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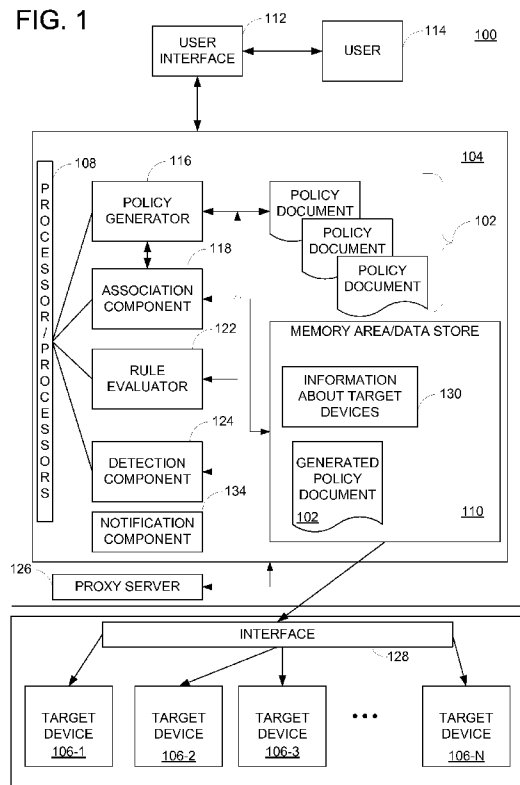
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(54) Title: SYSTEMS MANAGEMENT POLICY VALIDATION, DISTRIBUTION AND ENACTMENT

FIG. 1



(57) Abstract: Applying policy rules to software installed on a device. A group of devices to receive policy rules for the software is identified. The devices belonging to the specified group is identified. A set of policy rules assigned to the devices in the specified group are identified. The policy rules assigned to the devices are aggregated into one or more policy documents. The one or more policy documents are received. The received policy documents are stored in a data store associated with the device. The set of policy rules specified by the received policy documents are applied to the software. A feedback is provided to the policy authority in response to the applying, and the feedback is indicative of whether the set of policy rules is applied to the software.



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SYSTEMS MANAGEMENT POLICY VALIDATION, DISTRIBUTION AND ENACTMENT

BACKGROUND

[0001] In a distributed computing network, software is installed on devices
5 connected in the network. As users become familiar with the software running on
their computers, they often alter the configuration of software to personalize it,
secure it, etc. For example, a user may wish to change the appearances of the
graphical user interface (GUI) for particular software, while another user may wish
to set a specific timer for the screen saver program. A third user may wish to
10 configure the media player appearance mode by hiding the media player toolbar
and so forth.

[0002] While software may be personalized or customized to suit each user's taste
or preference, network administrators typically wish to configure all software
installed on each of the devices in the network with identical or uniform
15 configurations. A uniform configuration not only makes deployment of the
software more convenient, it also makes troubleshooting and maintenance tasks
easier.

[0003] Typically, network administrators, information technology (IT) managers,
and the like (collectively referred to as "IT management") create a management
20 policy that includes the intention and the goal of the IT management. Each
individual device or system is responsible for regulating itself to comply with the
policy. Currently, the IT management may create a policy rule, such as activating
the screen saver program after a computer is idle for fifteen minutes, to be deployed
to the computer. The IT management may place the policy in a policy authority, of
25 which some embodiments may refer to as a server, and the policy authority
periodically broadcasts a notification to the computer indicating a policy is to be
received. The computer would need to be in an active connection with the policy
authority for the policy to be executed on the computer.

[0004] In another practice, the policy authority may notify a listening component
30 of the computer indicating that a policy is to be downloaded. Once an active
connection is made with the policy authority, the computer downloads the policy

and saves the policy in a memory area of the computer to be executed with or without having an active connection with the policy authority.

