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For: **SYSTEM AND METHOD FOR ESTABLISHING AND RETRIEVING DATA BASED
ON GLOBAL INDICES**

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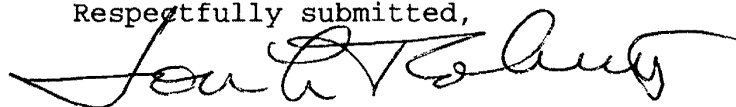
Dear Sir:

Enclosed please find the following:

1. Specification, abstract and claims (3 independent, 11 dependent, 14 total) (48 pages);
2. Informal drawings (3 figures, 3 sheets);
3. Declaration and Power of Attorney;
4. Verified Statement Claiming Small Entity Status - Independent Inventor;
5. One check in the amount of \$395.00; and,
6. Certificate of Express mailing.

The Commissioner is hereby authorized to charge any fee deficiency, or credit any overpayment, to Deposit Account No. 18-1579. The Commissioner is also authorized to charge Deposit Account No. 18-1579 for any future fees connected in any way to this application. Two copies of this letter are enclosed.

Respectfully submitted,



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1 **Title:** System and Method for Establishing and Retrieving Data Based on Global Indices

2 **Inventor:** John Overton and Michael F. Roizen

3 **Field of the invention**

4 This invention relates generally to storage to data and retrieval of records. More
5 particularly this invention relates to a universal method for generating an index of medical
6 records at the time services are rendered and retrieving medical records based upon the
7 automated indexing performed.

8 **Background of the invention**

9 Medical records can reside in many different places. As a patient sees different doctors
10 and is treated for different conditions, individual records relating to the patient are created in
11 each individual location. Therefore a medical record could exist at a general practitioner where
12 the patient goes for annual physicals. At another time a medical record could be created for the
13 patient at an immediate care facility where emergency room services are rendered. In a similar
14 fashion a medical record for the same patient could be created at a particular specialist's office
15 who treats the patient for a particular condition. All of these medical records may be critical to
16 the treatment of the patient in any particular circumstance. If the total medical record for
17 individual patient is not available, certain diagnoses may be overlooked or erroneously made.

18 Several systems have addressed the issue of how to create universal medical records. In
19 general these systems create medical records by the creation of a file in some central storage area.
20 Thereafter the central storage area may be accessed by individual practitioners by accessing the
21 central storage of the medical record. Such systems use a "root registration" system wherein
22 medical records and identities are registered centrally. Such systems generally are not fully

1 automated leading to the potential for errors. Further only "registered" records are available to
2 remote users. Thus if a patient's medical record is not centrally registered, it is simply not
3 available to the practitioner.

4 Another disadvantage of the central registration process is that, at the present time, no
5 single format is universal. Thus many different medical organizations have different formats
6 which cannot be accessed among different medical institutions. Even if such access is granted,
7 format translation programs must be used which could cause additional errors in translation.

8 One example of a system which attempts to obtain a master index of patient identification
9 information is the telemed system in use at Los Alamos labs. That system maintains a master
10 index of patient IDs thus tracking patient ID as a master reference. The master ID is then used to
11 determine where to find data related to a particular patient. Telemed system deals with
12 topological information normally characterizing patient records. Further, the system relies upon
13 "middleware" to resolve differences between database systems that possess a particular patient's
14 record. Thus a translation mechanism is necessary. Further, the telemed system still requires a
15 master patient index as a form of central registration.

16 In contrast to the systems noted above, the present invention does not rely on a root
17 registration or a central registration of client information. Rather, the present invention
18 establishes an identity for a patient at the time of service, based on the identity of a given device.
19 This identity is established at the location of the device and not at any central location. This
20 identity is designated, however, in a universal fashion such that, for patient's whose identity is
21 established by the system, information relating to that particular patient can be looked up in a
22 convenient manner. Further, the present invention comprises the data transfer protocol to allow

1 for global addressing and retrieval of information from sites remote from the location at which
2 the patient is present. In this matter, all information concerning a particular patient maybe
3 retrieved by the location treating the patient.

4 **Brief description of the invention**

5 It is therefore an objective of the present invention to be able to locate information by
6 searching for indices of that information rather than for the information itself.

7 It is a further objective of the present invention to establish device driven unique
8 identifiers that identify a person using the system.

9 It is a further objective of the present invention to establish device driven unique
10 identifiers that identify a objects that are the subject of transactions using the system.

11 It is yet another objective of the present information to establish a global identifier for a
12 user of the present invention the first time that a user uses the present invention.

13 It is yet another objective of the present information to establish a persistent identifier for
14 a user of the present invention the first time that a user uses the present invention.

15 It is a further objective of the present invention to uniquely identify a particular device
16 connected to the system.

17 It is yet another objective of the present invention to establish device identification the
18 first time that a device is activated on the system.

19 It is a further objective of the present invention to make data universally available as soon
20 as that data is created on the system.

21 It is another objective of the present invention to make data available at sites remote from
22 the location at which the data is created as soon as the data is created.

1 It is yet another objective of the present invention to be able to search for data of interest
2 without knowledge of the format in which the data was originally created.

3 It is a further objective of the present invention to allow local sites where data is created
4 to establish their own formatting and storage policies without such formatting and storage policies
5 being dictated by a central facility.

6 It is yet another objective of the present invention to establish security for a users records
7 by separating the user records from the identification card issues to a user.

8 The present invention uses a device-based paradigm to avoid the confusion and
9 restrictions associated with root registration systems. For example, a particular manufacturer
10 would register its company for participation with the present invention. Identification numbers
11 are assigned by the manufacturer and used to designate the equipment in question. Thus
12 equipment from a particular manufacturer which is used by a particular practitioner or health care
13 provider has a unique ID. A date/time stamp is also added to this equipment ID to designate the
14 source and when the equipment is used.

15 The present invention also comprises a simple network transport up protocol, defined in
16 this application as the Simple Data Transfer Protocol or SDTP. The SDTP provides Internet
17 wide sharing of data and database systems through a client/server, transaction based model of
18 data interaction and management. The SDTP allows for the transmission, reception, and
19 recovery of data from disparate locations.

20 The present invention also provides a network delivery mechanism for addressing where
21 to find requested information. This subsystem known as the distributed data name service or
22 DDN S is the reference system by which SDTP operates. This is not meant however as a

1 limitation. Once the location of information is established by the DDNS, retrieval of information
2 could occur equally as well by any protocol once that protocol knows the location of the desired
3 information.

4 Various universal encoding systems are also used in the present invention so that
5 individual devices and users of those devices can be encoded in a universal fashion.

6 It should be noted that the preferred embodiment illustrated in this specification is that of
7 a medical device and data retrieval system. However, the present invention should not be
8 construed as being so limited. For example the architectures and topology of the present
9 invention is equally well suited to commercial transactions such as point of sale transactions, the
10 generation of ATM cards and other commercial ventures. It can also be used as a form of
11 identification for employees of large organizations where security and access to facilities in
12 disparate locations must be tightly controlled. Thus while the medical application will be
13 elucidated below, those skilled in the art will appreciate that the system and method described
14 can be applied in many disparate situations.

15 Using the present invention, device manufacturers register their own unique names with
16 the system. For example Hewlett-Packard may register the name "HP" to be used with all of its
17 device ID numbers whereas another manufacturer such as Phillips might register another
18 different name "PH." When a medical device is first used on the system, its own identification
19 (manufacturer, and device ID number) is automatically registered with the system. A patient
20 receives an ID number, the first time the patient receives an ECG or is x-rayed by equipment that
21 is registered with the system of the present invention. Thus the first time a patient is examined
22 via medical equipment of the present invention, a universal record of not only the equipment, but

1 also the patient is automatically created.

2 The present invention also comprises a user identification token or barcode label placed
3 on any card of any variety which may be in the form of a credit card, smart card or other token
4 card which is generated at the time of the first use of any device registered with the system.
5 From that point on, the patient identification card is "registered" within the system. Further, the
6 health care provider simply uses the imaging equipment available based upon the patient
7 identification card, the universal encoding of the system, and images recorded with appropriate
8 patient identification information and image information. In addition, the image created is
9 universally available immediately after creation.

10 After recording information, the present invention tracks indices to locations of
11 information. If the location of the device changes, that information could be tracked by the
12 DDNS level 1 server so that queries could be automatically rerouted to the location at which the
13 device is currently housed. Thus the information can change as necessary while the index to
14 access that information does not. The present invention also does not require standardized
15 formatting of information. Thus, local sites format and store their own information as they desire
16 without having to adhere to a particular dictated format. Thus local sites do not have equipment,
17 staffing, administration, and other matters imposed upon them.

18 The system of the present invention transports, sends, delivers, receives, and processes
19 information objects. No middleware is required. Transmission of request for information and
20 the receiving of that information is done, using the simplified data transfer protocol. In addition,
21 existing systems can be included within the present invention since any kind of document or
22 object can fit within the present invention as an object. Only namespaces as addresses are

1 necessary for the present invention in order to find the location of desired information and
2 retrieve that information.

3 In summary, the present invention is a device driven addressing system rather than a top-
4 down addressing system. Individual devices create the namespace address necessary to retrieve
5 information created by the individual device. Thus the present invention allows the minimal set
6 of possible information at the top-level, which is used for routing requests for information, with
7 actual information created by individual devices or sites stored and located at those devices or
8 sites.

9 The present invention comprises a Simple Data Transport Protocol (SDTP), Distributed
10 Data Name Service (DDNS) software implementation, and a paradigm for automated indexing of
11 global databases.

