935

Print Save Help

FIG. 14

Report Builder--Table/Views

Report:

Table:

Columns:

RUN	LOCATION_NAME
	POLLUTANT_CAS_NUMBER
	POLLUTANT_FEE
	POLLUTANT_NAME
	REPORTING_YEAR
	RUN_DATE
	TOTAL_EMISSIONS_TONS

Buttons: Add View, Save, Print, Help

FIG. 15

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Run Process Results and Advanced Query Builder

Run Process Results

Process:

	INCIDENT DATE	LOCATION NAME	CAS NUMBER	MATERIAL NAME	QUANTITY RELEASED
1	03/23/1998	ABC Company	7782414	FLUORINE	
2	09/08/1998	ABC Company	7782414	FLUORINE	
3	03/23/1998	ABC Company	359068	FLUOROACETYL CF	
4	09/08/1998	ABC Company	359068	FLUOROACETYL CF	
5	03/23/1998	ABC Company	50000	FORMALDEHYDE	
6	09/08/1998	ABC Company	50000	FORMALDEHYDE	
7	03/23/1998	ABC Company	2540821	FORMOTHION	
8	09/08/1998	ABC Company	2540821	FORMOTHION	
9	03/23/1998	ABC Company	3878191	FUBERIDAZOLE	
10	09/08/1998	ABC Company	3878191	FUBERIDAZOLE	
11	03/23/1998	ABC Company	22224926	FENAMIPHOS	
12	09/08/1998	ABC Company	22224926	FENAMIPHOS	

Print Exit

FIG. 16

Advanced Query Builder

Search Criteria: Refresh

Columns:

MD.MATERIAL_ID
RQ.MATERIAL_ID
RQ.REPORTABLE_QUANTIT
RQ.UOM_ID
UOMC.FROM_UNITS
UOMC.FROM_UOM_ID
UOMC.MULTIPLY_BY
UOMC.TO_UNITS
UOMC.TO_UOM_ID

MD.INCIDENT_DATE
MD.LOCATION_NAME
MD.CAS_NUMBER
MD.MATERIAL_NAME
MD.QUANTITY_LBS
RQ.REPORTABLE_QUANTIT
RQ.REGLIST_NAME

RQ_LBS

RQ.REPORTABLE_QUANTITY*M

REPORTABLE QUANTITY (RQ.REPORTABLE_QUANTITY * M)

FIG. 17

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Document and Document Builder