[0005] While these practices have been sufficient for performing certain tasks such as deployment of policies managing the software configuration, there are
5 drawbacks. For example, some of the devices to be managed in the network may be complex and may need a customized format or syntax for the policy expression or rules. Therefore, a special set of policies may be required.

[0006] Another shortfall includes that, after the policy is deployed, the IT management lacks the ability to determine whether similar policies for the same
10 target device create a conflict. For example, suppose an IT management staff A creates a policy for configuring the screen saver program to be activated after 15 minutes while, at the same time, another IT management staff B attempts to create a different policy for 20 minutes for the screen saver activation time. At the time of deployment, the IT management staff A would not know there might be a conflict
15 with the different policy created by the IT management staff B. For the target device, the software would just adopt the policy from both and keeps on changing the configuration. Alternatively, a hardcoded rule, such as based on the time when the rules are received, may choose that the policy created by the IT management staff A overrides the policy by the IT management staff B.

20 [0007] Additionally, existing policies are imperative in which each of the policies are a set of instructions that the target devices of the policies is supposed to execute. The existing policy deployment framework also lacks a feedback loop wherein the target device of a policy can report its compliance with that policy to the policy authority or the IT management staff.

25 SUMMARY

[0008] Embodiments of the invention overcome deficiencies of existing systems or practices by defining a schema for policy rules or executable expressions for managing software configuration. Embodiments of the invention further establish conflict detection of conflict policy rules before the rules are deployed to the target
30 devices. In addition, aspects of the invention further receive responses from each

of the target devices indicating the status or state of the software after the policy rules are applied.

5 [0009] In addition, aspects of the invention provide a declarative paradigm in the policy implementation in which each of the policies, having schemas associated therewith, describes the valid end state of the target devices, and the target devices decide how to reach that state. This declarative feature at least enables the means by which the desired end-state is reached to evolve over time without need of changing the expression of the policy, and enables expressing the policies in a form that is more readily machine-processed so as to enhance the conflict
10 detection/resolution capability. Furthermore, aspects of the invention provide a feedback loop for the target devices to report their compliance with that policy to the policy authority. Moreover, embodiments of the invention enhance extensibility of deployment of policy documents by employing a proxy server may perform tasks, such as policy requesting, for the target devices.

15 [0010] According to alternative aspects of the invention, schemas or document formats define uniform or standard relationships between objects and/or rules for configuring software configuration and/or settings and/or states. Embodiments of the invention also enhance representation of software states before the policy documents are applied.

20 [0011] This summary is provided to introduce a selection of concepts in a simplified form that are further described below in the Detailed Description. This Summary is not intended to identify key features or essential features of the claimed subject matter, nor is it intended to be used as an aid in determining the scope of the claimed subject matter.

25 [0012] Other features will be in part apparent and in part pointed out hereinafter.

BRIEF DESCRIPTION OF THE DRAWINGS

[0013] FIG. 1 is a block diagram illustrating an exemplary embodiment of a system for managing policy rules for software installed on target devices in a distributed computer network according to an embodiment of the invention.

[0014] FIG. 2 is a block diagram illustrating exemplary components for applying policy rules to software on a target device according to an embodiment of the invention.

[0015] FIG. 3 is an exemplary graphical screen shot illustrating a policy generation user interface according to an embodiment of the invention.

[0016] FIG. 4 is an exemplary flow chart illustrating operation of managing policy rules for software installed on target devices according to an embodiment of the invention.

[0017] FIG. 5A is an exemplary XML policy document generated according to an embodiment of the invention.

[0018] FIG. 5B is an exemplary document generated on a managed target device as part of the application of policies on the target device according to an embodiment of the invention.

[0019] Appendix A illustrates an exemplary definition for data types applicable in embodiments of the invention.

[0020] Appendix B illustrates an exemplary list of operators on scalar types used in the policy rules definition appearing in the policy document according to an embodiment of the invention.

[0021] Appendix C illustrates one or more exemplary operators on aggregate types used in the definition of policy rules according to an embodiment of the invention.