12 The DDNS design is similar in function to the domain name service which supports all
13 Internet addresses. The domain name service for the Internet allows a single address to be used
14 by any user regardless of that user's location to find another user on the Internet. In a similar
15 fashion the DDNS of the present invention supports such a lookup service. However DDNS is
16 generalized and optimized for resolving database locations and database service locations.

17 The DDNS exists in a series of servers in a tree structure whereby medical diagnostic
18 equipment are connected to servers. These lower level servers are in turn connected to higher
19 level servers in a tree structure or parent-child relationship. There is no practical limit to the
20 level of servers in the tree structure. It is only required that there be sufficient levels of servers to
21 satisfy the query needs of the organizations connected to the DDNS network.

22 Using the DDNS of the present invention, if a client machine requires information it does

1 not have, it sends a query to a parent server concerning where to find the record information. In
2 this application, the parent server is referred to as a DDNS Level 2 server or DDNS-2 server.
3 This situation can exist in the medical sense if a patient, having a medical ID card of the present
4 invention, visits an emergency room in other than the patient's home city. In that situation the
5 patient may use the patient ID card which will not be recognized by the local medical diagnostic
6 equipment. In that case the medical diagnostic equipment will query the next higher server
7 regarding where to find information on the patient.

8 If the server being queried has the necessary information, and answers the requesting
9 client, the Interaction stops. If the server does not have the information, it in turn, asks its parent
10 server, and so on up a tree structure of parent-child DDNS servers until the requested information
11 is found. Once the patient index information is found, it is passed back down to the originating
12 client which receives address/index information for a direct site to site request. At this point a
13 peer-to-peer connection can be made whereby the client receives the desired medical information
14 directly from the medical diagnostic equipment or database possessing that information.

15 **The Simplified Data Transport Protocol (SDTP)**

16 Once the source of the desired information is located it becomes necessary to transfer the
17 desired information from one location to another. The Simplified Data Transport Protocol
18 (SDTP) of the present invention has this task. SDTP provides Internet-wide sharing of data and
19 database systems through a client-server, transaction-based model of data interaction and
20 management. SDTP structures transmission, reception, and recovery of data.

21 **Brief Description of the Figures**

22 Figure 1 illustrates the DDNS server nodes

1 Figure 2 illustrates a DDNS network topology

2 Figure 3 illustrates a specific example of an instance of use of the DDNS network topology

3 **Detailed Description of the Preferred Embodiment**

4 As noted earlier, the present invention comprises a Distributed Domain Name Service
5 (DDNS) software implementation whereby devices and users are uniquely identified and
6 registered on servers of the system the first time the devices are used and the first time that users
7 use the devices, a Simple Data Transport Protocol (SDTP) whereby once data of interest is
8 located, that data can be transported from location to location with ease, and a paradigm for
9 automated indexing of global databases.

10 **Distributed Data Name Service (DDNS)**

11 Distributed Data Name Service (DDNS) provides a name lookup service for the indexing
12 of global databases. It is designed to work in between a transfer protocol such as SDTP, and an
13 encoding scheme for naming objects uniquely.

14 The DDNS implementation is similar to DNS (Domain Name Service), which supports
15 all Internet name lookup service. The basic idea is illustrated in Figure 1 DDNS Nodal Indexing.

16 In DDNS, if a client machine needs information it does not have, it asks a parent server
17 where to find that information. If that server has the information, it answers the requesting client
18 and the interaction stops. If the server does not have the information, it in turn asks its parent
19 server, and so on, up a tree structure of parent-child DDNS machines, until the requested
20 information is found. Once the information is found, it is passed back down to the originating
21 client, which receives forwarding information for a direct site-to-site request, at which point a
22 peer-to-peer connection is made "horizontally" in the tree structure.

1 It is important to note that, strictly speaking, DDNS is not "Middleware". Although it can
2 appropriately interact with Middleware as necessary.

3 DDNS provides efficient recovery of records from anywhere on a network, and has no
4 machine-type or operating system restrictions whatsoever. Its architecture provides intrinsic
5 scalability suitable for supporting universal databases that may require disk space exceeding
6 current technologies for individual sites. Since it resolves namespaces rather than IP addresses,
7 DDNS will seamlessly migrate to new network protocols such as "IP2" whenever traditional IP is
8 replaced. Using namespaces also supports organizational durability, since organizations may
9 change names and have these reticulated through the DDNS structure, or keep the same names
10 and change the undergirding machine hardware supporting those names without impact of data
11 accessibility to the network.
12

13 The SDTP/DDNS combination provides an automatic, low-level addressing and retrieval
14 mechanism on which other functionality can be conveniently built. Such functionality may
15 include automatic invoicing, automatically generated statistical polling of part quality,
16 demographic information for illnesses without access to patient identity, etc. Such functionality
17 supports electronic interaction and electronic commerce.

18 Used with SDTP and other naming and classification conventions, DDNS can provide
19 global indexing of any kind of image, produced on any kind of image-producing device, making
20 any image retrievable by a click of a barcode reader. Yet images may be produced on different
21 machines in different countries. Implications of such design specifically include
22 SDTP/DDNS/ASIA support for universal image recall through standard medical cards given to
patients at local hospitals. This is discussed specifically elsewhere in the document.

1 Used with other encoding schemes, SDTP/DDNS functionality may conveniently extend into
2 diverse applications. Such applications may include automated part tracking, automated
3 consumer purchase and repurchase, automated manufacturer-retailer profit distribution, and
4 automated assessments of production quality on a plant-by-plant basis.

5 The major advantages supporting DDNS design include:

- 6 1. Machine interactions are name lookups, not actual data transfers, until the very
7 last moment when a site-to-site connection can be made. Thus, interactions are
8 very fast between machines.
- 9 2. Information contained on any machine emphasizes minimalist storage. A
10 machine attempts to keep only the most minimal information it needs on its local
11 system, knowing that it can retrieve remote information very quickly whenever
12 needed.
- 13 3. Storage of data is genuine distributed. Since DDNS servers only hold index
14 information for where to get information, rather than the information itself, global
15 databases can be unlimited in size. Even very large global databases that exceed
16 the physical storage possibilities of single sites will have excellent performance.

17 To illustrate the benefits, consider an example in which local sites cannot usefully store
18 more than 50 terabytes of information. Since a global database supported by SDTP/DDNS only
19 stores addressing information, it can provide information on many such sites, letting those sites
20 resolve the actual data internally.

- 21 4. Each machine may cache its previous lookups and thus avoiding vertical lookups
22 for recurrently used data. For data that sister sites will share over and over, the

1 caching mechanism allows site-to-site connections without making parent-node
2 queries. Thus, performance is very fast, even when scaling to very large
3 addressing mechanisms.

- 4 5. Local policies determine disk storage and internal data structure for local systems.
5 Yet local information will be available globally.

6 **Flexibility & Ease of Use**

7 Flexibility, generality, and ubiquitous accessibility are core principles of the
8 SDTP/DDNS implementation. With a minimal "backbone" infrastructure of a small collection of
9 machines, DDNS can support numerous concurrent universal databases, conveniently supporting
10 as diverse systems as automated parts tracking in automobile repairs, insurance records, and
11 purchase and repurchase of any scannable item: clothing, home appliances, wood, paint, groceries,
12 etc. Such applications will only require a barcode click on behalf of the user. And then on
13 behalf of that user, a computer queries a DDNS server for data location, and then SDTP retrieves
14 the data from the appropriate site.

15 **Simple Data Transport Protocol (SDTP)**

16 The following terminology and associated definitions are used in this specification:

17 **Database:** A collection of records. SDTP supported databases can be local and/or
18 global.

19 **Record:** A denotatum stored in a database.

20 **Transaction:** An interaction between a client query and server response. Example
21 transactions include modifying a global database and finding a record in a
22 database.

1 **Client Query:** A request from a client sent to a server.

2 **Server Response:** A response from a server sent to a client.

3 **Message:** Generally, a client query or server response. Specifically, a content
4 identifier and data object.

5 **Content Identifier:** The first string of a SDTP message that identifies SDTP/0.9
6 version, command, and arguments to process.

7 **Data Object:** A header and body. Data objects may include text, images, video, sound,
8 etc.

9 **Header:** Header information in a data object, employing MIME conventions.

10 **Body:** Body information in a data object, employing MIME conventions.

11 The Simple Data Transport Protocol (SDTP) of the present invention is a protocol that
12 applies to dynamically distributed, Internet-wide, database systems.

13 The SDTP protocol provides universal addressing of database systems, and universal
14 search and retrieval of data stored on such systems. SDTP supports any encoding mechanism,
15 but is optimized for large scale or universal encoding mechanisms for universal image tracking.

16 SDTP distributed database functionality can seamlessly traverse any network topology,
17 machine-type, operating system, database system, etc. The protocol supports all forms of data:
18 text, image, video, sound, etc.

19 SDTP permits intelligent, efficient, fully automated data-sharing on a site-to-site, device-
20 by-device basis, searching and retrieving specific data sets. Data sets can be located anywhere on
21 a network, and have no physical storage-size restrictions. Searching can be local or global. For
22 example, data produced by an ECG machine in Chicago is available to another ECG machine in

1 Bangkok.

2 In SDTP data are no longer viewed as existing on a single system, or any collection of
3 explicitly linked systems or sub-systems, such as credit card authorization systems. Rather,
4 SDTP views data as query relations, in which a single, very simple query mechanism
5 dynamically organizes and retrieves germane information at a moment of request.

6 The basic mechanism works such that when a client query is fully satisfied locally, a
7 search can halt. When a client query is not satisfied locally, within a couple of network "hops" a
8 SDTP server response will return a comprehensive list of data locations to the requesting client.
9 A given client needs no initial knowledge that related data even exist, or where or how such data
10 are stored. Yet for any given record, a client query can rapidly find all related records across the
11 Internet-even if related records exist on databases unknown to exist by the requesting client, at
12 the moment of its request.