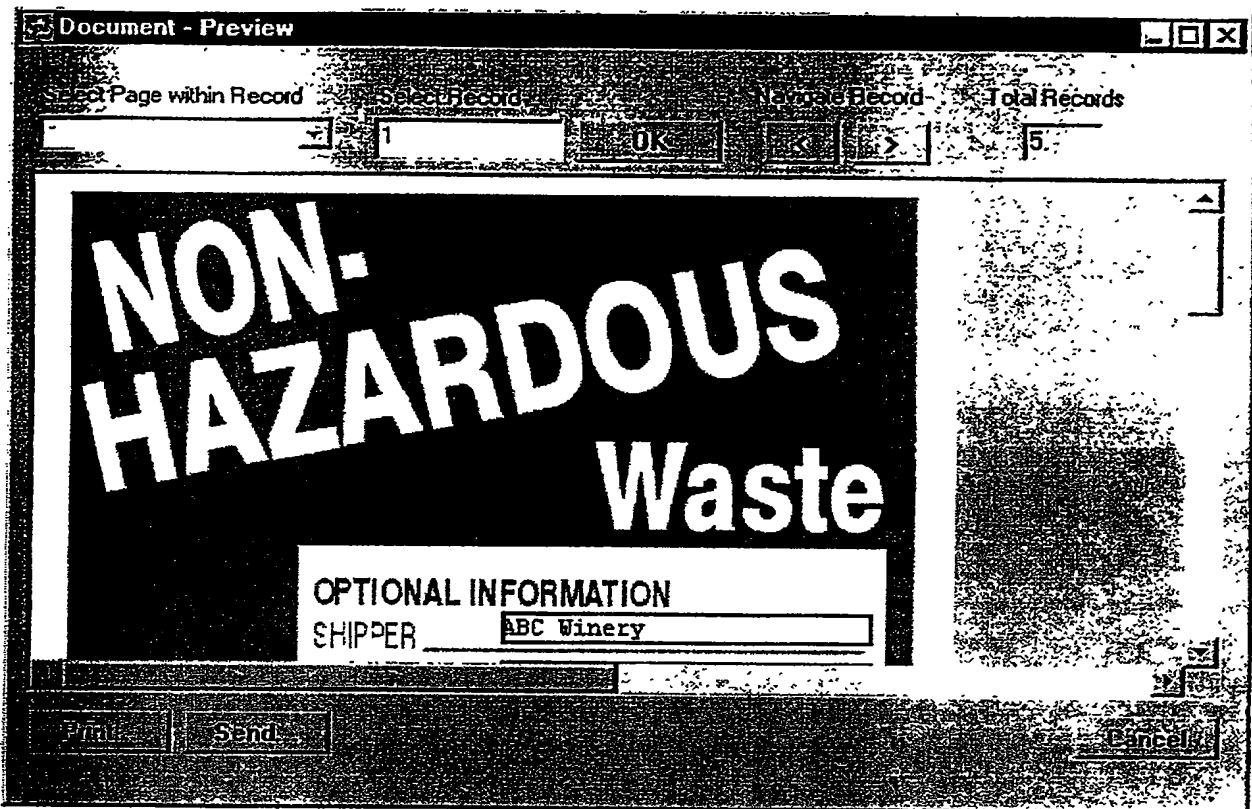
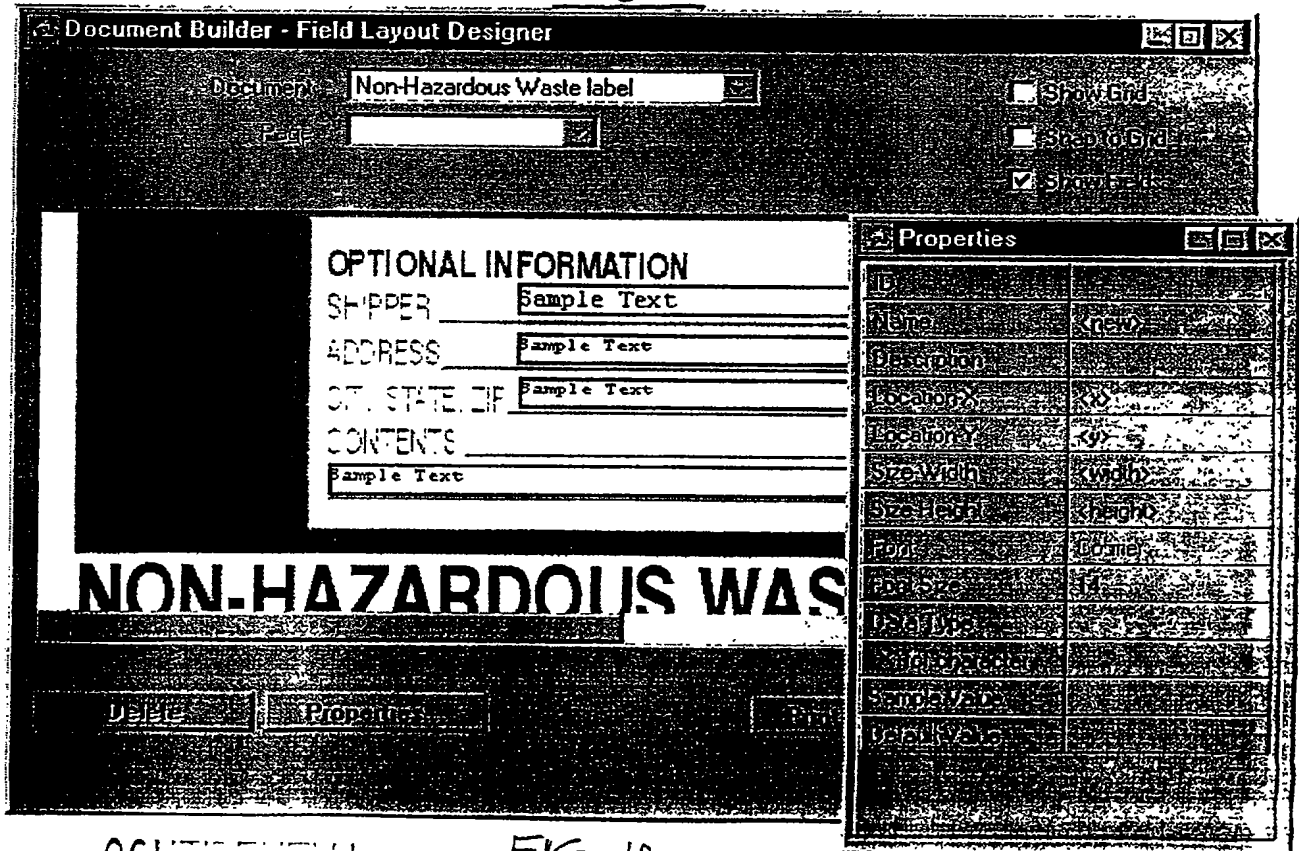