[0022] Appendix D illustrates an exemplary set of action types to be used in a policy document according to an embodiment of the invention.

[0023] Corresponding reference characters indicate corresponding parts throughout the drawings.

DETAILED DESCRIPTION

[0024] Embodiments of the invention establish a platform for efficient management of configurations and states of software installed on one or more target devices available throughout a computer network. Rather than limiting policy applications to patches or to just data stored in a specific location as with current technologies, embodiments of the invention provide a common platform or

schema to apply the policies throughout the networked environment. Thus, many disparate and non-cooperating systems are no longer needed to provide a comprehensive management-by-policy solution. Furthermore, aspects of the invention provide conflict resolution and/or detection capabilities to resolve
5 conflicts between rules in a policy document and permit adequate report or feedback from the target devices with respect to the status or state of the target devices before and after the policy rules are applied.

[0025] Referring now to FIG. 1, a block diagram illustrates a system 100 for managing configurations for software using a policy document 102 installed on
10 target devices in a distributed computer network according to an embodiment of the invention. The system 100 includes a policy authority 104 for providing services to one or more target devices 106. The policy authority 104 may be a computer, a server computer, a computing device, a cluster of computers, a cluster of
15 computing devices, or a cluster of processing units, such as a processing unit or a processor 108. For the sake of simplicity and without limitation, the policy authority 104 illustrated below is embodied in a server. It is to be understood that the policy authority may be implemented or embodied in other managed devices, such as target devices 106, without departing from the scope of the invention. The
20 policy authority 104 is also associated with or coupled to a memory area or a data store 110. For example, the data store 110 may include a database, a memory storage area, and/or a collection of memory storage units. In an alternative embodiment, the data store 110 is connected by various networking means, such as a wired network connection or a wireless network connection. In another example, communication media, such as a wired network or direct-wired connection, and
25 wireless media, such as acoustic, RF, infrared, and other wireless media, typically embody computer readable instructions, data structures, program modules, or other data in a modulated data signal such as a carrier wave or other transport mechanism and include any information delivery media. Those skilled in the art are familiar with the modulated data signal, which has one or more of its characteristics set or
30 changed in such a manner as to encode information in the signal. Combinations of any of the above are also included within the scope of computer readable media.

[0026] Aspects of the invention may be illustrated by using FIG. 3 as a starting point. FIG. 3 illustrates an exemplary graphical screen shot 300 illustrating a policy generation user interface (e.g., user interface 112) according to an embodiment of the invention. It is to be understood that the content of the

graphical screen shot 300 may be represented by other means, such as a script-based or text-based interface. The graphical screen shot 300 includes a field 302 for administrator identification input. For example, an administrator may enter his or her name in the field 302 to identify who is creating the policy document 102. The graphical screen shot 300 also includes a field 304 for details about policy rules. Using the simplistic example of setting screen saver time period above, a user 114 may define a set of policy rules for software. In one embodiment, software includes an application, such as a screen saver program, a collection of applications or components of applications, an operating system, or the like in the field 304. The rule may be complex with operators, operands, and other values for defining a set of policy rules. In an alternative embodiment, the user 114 may use one or more defined data types for describing data to be included in the policy document 102 as shown in Appendix A, one or more exemplary operators on scalar types used in the policy rules definition appearing in the policy document illustrated in Appendix B, one or more exemplary operators on aggregate types used in the definition of policy rules in Appendix C, and one or more exemplary action types in Appendix D. In another alternative embodiment, the user 114 may compose the rule in XML format or other format or schema such that the policy rules may be executed and evaluated by the policy authority 104. Other format or schema for creating or defining executable expressions for universal application to various software may be used without departing from the scope of the invention. For example, FIG. 5A illustrates a relatively simplistic example of the policy document in XML according to an embodiment of the invention.