13 SDTP can support machine clusters, LANs, WANs, heterogeneous networks, collections
14 of linked networks, or any set of these. This design explicitly includes support for full, Internet-
15 wide search and retrieval of records. Essentially, there are no network restrictions for SDTP; it
16 can transport and retrieve information for local or global systems alike.

17 SDTP operations rely on client-server transactions. A transaction is characterized by a
18 client sending a message to a server, and the server sending back a message to the client.
19 SDTP/0.9 supports two basic transactions, Lookup and Modify, each of which has two
20 commands. Table 2 summarizes these relations.

21	Lookup	index	Retrieve a record's index, but not the record itself
22		query	Retrieve a record.
23			

Modify	ADD	Add a record to a database.
	DELETE	Remove a record from a database.

Table 2: Transactions

Since SDTP applies to any kind of database, existing anywhere on the Internet, SDTP transactions provide genuinely global searching, retrieving, adding, and removing records from universal databases.

As noted earlier, a message is a client query or a server response. The data structure of messages consists in a content identifier and data object. Table 3 summarizes these relations. A content identifier identifies SDTP version, command, and any arguments. A data object

Content Identifier	
Data Object	Header
	Body

Table 3: Message Data Structure

consists in a header and body, both of which support MIME conventions. A header contains information about the transaction-type and data specifications. A body contains data, which can include MIME multipart documents, among other data.

SDTP relies on uniform interaction between clients and servers, transacted through client query and server response messages. A client query requests actions from a server. A server response answers client queries, and sometimes also performs actions on behalf of the client called server actions. Both client queries and server responses rely on the data structure of messages.

Table 4 summarizes protocol relations. Since transactions are interactions between client queries and server responses, a 'Lookup index' transaction would involve an exchange between a

client query and a server response. In turn, client queries and server responses are subject to content identifiers and data objects.

Transactions	Lookup	index query
	Modify	ADD
		DELETE
Client Query	Content Identifier	
	Data Object	Header
		Body
Server Response	Content Identifier	
	Data Object	Header
		Body

Table 4: Protocol Relations

Message Data Structure

A message is a content identifier and a data object. The SDTP client query content identifier syntax is:

SDTP/version command argument ...

These expansions describe content identifier semantics:

<i>version</i>	SDTP version number.
<i>command</i>	Keyword specifying SDTP activity.
<i>argument</i>	Argument for command.
...	Subsequent arguments.

Example. Consider this legal content identifier:

SDTP/0.9 LOOKUP MedImages 123.abc

Following the content identifier syntax, the command is 'LOOKUP' with two arguments: (1)'MedImages' (the database to search) and (2) '123.abc' (a record or set of records as might occur in a hospital system).

A data object includes (1) a header and (2) a body. A data object may include text,

1 images, video, sound, any other media or data type, and any combination thereof.

2 A header consists in one or more lines and is terminated by a blank line. The syntax for
3 such lines is:

4 fieldname: data

5 The argument data may have any number of additional arguments separated by
6 semicolons (';'). These expansions describe the header semantics:

7 fieldname	Label for data field	(e.g., Date, Content-Length, Content-Type, etc.)
8 data	Data	(e.g., for content-type, cookies etc.)

9
10 Client query data object headers additionally can contain preferences for server responses, but
11 SDTP/0.9 does not yet specify these.

12 For example, consider the following data object header. This example illustrates a
13 Lookup transaction that retrieves a record:

14 Content-Type: application/sdtp; transaction="lookup-1"; lookuptype="query"

15
16 A body consists in a MIME body, including multipart bodies [FB96a]. This structure
17 facilitates transmission of all data types such as text, graphics, sound, video, etc.

18 A body contains content or is null. The exact format of the body depends upon specific
19 databases, and thus is fixed in a separate standardization process not subject to SDTP.

20 For example, consider the following data object body. This example indicates a
21 successful deletion of record '123.abc':

22 SUCCEEDED DELETE 123.abc

23 A client query is a message, and consists in (1) a content identifier and (2) a data object.

24 An example of a client query data object is:

Content-Type: application/sdtp; transaction="modification"

From: medical.cenon.com

DELETE 123.abc

ADD DEF0456

A server response is a message, and consists in (1) always a data object, and (2)

sometimes an additional server action (e.g., a record deletion). See also Message Data Structure.

Unlike client queries, SDTP server responses have no content identifier. Server

responses are data objects.

Server response data object headers are transaction types.

For example, consider the following server response data object header. The Transaction type illustrates address forwarding.

Content-Type: application/sdtp; transaction= "forwarding"

The Server response data object body syntax is determined in the data object header according to the transaction specification. A body contains content or is null. For example, consider the following server response data object body which illustrates successful deletion of record '123. abc', and failed addition of record 'DEF@456'.

SUCCEDED DELETE 123.abc

FAILED ADD DF.FO456

Example Server Response Data Object

Consider this example of a server response data object, including both header and body:

Content-Type: application/sdtp; transaction="modification"

From: medical.cenon.com

SUCCEDED DELETE 123.abc

FAILED ADD DEF@456

A server response may invoke a server action, such as adding or deleting a record from a database. SDTP specifies the structure and syntax of data objects. SDTP specifies a semantics associated with the server action, but not structure or detail of implementation. Such considerations are left to decisions of site-by-site implementation.

Transactions

A transaction consists of (1) a client query (to server), and (2) a server response (to client). The current version, SDTP 0.9, provides two types of transactions, Lookup and Modify.

Table 5 illustrates these relations.

	Client Query	Server Response
Lookup	Client queries server for records.	Server returns records, or location instructions for where to find records.
Modify	Client requests server synchronization	Server synchronizes data storage.

Table 5: Transaction Summary

Lookup: A Lookup transaction determines if a node has knowledge of requested record(s).

Client Query: A Lookup client query is a message, and thus contains (1) a content identifier and (2) a data object.

(1) Content Identifier: An sample Lookup content identifier is as follows:

SDTP/0.9 MODIFY MedImages 123.abc

(2) Data Object: A Modify data object will contain (A) a header and (B) a body.

(2A) Header: The Lookup header uses a Content-Type that specifies (1) a Lookup transaction and (2) a lookup type. A Lookup data object header has syntax:

Content-type: application/sdtp; transaction="lookup"; lookuptype="type" 'type' in 'lookuptype'

has these values and meanings in SDTP/0.9:

Value	Meaning
-------	---------

query	Transfer a record
-------	-------------------

index	Transfer a record's index, but not the record itself
-------	--

The following example of a Content-Type data object header retrieves a record's index, but not the record itself:

Content-Type: application/sdtp; transaction="lookup"; lookuptype="-"index"

(2B) Body: A Lookup client query data object body is empty in SDTP/0.9.

Server Response: A Lookup response (1) has no content identifier, and (2) has a data object.

(1) Content Identifier: The Lookup server response has no content identifier.

(2) Data Object: The Lookup server response data object has (A) a header and (B) a body.

(2A) Header: This header specifies the Content-Type of the server response, but may also include other information such as MD5 encrypted signatures, etc.

(2B) Body: The body follows MIME message body conventions [FB96a]. SDTP data object bodies have three forms:

1. One or more records, structured as MIME multipart documents [FB96a].
2. Forwarding instructions, for one or more records, structured as the MIME type application/sdtp with attribute transaction set to forwarding. For example:

Content-Type: application/sdtp; transaction="forwarding"

A following data object body would contain a list of addresses to query for records.

3. Compound responses, structured as MIME multipart documents. Each part of a multipart

document will be:

- (a) Form 1, One or more records
- (b) Form 2, Forwarding instructions
- (c) Form 3, Compound responses.

Example Lookup Transaction: This example illustrates a Lookup transaction, in which record '123.abc' is retrieved from universal database 'MedImages'. The transaction consists in a client query and a server response.

Client Query: The following 3 line transcript is a plausible client query Lookup record retrieval request, from medical.cenon.com.

```
SDTP/0.9 LOOKUP MedImages 123.abc
Content-Type: application/sdtp; transaction="lookup"; lookuptype="query"
From: medical.cenon.com
```

This query requests the retrieval of record '123.abc' from universal database 'MedImages'.

Server Response: The following 7 line server response indicates a plausible server reply to the previous client query.

```
SDTP/0.9 LOOKUP MedImages
Content-Type: application/sdtp; transaction="forwarding"
From: medical.cenon.com

ddns-2.uch.net
ddns-2.mag.net
ddns-2.nyc.net
```

The server forwards the client addresses where questions are answered about record '123.abc' in universal database 'MedImages'.

Modify: A Modify transaction synchronizes databases. A client query asks for modification of server-stored data, such as adding or deleting a record.

Client Query: A Modify client query includes (1) a content identifier and (2) a data object.

(1) Content Identifier

See Content Identifier about content identifier syntax and semantics. An example Modify content identifier looks like:

SDTP/0.9 MODIFY MedImages 123.abc

(2) Data Object

See Data Object about data object syntax and semantics. A Modify data object will contain (A) a header and (B) a body.

(2A) Header. A Modify data object header specifies a Content-Type using transaction="modification". An example looks like:

Content-Type: application/sdtp; transaction="modification"

(2B) Body. The Modify data object body contains instructions detailing modification of the database, such as adding and deleting records. An example data object body request for deleting record '123.abc' and adding record 'DEF@456' could be:

DELETE 123.abc
ADD DEF@456

Server Response

A Modify server response (1) has no content identifier, and (2) has a data object.

(1) Content Identifier The Modify server response has no content identifier.