FIG. 18



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FIG. 19

Electronic Patent Application Fee Transmittal

Application Number:	12098154			
Filing Date:				
Title of Invention:	Integrated Change Management Unit			
First Named Inventor/Applicant Name:	Anthony T. Sziklai			
Filer:	C. Scott Talbot/Anna O'Connor			
Attorney Docket Number:	LUFK-001/01US			
Filed as Small Entity				
Utility Filing Fees				
Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Basic Filing:				
Utility filing Fee (Electronic filing)	4011	1	75	75
Utility Search Fee	2111	1	255	255
Utility Examination Fee	2311	1	105	105
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 (\$)				435

Electronic Acknowledgement Receipt

EFS ID:	3107826
Application Number:	12098154
International Application Number:	
Confirmation Number:	1656
Title of Invention:	Integrated Change Management Unit
First Named Inventor/Applicant Name:	Anthony T. Sziklai
Customer Number:	58249
Filer:	C. Scott Talbot/Anna O'Connor
Filer Authorized By:	C. Scott Talbot
Attorney Docket Number:	LUFK-001/01US
Receipt Date:	04-APR-2008
Filing Date:	
Time Stamp:	17:01:28
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$435
RAM confirmation Number	2211
Deposit Account	501283
Authorized User	

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

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Fee Worksheet (PTO-06)	fee-info.pdf	8384 c8ef62abe8ea6bf01d900803d34c3d79 005442e6	no	2

Warnings:

Information:

Total Files Size (in bytes):

8384

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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.

Filing Date: 04/04/2008

Approved for use through 7/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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 12/098,154						
APPLICATION AS FILED – PART I					SMALL ENTITY		OR		OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)									
FOR	NUMBER FILED	NUMBER EXTRA			RATE (\$)	FEE (\$)			RATE (\$)	FEE (\$)	
BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A			N/A	75			N/A		
SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A			N/A	255			N/A		
EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A			N/A	105			N/A		
TOTAL CLAIMS (37 CFR 1.16(i))	1	minus 20 = 0			X\$ 25	0			X\$50		
INDEPENDENT CLAIMS (37 CFR 1.16(h))	1	minus 3 = 0			X\$105	0			X\$210		
APPLICATION SIZE FEE (37 CFR 1.16(s))	If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$260 (\$130 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))					180				370		
					TOTAL	435			TOTAL	0	
* If the difference in column 1 is less than zero, enter "0" in column 2.											
APPLICATION AS AMENDED – PART II					SMALL ENTITY		OR		OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)		(Column 3)							
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA		RATE (\$)	ADDITIONAL FEE (\$)			RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X =				X =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X =				X =	
	Application Size Fee (37 CFR 1.16(s))					N/A				N/A	
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					TOTAL ADD'T FEE				TOTAL ADD'T FEE	
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA		RATE (\$)	ADDITIONAL FEE (\$)			RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus	**	=	X =				X =	
	Independent (37 CFR 1.16(h))	*	Minus	***	=	X =				X =	
	Application Size Fee (37 CFR 1.16(s))					N/A				N/A	
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))					TOTAL ADD'T FEE				TOTAL ADD'T 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.											

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.

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 12/098,154	Filing Date 04/04/2008	<input type="checkbox"/> To be Mailed
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APPLICATION AS FILED – PART I			OTHER THAN SMALL ENTITY				
	(Column 1)	(Column 2)	SMALL ENTITY <input checked="" type="checkbox"/>	OR			
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)		RATE (\$)	FEE (\$)
<input type="checkbox"/> BASIC FEE <small>(37 CFR 1.16(a), (b), or (c))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> SEARCH FEE <small>(37 CFR 1.16(k), (l), or (m))</small>	N/A	N/A	N/A		OR	N/A	
<input type="checkbox"/> EXAMINATION FEE <small>(37 CFR 1.16(o), (p), or (q))</small>	N/A	N/A	N/A		OR	N/A	
TOTAL CLAIMS <small>(37 CFR 1.16(i))</small>	minus 20 =	*	X \$ =		OR	X \$ =	
INDEPENDENT CLAIMS <small>(37 CFR 1.16(h))</small>	minus 3 =	*	X \$ =		OR	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 \$250 (\$125 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).				OR		
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT <small>(37 CFR 1.16(j))</small>					OR		
* If the difference in column 1 is less than zero, enter "0" in column 2.			TOTAL		OR	TOTAL	

APPLICATION AS AMENDED – PART II					OTHER THAN SMALL ENTITY			
	(Column 1)	(Column 2)	(Column 3)					
AMENDMENT	04/04/2008	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 1	Minus ** 20	= 0	X \$25 =	0	OR	X \$ =
	Independent (37 CFR 1.16(h))	* 1	Minus *** 3	= 0	X \$105 =	0	OR	X \$ =
	<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))						OR	
	<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))						OR	
					TOTAL ADD'L FEE	0	OR	TOTAL ADD'L FEE

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

Legal Instrument Examiner:
 /VICTORIA BROWN/

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