(2) Data Object

See Data Object about data object syntax and semantics. The Lookup server response data object has (A) a header and (B) a body.

1 (2A) Header. This header specifies the Content-Type of the server response, but may also include
2 other information such as MD5 encrypted signatures, etc.

3 (2B) Body. The body follows MIME message body conventions [FB96a]. The Modify data object
4 body may also contain verification information, such as the success or failure of a request.
5 Verification information often is null.

6 Example Modify Transaction

7 The following example illustrates a Modify transaction. This example modifies the universal
8 MedImages database, where the client query requests to delete record 123.abc and to add record
9 DEF@456. The transaction consists in a client query and a server response.

10 Client Query. The following 6 line transcript requests to delete and add a record from
11 database MedImages.

```
12 SDTP/0.9 MODIFY MedImages
13 Content-Type: application/sdtp; transaction="modification"
14 From: medical.cenon.com
15
16 DELETE 123.abc
17 ADD DEF@456
18
```

19 Line 1. Client query identifies protocol and requests modification of database MedImages.

20 Line 2. 'Content-Type' identifies a SDTP application; 'transaction' specifies a "modification"
21 transaction type.

22 Line 3. 'From' identifies client making request.

23 Line 4. Blank line identifies separation between data object header and data object body.

24 Line 5. 'DELETE' removes forwarding for Lookup query of record '123.abc'.

25 Line 6. 'ADD' enables forwarding to 'medical.cenon.com', for Lookup query of record 'DEF@456'.

1 Server Response. The following 6 line server response indicates a plausible reply to the previous
2 client query.

```
3 SDTP/0.9 MODIFY MedImages
4 Content-Type: application/sdtp; transaction="modification"
5 From: medical.cenon.com
6
7 SUCCEDED DELETE 123.abc
8 FAILED ADD DEF@456
9
```

10 Line 1. Server response identifies protocol and acknowledges request for modification of
11 database MedImages.

12 Line 2. 'Content-Type' identifies a SDTP application; 'trisection' specifies a "modification"
13 transaction type.

14 Line 3. 'From' identifies client making request.

15 Line 4. Blank line identifies separation between data object header and data object body.

16 Line 5. 'SUCCEDED' indicates that client query 'DELETE' was completed successfully.

17 Line 6. 'FAILED' indicates that client query 'ADD' was not completed successfully.

18 Referring to figure 1 a simplified DDNS Nodal indexing system is illustrated. If the
19 electrocardiogram analyzer **10** has unique identifier which, for purposes of this illustration is noted
20 as the number one. When a user first is established with the system of the present invention the user
21 might be subject to electrocardiogram analyzer testing on, for example, January 11th 1998. This
22 date, in combination with unique electrocardiogram analyzer identifier "one" is then registered was
23 in DDNS server 14 and. In this example the DDNS server is noted as a Level-2 server located at the
24 University of Chicago noted with the abbreviation "UCH."

25 Other electrocardiogram analyzers **12**, **16**, and **18** are also shown as part of the system.

1 Electrocardiogram analyzer 12 is connected to DDNS server 14. Electrocardiogram analyzer 16 is
2 connected to DDNS server 20 which, in the present example is noted as being associated with
3 Massachusetts general hospital, abbreviated as "MAG.". Electrocardiogram analyzer 18 having the
4 unique identifier "4" is connected to DDNS server 22 in New York City.

5 DDNS level 2 servers 22, 20, and 14 are connected to a DDNS Level-1 server 24. The
6 purpose of the DDNS Level-1 server 24 is to receive and store a record of the identifiers of of
7 individual data or records created by the individual electrocardiogram analyzers shown in figure 1.
8 It is important to note that the DDNS Level-1 server 24 does not contain the ultimate information,
9 that is, the results of electrocardiograms that have been administered to the particular patient at the
10 various hospitals. (It should be noted that DDNS level 1 server may actually be several machines as
11 is later illustrated.) DDNS Level-1 server 24 only contains a record of the indices that show where
12 the information is stored. Thus for example, if a patient receives an electrocardiogram on January
13 11th 1998 from electrocardiogram analyzer can the information record concerning that analysis is
14 stored and the user is given a medical identification card possessing an ID number associated with
15 at first examination. If that patient is subsequently examined using electrocardiogram analyzer 18
16 on September 23rd 1998, the practitioner would obtain the medical identification card of the patient,
17 record that information through electrocardiogram analyzer 18 which would then determine if
18 it had ever seen that particular patient before. If not, a query would proceed from electrocardiogram
19 analyzer 18 to DDNS Level-2 server 22 to inquire if a record of that patient exists. If no such record
20 exists at DDNS Level-2 server 22 that server will send a query to DDNS Level-1 server 24 to
21 determine if it has a record of the particular patient.

22 DDNS Level-1 server or 24 will have such a record of the existence of the particular patient

1 is existing at electrocardiogram analyzer 10 which can be reached via DDNS server 14. Thereafter
2 DDNS Level-2 22 will make contact with DDNS Level-2 server 14 on behalf of electrocardiogram
3 analyzer 18, with electrocardiogram analyzer 10.

4 In this example, DDNS servers of two different levels are shown. The level 2 servers store
5 and broker requests for indices relating to medical equipment that is connected to them. The level
6 1 DDNS servers store and broker requests for indices relating to patients from Level 2 servers
7 connected to them. Thus information is not generally passed when a query is made, only the
8 identification of the location of the data is transferred. It should also be noted that this example of
9 use in the medical arena is not meant to be limiting. As will be explained later, other application
10 areas are equally considered to be within the scope of the present invention.

11 Referring to figure 2 the network topology of the present invention is illustrated. As noted
12 earlier, the present invention is device driven rather than driven by a top-down classification
13 schemata. A series of medical devices may be attached to a workstation at a particular hospital. For
14 sample, ECG 4, CT 6, and ECG 12 may all be attached to a workstation 2 at a location, for example,
15 the University of Chicago (UCH). ECG 4 will have its own unique identifier generally assigned by
16 the manufacturer. When the ECG 4 is first activated to perform its first examination and creates the
17 appropriate patient record, ECH 4 becomes registered on the system of the present invention. Thus
18 the global identifier for ECG 4 is created the first time the device is activated. In a similar fashion,
19 CT 6 also has a unique identifier as does ECG 12. These devices are also shown as attached to
20 workstation 2.

21 Alternatively medical devices may be self-contained and amenable to being attached or
22 directly connected to a DDNS server. The situation is also illustrated in figure 2 where CT 8 is

1 shown as directly connected to second level DDNS 14. Additionally, ECG 10 is also shown as
2 connected to the DDNS level 2 server 14.

3 All of the above devices ECG 4, CT 6, ECG 12, CT 8, ECG 10, and workstation 2 are all
4 uniquely identified and registered with the system of the present invention the moment that they are
5 first activated. As will be shown later, a date time stamp is also used in conjunction with the unique
6 identifier to create a unique patient identifier the first time that the patient uses any device that is
7 registered on the system.

8 In a similar fashion, other medical devices and other geographically disparate locations can
9 also become registered on the system of the present invention. Again referring to Figure 2 ECG
10 devices 13, 15, and 16 may all be resident at, for example, Massachusetts General Hospital (in this
11 figure designated as MAG). Additionally, MRI 11 and CT are also shown as located in
12 Massachusetts General hospital. ECG 15 and 16 may be located in emergency room 21 while ECG
13 13 may be located in and the attached to a workstation and cardiology 19. MRI 11 and CT 9 may
14 be connected to workstation 17 in radiology. Workstations 21 in the emergency room, 19 in
15 cardiology, and 17 in radiology are all connected to DDNS level 2 server 20. It is important to note
16 that unique identifiers will only be associated with the devices actually performing the diagnostic
17 task, that is, devices 9, 11, 13, 15, and 16. Workstations 17, 19, and 21 will not to have unique
18 identifiers since they will not be creating the medical records to be searched. It is of course possible
19 that an individual hospital may wish to have unique identifiers regarding all devices on a network
20 whether diagnostic or not in order to be able trace all instances of data or information created. The
21 present invention will support this implementation as well.

22 In Figure 2 yet a third location, hypothetically a hospital in New York City (designated as

1 NYC) is shown as having a series of medical devices as well. In this is an instance ECG **18** is
2 connected to a PC **32**. That PC is in turn connected to a display **30** was capable of displaying the
3 results of the ECG analysis. Similarly, ECG **34** is directly connected to display **30**. Display **30** is
4 connected to a workstation **26** which has an MRI device **28** connected to it. This workstation **26**
5 is in turn attached to DDNS level-2 server **22**.

6 All of the DDNS level-2 servers **14,20**, and **22** are connected to DDNS level-1 servers **23**,
7 **24**, and **25**. These DDNS level-1 servers broker queries for information and client index locations
8 coming from the various geographic locations where a patient may be treated.

9 It is important to note that once a medical device is activated for the first time, its unique ID
10 is stored at both the DDNS level-2 server and a DDNS level-1 server. This is because the DDNS
11 Level-2 server knows about diagnostic devices connected to it and DDNS Level-1 servers know
12 about DDNS Level-2 connected to them. Thus the DDNS servers learn about the diagnostic devices
13 in different ways. Further, once a patient is treated for the first time using any medical device that
14 is attached to the present system, a permanent designation for that patient is created which comprises
15 the unique identifier of the medical device combined with the date time stamp of the first treatment
16 of the patient.

17 In practice, and as will be discussed in detail later, a patient who is treated at ECG **18** in
18 NYC, and who possesses a medical ID card or barcode label on any card created by the system will
19 cause a query to be created to determine if any other medical records exist for the patient. Initially
20 a query will go as high as DDNS level-2 server **22**. If an index to that client's records exists within
21 the New York City location, that information will be sent to the operator of ECG **18**. If such
22 information does not exist, DDNS level-2 server **22** will add a new record to its database and will

1 send the query to DDNS level-1 servers 23, 24, and 25 to determine where a patient index for that
2 particular patient does exist. If DDNS Level -1 server knows about the record, it will make a record
3 associating the the new data record with the data record that already exists in its database. If the
4 patient was first treated at University of Chicago, the patient index, derived from the medical ID
5 card, will cause a query to be sent to DDNS level-2 server 14 which will respond with the various
6 indices which indicate that location of records relating to the patient of interest.

7 Examples

8 By way of example and to further illustrate a preferred embodiment of the present invention,
9 Figure 3 is presented. Since only data regarding indices to information os being searched, the system
10 of the present invention responds very quickly to queries for the location of patient information. In
11 the examples that follow, only the date@device designation is used. In the full implementation the
12 manufacturers ID would also be present as part of the unique identifier.

13 1. Jane comes the University of Chicago Hospital on 11 December 1998 for the first time, to
14 receive her first ECG ever, where she receives a University of Chicago Hospital medical card as a
15 normal part of her admission. Upon receiving an ECG exam, Jane's reading is automatically entered
16 into the University of Chicago Hospital's local database system, and a printer produces a small
17 sticker which a nurse affixed to Jane's medical card.

18 SDTP/0.9 MODIFY MedImages
19 Content-Type; application/sdtp; transaction="modification"
20 From; ddns-2.uch.net
21
22 ADD 19981211@1
23

24 Since DDDS-2:UCH has never seen record '19981211@1', it attempts to 'ADD' it to the next
25 level "up" (to DDNS-1 Servers). A similar SDTP client query is sent "up" to DDNS-1 Servers.

2. DDNS-1 Servers receive and process the following client query request to ADD record

'19981211@1' to the global 'MedImages' database:

```
SDTP/0.9 MODIFY MedImages
Content-Type; application/sdtp; transaction='modification'
From: ddns-2.uch.edu
```

```
ADD 19981211@1
```

Since DDNS-1 Servers have not yet seen record '19981211@1' DDNS-1 Servers store it.

Using the From: field, DDNS-1 Servers further associate '19981211@1' with address 'ddns-

2.uch.edu.' DDNS-1 Servers will now forward future Lookup requests for record '19981211@1'

to DDNS-2:UCH.

DDNS-1 Servers return a SDTP server response to DDNS-2:UCH. The response indicates successful completion of the request ADD for '19981211@1' in database 'MedImages.' The server response is:

```
SDTP/0.9 MODIFY MedImages
Content-Type: application/sdtp; transaction="modification"
From: ddns-2 uch.edu
SUCCEDED ADD 19981211@1
```

The DDNS system has now globally registered record '19981211@1' in the universal database 'MedImages'.

Crucial implications follow from this design

(a) A local system creates a global identifier in a fully automatic manner, without any human intervention whatsoever.

(b) This process requires no form of "root registration" for users of equipment.

(c) A user may operate whatever local system is most desirable, without interference from

SDTP/DDNS.

3. Jane returns for a follow-up visit on 22 Dec 1998. A nurse clicks a barcode reader on Jane's medical card, which concurrently prompts DDNS-2:UCH to do an internal 'Lookup' client query for the number encoded onto her card ('19981211@1') which was encoded during her first visit on 11 Dec 1998. Since DDNS-2:UCH has the record '19981211@1' it stops searching, and does not query DDNS-1 Servers. Jane's previous reading of 11 Dec 1998 is automatically recalled onto the screen.

4. The 'ADD' command now saves the 22 Dec 1998 reading, associating it with the 11 Dec 1998 reading through the global index (database "key") '19981211@1'. The SDTP interaction looks like:

```
SDTP/0.9 MODIFY MedImages
Convent-Type:      application/sdtp; transaction="modification"
From: ddns-2.uch.edu
```

```
ADD 19981211@1
```

The attending physician refers Jane to a Networked Specialist Physician, who makes an appointment of 5 Jan 1999.

Crucial implications follow from the client-server interactions up to now:

(a) DDNS-1 Servers store a mapping from record '19981211@1' to DDNS-2:UCH. DDNS-2UCH has a mapping to whatever internal mechanism the University of Chicago Hospital uses to record its data.

(b) DDNS-1 Servers and DDNS-2:UCH only know about one record ('19981211@1'), while the University of Chicago Hospital knows about two records. A "one-to-many" relationship is created.

Because only 1 number is stored at the DDNS-1 Servers level, global system performance is optimized. Only 1 number provides potential access to all of Jane's records at the University of Chicago Hospital.

(c) Routine business at the University of Chicago Hospital remains on site. This reduces system complexity on the local side, and further optimizes Level-1 DDNS performance. DDNS uses global resources only when local resources do not have the needed information.

(d) A user participates in global information sharing without any special interaction besides barcode reading a medical card. Currently, optical readers provide the most robust construction, but any other encoding mechanism could be used. Similarly, rather than affixing a label, the medical card be given at the end of the visit, with the universal identifier indelibly marked on the card.

5. On 5 Jan 1999 Jane arrives for her referral appointment with a Networked Specialist Physician (NSP) made during her last visit to the University of Chicago Hospital on 22 Dec 1998.

A nurse at the NSP barcode-reads Jane's University of Chicago Hospital medical card to begin the process. The NSP local machine does an internal client query 'Lookup' for the number encoded onto Jane's card ('19981211@1'). This record is not found on the local machine, and so the machine sends a client query to DDNS-2:UCH.

SDTP/0.9 LOOKUP MedImages 19981211@1

6. DDNS-2:UCH receives the previous client query and does an internal 'Lookup' for '19981211@1', which it finds. Since the search for record '19981211@1' is satisfied, DDNS-2:UCH does not query DDNS-1 Servers. DDNS-2:UCH returns records from 11 Dec 1998 and 22 Dec 1998.

Although miles from the University of Chicago Hospital, clicking a barcode reader on Jane's medical card provides the NSP instant retrieval of previous ECG readings at the University of Chicago.

7. Although appearing to the SNP in the same moment, the system now ADDs the reading taken

on 5 Jan 1999 to the NSP local system, associating it with the global index '19981211@1'.

Since record '19981211@1' is stored for the first time on the NSP local machine, the NSP local machine also attempts to ADD "up" record '19981211@1', for global registration in databases 'MedImages'. The NSP local system sends this command to its DDNS server, DDNS-2"UCH:

```
SDTP/0.9 MODIFY MedImages
Convent-Type: application/sdtp; transaction="modification"
From: specialist.uch.edu

ADD 19981211@1
```

8. DDNS-2:UCH receives the previous client query 'ADD'. Since DDNS-2:UCH has already registered record '19981211@1', it now associates the NSP address with record '19981211@1', as an address answering questions about global record '19981211@1'. DDNS-2:UCH returns a server response indicating the successful status of the client query ADD:

```
SDTP/0.9 MODIFY MedImages
Convent-Type: application/sdtp; transaction="modification"
From: specialist.uch.edu

ADD 19981211@1
```

9. On 6 Jun 1999 Jane visits Massachusetts General Hospital (MAG). A nurse barcode reads Jane's University of Chicago medical card, which posts an internal Lookup client query to DDNS-2:MAG, for the original ECG taken on 11 Dec 1998 (in Chicago, affixed to Jane's University of Chicago Hospital card).

Not having seen record '19981211@1' before, DDNS-2:MAG asks if DDNS-1 Servers know where to find information about this record. DDNS-2:MAG sends this client query Lookup request to DDNS-1 Servers:

```
SDTP/0.9 LOOKUP MedImages 19981211@1
```

10. DDNS-1 Servers receive DDNS-2:MaG's previous client query Lookup for record '19981211@1' in global database 'MedImages'. DDNS-1 Servers do know about record '19981211@1': that DDNS-2:UCH answers questions about it.

11. DDNS-1 Servers send a server response indicating that DDNS-2:UCH answers queries about record '19981211@1'. The forwarding message sent is:

```
SDTP/0.9 LOOKUP MedImages
Content-Type: application/sdtp; transaction="forwarding"
ddns-2.uch.edu
```

12. DDNS-2:MAG directly connects to DDNS-2:UCH, which queries machine specialist.uch.edu, requesting records related to '19981211@1':

```
SDTP/0.9 LOOKUP MedImages 19981211@1
```

DDNS-2:UCH returns records for ECG readings taken on 5 Jan 1999, 22 Dec 1998, and 11 Dec 1998.

Barcode reading Jane's University of Chicago Hospital medical card in Massachusetts General Hospital instantly retrieves Jane's previous records, displaying the images on the screen within a moment of clicking the barcode reader.

13. Although appearing in the same moment from the nurse's point of view, the system now saves the 6 Jun 1999 reading to the local Massachusetts General Hospital machine.

Since DDNS-2:MAG does not have the '11 Dec 1998' reading (globally indexed by '19981211@1'), it adds '19981211@1' to its database, associating it with the new reading taken locally on 6 Jun 1999. Since '19981211@1' is a new record to DDNS-2:MAG, it also attempts to ADD "up" the record just scanned from Jane's University of Chicago Hospital medical card,

1 '19981211@1'. DDNS-2:MAG sends a client query ADD to DDNS-1 Servers.

2 SDTP/0.9 MODIFY MedImages

3 Content-Type: application/sdtp; transaction="modification"

4 From: ddns-2.mag.org

5
6 ADD 19981211@1

7
8 14. DDNS-1 Servers receive the previous client query request to ADD record '19981211@1' to
9 global database 'MedImages'. Since DDNS-1 Servers already know about record '19981211@1',
10 DDNS-1 Servers store the address in the From: header (ddns-2.mag.org) as a location that will
11 answer queries for global record '19981211@1'.

12 Future Lookup requests for record '19981211@1' now will receive forwarding instructions
13 for both DDNS-2:MAG and DDNS-2:UCH. DDNS-1 Servers now sends a server response
14 indicating status of the request:

15 SDTP/0.9 MODIFY MedImages

16 Content-Type: application/sdtp; transaction="modification"

17 From: ddns-2.mag.org

18
19 SUCCEEDED ADD 19981211@1

20
21 15. Jane is in a car accident in New York City, and is rushed to a random hospital, where an
22 attendant discovers a University of Chicago Hospital medical card in her purse.

23 Clicking a bareode reader on the card, a DDNS-2:NYC internal Lookup learns that record
24 '19981211@1' is unknown. So it sends a client query Lookup request "up", to DDNS-1 Servers.

25 16. DDNS-L Servers receive a client query Lookup request from DDNS-2:NYC:

26 SDTP/0.9 LOOKUP MedImages 19981211@1

27 DDNS-1 Servers know about record '19981211@1', and have two forwarding address
28 associations: DDNS-2:MAG and DDNS-2:UCH.

17. DDNS-1 Servers know that DDNS-2:UCH and DDNS-2:MAG answer queries for record '19981211@1', and return forwarding instructions for these addresses.

SDTP/0.9 LOOKUP MedImages
Content-Type: application/sdtp; transaction="forwarding"

ddns-2.mag.org
ddns-2.uch.edu

18. DDNS-2:NYC directly connects to DDNS-2:MAG and DDNS-2:UCH, querying for record '19981211@1', using the following client query for both addresses:

SDTP/0.9 LOOKUP MedImages 19981211@1

Four records appear on the screen in the emergency room:

6 Jun 1999	DDNS-2:MAG
5 Jan 1999	DDNS-2:UCH
22 Dec 1998	DDNS-2:UCH
11 Dec 1998	DDNS-2:UCH

While the top-level DDNS service (DDNS-1 Servers) only knows about global record '19981211@1', the New York Hospital emergency room now views four records, from three devices, from two different sites, simply by barcode reading a University of Chicago Hospital medical card.

The physicians need not know from which facilities Jane has records, and yet her comprehensive ECG records are available instantaneously.

19. Although appearing to the emergency room in the same moment, the system now ADDs the reading taken on 23 Sep 1999 to the local DDNS-2:NYC system, associating it with the global index of '19981211@1'.

Since record '19981211@1' is stored for the first time on the DDNS-2:NYC, DDNS-2:NYC also attempts to ADD "up" record '19981211@1', for global registration in database 'MedImages'.

20. DDNS-1 Servers receives the following client query request to ADD record '19981211@1' to global database 'MedImages', from DDNS-2:NYC.

SDTP/0.9 MODIFY MedImages
Content-Type: application/sdtp; transaction="modification"
From: ddns-2.nyc.com

ADD 19981211@1

Since DDNS-1 Servers already know about record '19981211@1' (from DDNS-2:MAG and DDNS-2:UCH), DDNS-1 Servers add the address in the From: header (ddns-2. nyc.com) to the list of addresses that will answer queries for global record '19981211@1'. DDNS-1 Servers then sends a server response indicating status of DDNS-2:NYC's client query ADD request:

SDTP/0.9 MODIFY MedImages
Content-Type: application/sdtp; transaction="modification"
From: ddns-2.nyc.com

SUCCEEDED ADD 19981211@1

Having made this addition, DDNS-1 Servers will answer future Lookup requests for record '19981211@1' with forwarding instructions to:

DDNS-2:NYC
DDNS-2:MAG
DDNS-2:UCH.

21. While on vacation in the Florida Keys, away from convenient access to a hospital, Jane experiences chest pain. She goes to an Independent Practitioner (IP) on 8 Oct 1999, and presents her University of Chicago Hospital medical card, which the physician barcode reads.

The physician's local machine does an internal client query 'Lookup' for the number encoded onto Jane's University of Chicago card ('19981211@1'). This record is not found on the local

1 machine, and so the local machine sends a client query to DDNS-2:ISP.

2 SDTP/0.9 LOOKUP MedImages 19981211@1

3 22. DDNS-2:ISP receives the previous client query Lookup request for record '19981211@1' in
4 global database 'MedImages'. Not having seen record '19981211@1' before, DDNS-2:ISP asks if
5 DDNS-1 Servers know where to find information about record '19981211@1'. DDNS-2:ISP sends
6 this client query Lookup request to DDNS-1 Servers:

7 SDTP/0.9 LOOKUP MedImages 19981211@1

8 23. DDNS-1 Servers receive DDNS-2:ISP's previous client query Lookup for record
9 '19981211@1' in global database 'MedImages'. DDNS-1 Servers know that these addresses answer
10 questions about record '19981211@1':

11 DDNS-2:NYC
12 DDNS-2:MAG
13 DDNS-2:UCH.

14
15 24. DDNS-1 Servers send a server response indicating forwarding addresses that answer queries
16 about global record '19981211@1'. The forwarding message sent is:

17 SDTP/0.9 LOOKUP MedImages
18 Content-Type: application/sdtp; transaction="forwarding"
19
20 ddns-2.nyc.com
21 ddns-2.mag.org
22 ddns-2.uch.edu
23

24 25. DDNS-2:ISP directly connects to DDNS-2:ISP, DDNS-2:MAG, and DDNS2:UCH, querying
25 for record '1998121101', using the following client query for all addresses:

26 SDTP/o.9 LOOKUP MedImages 19981211@1

27 Five records appear on the Local Practitioner's screen:

1 23 Sep 1999 DDNS-2:NYC
2 6 Jun 1999 DDNS-2:MAG
3 5 Jan 1999 DDNS-2:UCH
4 22 Dec 1998 DDNS-2:UCH
5 11 Dec 1998 DDNS-2:UCH
6

7 These records represent Jane's cumulative ECG patient history beginning on 11 Dec 1998,
8 globally indexed to record '19981211@l'. Thus, even in a remote area, the Independent Practitioner
9 has instantaneous access to live records, from four devices, from different sites thousands of miles
10 apart, simply by barcode, reading a University of Chicago Hospital medical card.

11 26. Although appearing approximately in the same moment as the record retrievals, the system
12 now saves the 8 Oct 1999 reading to the IP's local system.

13 Since the local system does not have the '11 Dec 1998' reading (globally indexed by
14 '19981211@1'), it adds '19981211@1' to its database, associating it with the new reading taken
15 locally on 8 Oct 1999.

16 Since '19981211@1' is a new record to the IP's local system, the local system also attempts
17 to ADD "up" the record ('19981211@1') just read from Jane's University of Chicago Hospital
18 medical card. The IP's local system sends a client query ADD to DDNS-2:ISP.

19 SDTP/0.9 MODIFY MedImages
20 Content-Type: application/sdtp; transaction="modification"
21 From: practitioner.isp.com
22

23 ADD 19981211@1
24

25 27. DDNS-2:ISP receives the previous client query request from the Independent Practitioner's
26 machine to ADD record '19981211@1' to global database 'MedImages'.

27 Since DDNS-2:ISP does not know about record '19981211@1' it stores it locally, associating
28 it with the address in the From: header as an address that answers queries for global record

'19981211@1'. DDNS-2:ISP will know in the future to query address practitioner.isp.com for records related to global record '19981211@1'. DDNS-2:ISP returns a server response indicating status of the client query from the Independent practitioner machine.

SDTP/0.9 MODIFY MedImages
Content-Type: application/sdtp; transaction="modification"
From: practitioner.isp.com

SUCCEEDED ADD 19981211@1

Since record '19981211@1' is new to DDNS-2:ISP, it also passes the client query ADD "up" to DDNS-1 Servers. DDNS-2:ISP sends the following client query ADD request to DDNS-1 Servers;

SDTP/0.9 MODIFY MedImages
Content-Type: application/sdtp; transaction="modification"
From: ddns-2.isp.net

ADD 19981211@1

28. DDNS-1 Servers receive the previous client query request to ADD record '19981211@1' to global database 'MedImages', from ddns-2.isp.net.

Since DDNS-1 Servers already know about record '19981211@1' (from DDNS-2:NYC, DDNS-2:MAG and DDNS-2:UCH), DDNS-1 Servers store the address in the From: header ('ddns-2.isp.net'), associating it with the other addresses that answer queries for global record '19981211@1'.

DDNS-1 Servers return a server response indicating the status of the previous client query ADD request from DDNS-2:ISP.

SDTP/0.9 MODIFY MedImages
Content-Type: application/sdtp; transaction="modification"
From: ddns-2.isp.net

SUCCEEDED ADD 19981211@1

1 Now future Lookup requests for global record '19981211@1' will receive forwarding
2 instructions for:

3 DDNS-2:ISP
4 DDNS-2:NYC
5 DDNS-2:MAG
6 DDNS-2:UCH.

7
8 Of course, each address answers queries using its own network architecture, storage
9 procedures, and database policies. SDTP/DDNS provides uniform access to the ECGs stored at
10 these addresses.

11 This example illustrates the flexibility and generality of DDNS service for large, distributed
12 collections of data. In this paradigm, data can reside on different machines and machines that do not
13 know about one another, unlike much traditional design for large database systems. Databases need
14 not be explicitly linked.

15 Similarly, in this paradigm, data exists as query relations, dynamically organizing and relating
16 information at moments of request. Yet record recall is efficient, even across the Internet, providing
17 approximately instantaneous response time.

18 For clarity and ease of illustration, this example illustrates a "two-level" hierarchy of
19 machines. However, SDTP/DDNS databases can be arbitrarily deep rather than two layers deep.
20 At any moment, new servers can be added at any level in the hierarchy, providing each organization
21 with maximal opportunity to optimize its own performance, and to administer its own policies.

22 The DDNS system is driven by manipulation of names, by design permitting easy portability
23 of machines within any organization. In this respect a namespace becomes a global variable to
24 which a machine or machines become attached. Thus, for example, ddns-2.nyc.com could be a

1 single machine, or a pointer to other machines; and/or the New York Hospital could change the
2 type of machine supporting the ddns-2.nyc.com namespace without interrupting service to its
3 local or global community.

4 The present invention comprises software on computers and firmware in certain of the
5 medical diagnostic devices. The devices of the present invention comprise those medical
6 diagnostic devices known in the art which have the ability to store and output information. The
7 DDNS servers of the present invention comprise hardware and software and local storage for
8 storing information comprising indices relating to uses of devices on the network. Any of a
9 variety of IBM PC and compatibles are suitable to the task of the workstations attached to the
10 medical diagnostic equipment or as DDNS-Level-2 servers. All that is required is that there be
11 sufficient storage to store the indices noted. The DDNS level-1 servers can also be IBM PC, Sun
12 workstations or indeed any server capable of storing and retrieving information and
13 communicating that information via modems or otherwise to other servers or workstations of the
14 present invention. Thus the software giving rise to the unique identifiers is stored at the lower
15 levels of the system while software for storing, retrieving and associated indices are typically
16 located at the high levels servers of the system.

17 Further Examples:

- 18 • On a home computer, Jane clicks a barcode on the last grocery receipt, which
19 reproduces the same order as the week before. Arriving at the grocery store, the
20 order has been charged to her credit card, and is waiting for pick up.
- 21 • On a home computer John clicks a barcode reader on an old pair of athletic shoes.
22 A web page appears on which he is offered a choice to repurchase the same shoes

(same brand, size, color, etc.), from the same company. He mouse-clicks on "Accept" and the same credit card is charged that originally purchased the shoes. The shoes are delivered to his house the next day. One barcode click and one mouse click consummate this interaction.

- A student goes to a book store needing several chapters of various books. He selects a book of interest from the shelves, and using the bookstore's PC "kiosk", clicks on Chapter 3. A web-page returns instantly, indicating that he may purchase this chapter for \$1.83, for which he may use his credit card or pay the cashier.

Unknown to the consumer, at the moment of clicking the barcode reader, the publisher has been consulted and the publisher's royalties and bookstore's profit margins have been combined in the \$1.83 purchase. Each month the publisher sends automatically generated invoices to bookstores that itemize royalties due. Such a mechanism works just as easily for images in publications, and journal articles, etc., and in libraries and photocopy shops to enhance copyright protection.

- A car owner brings a car to a garage for a muffler repair. Clicking a barcode reader, the mechanic learns that the muffler is in warranty. The mechanic provides better service to the car owner, and receives automatic part restocking from the manufacturer.

The manufacturer not only automatically tracks muffler repairs for a given model, but also the precise plants from which the failed mufflers come. The manufacturer has an automatic way to track part life-cycles, manufacturing defects, repair warranties, replacement policies, etc. Yet such data gathering is accomplished in the process of normal automotive repair.

1 On site, a furnace repairman clicks a barcode reader at a broken furnace part, a cellular
2 phone calls into a local service provider, which in turn recalls the repair history of the furnace,
3 and the part availability for repair. New parts can be ordered from the portable decoder the
4 repairman brings to on-site jobs.

5 The repair process is streamlined, permitting the repairman to order parts order directly
6 from the manufacturer, while on-site, through an on-site cellular connection to a local service
7 provider, by passing administrative overhead back at the home office.

8 Many other such examples apply, such automatic tracing of insurance records by an
9 insurance company; repurchases of home appliances, wood, paints. The entire process is
10 universally and automatically indexed at production or transaction time, supported by this
11 document's "device-based" approach to universal database construction.

12 A system and method for establishing and retrieving data based on global indices has
13 been described. As previously noted, although a medical application has been described, it will
14 be appreciated by those skilled in the art from reviewing the specification and the examples given
15 that many other embodiments are possible using the system with departing from the scope of the
16 invention as disclosed.

1 We claim:

- 2 1. A method for establishing and retrieving data based on global indices comprising:
3 establishing a unique device ID for each of a plurality of data generating devices on a
4 network;
5 registering the unique device ID of each of the plurality of data generating devices on the
6 network on at least one server connected to the network when the data generating equipment is
7 first used on the network;
8 establishing a unique user ID for each user of the data generating devices when the user
9 uses one of the plurality of data generating devices for the first time; and
10 retrieving data generated by the plurality of data generating devices by searching for
11 instances of the unique user ID.
- 12 2. The method for establishing and retrieving data based on global indices of claim 1
13 wherein establishing the unique user ID further comprises combining the device ID of the
14 data generating device being used by the user with a date/time stamp of the first use by
15 the user.
- 16 3. The method for establishing and retrieving data based on global indices of claim 2 further
17 comprising storing the unique user ID on a token given to the user.
- 18 4. The method for establishing and retrieving data based on gloval indices of claim 3 further
19 comprising the user using the token with the unique user ID for all subsequent uses of
20 any of the plurality of data generating devices.
- 21 5. The method for establishing and retrieving data based on global indices of claim 1
22 wherein the data generated is medical data concerning the user.

1 6. The method for establishing and retrieving data based on global indices of claim 1

2 wherein the data generated is commercial data.

3 7. A system for establishing and retrieving data based on global indices comprising:

4 a network;

5 a plurality of servers connected to the network for storing data and responding to search
6 requests;

7 a plurality of data generating devices connected to the servers, wherein each data
8 generating device has a unique ID that is registered with at least one server when the data
9 generating device is first used of the network;

10 unique user ID generator associated with each data generating device whereby a unique
11 user ID is established by combining the unique device ID with a date time stamp of when the
12 user first used any of the plurality of data generating devices on the network; and

13 search logic for searching for instances of the unique user ID on any of the plurality of
14 servers.

15 8. The system for establishing and retrieving data based on global indices of claim 7

16 wherein the data generating devices are medical data generating devices.

17 9. The system for establishing and retrieving data based on global indices of claim 7 further
18 comprising tokens generated by each of the plurality of data generating devices on which
19 is stored each unique user ID.

20 10. The system for establishing and retrieving data based on global indices of claim 7

21 wherein the data generated is commercial data.

22 11. The system for establishing and retrieving data based on global indices of claim 9

1 wherein each of the plurality of data generating devices further comprises a token reader
2 for reading the unique user ID stored on the token of a user.

3 12. The system for establishing and retrieving data based on global indices of claim 7 further
4 comprising data transport logic for transporting data generated from one data generating
5 device to another once the location of the data has been determined by the search logic
6 identifying instances of the unique user ID on any of the plurality of servers.

7 13. A method for establishing and retrieving data based on global indices comprising:
8 establishing a unique device ID for each of a plurality of data generating devices on a
9 network;

10 registering the unique device ID of each of the plurality of data generating devices on the
11 network on at least one server connected to the network when the data generating equipment is
12 first used on the network;

13 establishing a unique record ID for each record of the data generating devices when the
14 record is created using one of the plurality of data generating devices for the first time; and

15 retrieving data generated by the plurality of data generating devices by searching for
16 instances of the unique record ID.

17 14. The method for establishing and retrieving data based on global indices of claim 13
18 wherein the records creating is creating records of parts of an assembly.

1 Abstract of the Disclosure

2 A system and method for establishing and retrieving data based upon global indices
3 established on the date of first use by a user. The system uses a distributed data name service
4 (DDNS) which uniquely identifies users of the system based upon the unique ID of devices on
5 the system combined with the date and time of first use by the user. Both the unique device ID
6 and the unique user ID's are stored on servers of the system. This unique user ID generated is
7 used for all subsequent uses of the system by the user. Searching for data generated by devices of
8 the system relating to a particular user is accomplished by searching for instances of the user ID
9 on servers of the system rather than by searching for the data itself. A simplified data transport
10 protocol allows for the transfer of data from one location to another after the data is located.

001:1396:070000

DDNS Nodal Indexing Preliminary Example (For Single Agent)

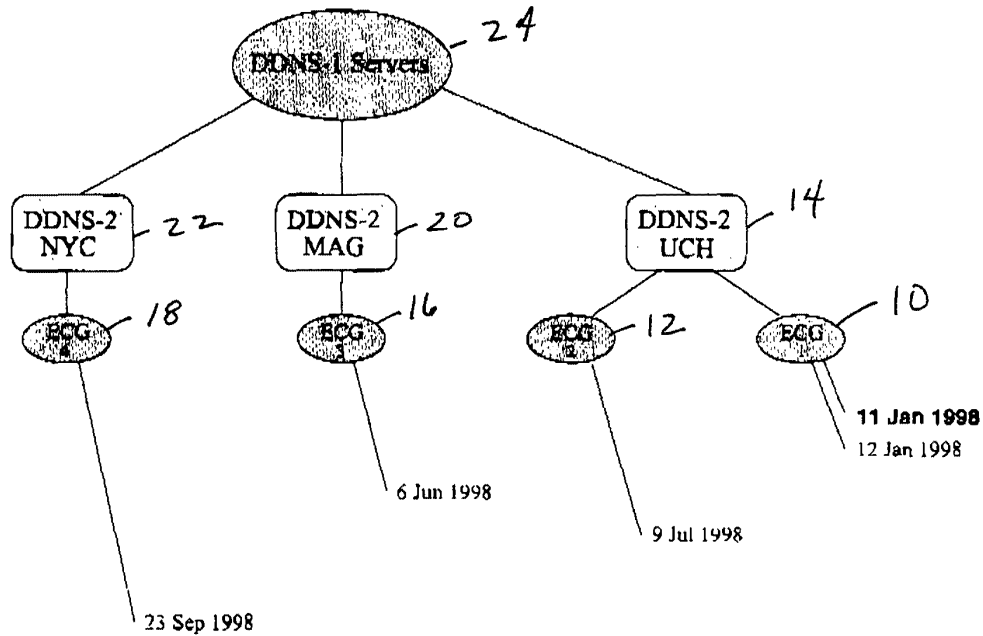


Fig 1

SDTP/DDNS

Network Topology Example

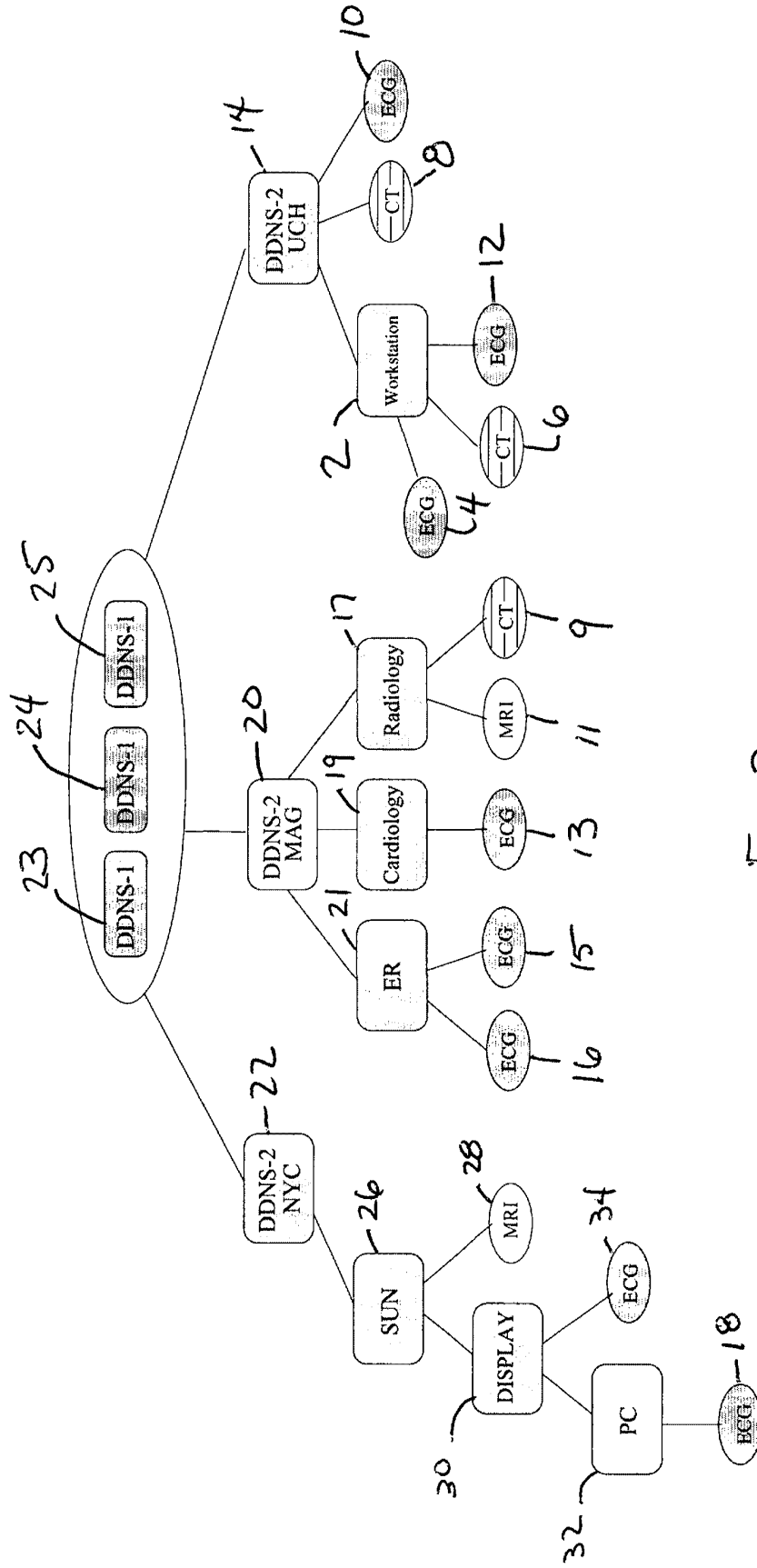
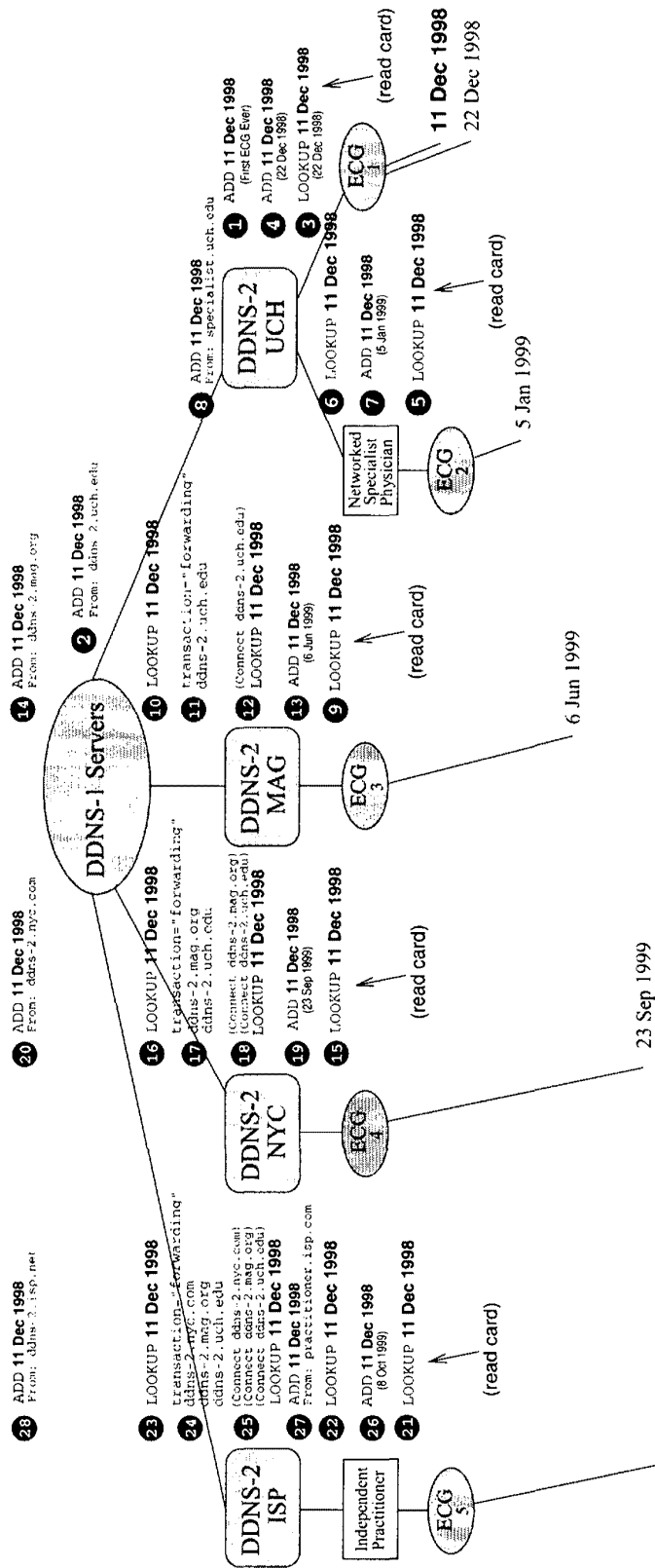


Fig. 2

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PTO/SB/09 (11.90)

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b))—INDEPENDENT INVENTOR****Docket Number (Optional)**
JLR2225Applicant or Patentee: John Overton, Michael F. RoizenSerial or Patent No.: Not Yet IssuedFiled or Issued: HerewithTitle: System and Method for Establishing and Retrieving Data Based on Global Indices

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under convey or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that had made the invention, or to any concern which would not qualify as a business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(c).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

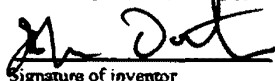
- ☐ No such person, concern, or organization exists.
- ☐ Each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made an information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

John Overton
NAME OF INVENTOR


Signature of inventor

7 July 1998
Date

Michael F. Roizen
NAME OF INVENTOR


Signature of inventor

7 July 1998
Date

NAME OF INVENTOR

Signature of inventor

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of John Overton and Michael F. Roizen

Serial No.: Not yet assigned Group Art Unit:

Filed: Herewith Examiner:

For: **SYSTEM AND METHOD FOR ESTABLISHING AND RETRIEVING DATA
BASED ON GLOBAL INDICES**

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As below inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, joint and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **SYSTEM AND METHOD FOR ESTABLISHING AND RETRIEVING DATA BASED ON GLOBAL INDICES**, the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby appoint the following attorney(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of inventor John Overton

Inventor's Signature *John Overton* Date 7 July 1998

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Citizenship: U.S.A.

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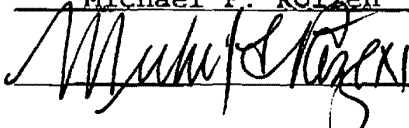
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