[0027] Referring further to the example of FIG. 3, the graphical screen shot 300 also includes a target selection section 306 in which the user 114 may define or select a set of target devices. For example, as shown in an existing selection 308, the following target group is available: "Group 1," "Building K," "Building 15,"

“All,” and “Accounting.” Each of the groups defines its membership information of the target devices. For example, “Group 1” may include target devices associated with the IT management, while “Accounting” group may include all target devices in the accounting department. In an alternative embodiment, the graphical screen shot 300 may include additional operations to provide additional information relating to each member in a group or each group. For instance, the user 114 may use the right button on a common mouse input device to see additional details about each group or each member within a group. In a further embodiment, the graphical screen shot 300 includes a button 310 to enable the user 114 to create additional group for the target devices 106.

[0028] The graphical screen shot 300 also includes one or more delivery options in a field 312. For example, the user 114 may select an immediate or expedited delivery of the policy document to the set of selected target devices or a scheduled delivery of the policy document to the set of selected target devices. In one embodiment, when the immediate or expedited delivery option is selected, a notification may be issued to the set of selected target devices indicating that the policy document is to be retrieved. In the embodiment when a scheduled delivery is selected, the policy authority 104 may provide the policy document 102 via an interface 128 or temporarily store the policy document 102 in a content distribution data store to be retrieved at a scheduled time period and after the conflict resolution. Other delivery options may be provided without departing from the scope of the invention.

[0029] The graphical screen shot 300 includes a set of conflict resolution preferences 314 in which the user 114 may set preferences to resolve conflicts between to policy rules. For example, suppose an IT management staff member attempts to set a rule to activate the screen saver program after a 15-minute idle time period, while another IT management staff member attempts to set a rule to active the screen saver program after 10 minutes of idle time. Under existing technologies, these rules are executed as defined without either staff member knowing there was a conflict. Embodiments of the invention enable a federated conflict detection/resolution and provide both conflict detection and conflict

resolution, as illustrated in section 314. For example, FIG. 3 illustrates that the policy authority 104 or components of the policy authority 104 detected a conflict between the created policy document and an existing rule “Rule 120” created by an administrator with an ID “AA” on December 14, 2006. The user 114 may obtain
5 additional or further information by click a button 316.

[0030] The user 114 may also select one or more exemplary conflict resolution preferences as listed in section 314: overriding the previously created rule, yielding to the previously created rule, or executing a customized rule. It is to be understood that other options to resolve conflict may be available without departing
10 from the scope of the invention. For example, FIG. 4 describes other conflict resolution preferences and will be described in further detail below. A box 318 provides an input field for the user 114 to define the customized rule to resolve conflicts. As such, aspects of the invention provide automatic conflict detection when policies are assigned to targets and enable administrators to know as soon as
15 possible when their newly assigned policy conflicts with an existing one. In addition, administrators will have some flexibility in determining if and how conflicts are automatically resolved by the system or arbitrarily according to the user 114. Moreover, embodiments of the invention may establish an execution order or hierarchy for the one or more policy rules.

[0031] It is also to be understood that, while the graphical screen shot 300 in FIG. 3 illustrates one or more selectable operations for using embodiments of the invention, other means of expressing the operations discussed above may be used. For example, a free-form template may be used in which the operations are to be selected and corresponding tags are automatically inserted in a draft policy
25 document in real time after the operations are selected. In this example, the user 114 may select (e.g., using an input device) any operations, such as “Select Target,” and the corresponding tags may be inserted in to a draft policy document in real time. In a further alternative embodiment, drop-down-menus or other dynamic GUI techniques may be employed to further the generation of the policy document
30 according to an embodiment of the invention.

[0032] Referring again to FIG. 1 and as illustrated above in FIG. 3, the policy document 102 is generated in response to instructions and preferences of the user 114. In one example, a collection of the policy document may be provided to the policy authority 104 via automated means, such as in a batch. In another embodiment, the graphical screen shot 300 shown in FIG. 3 is provided by a policy generator 116 which receives instructions or input from the user 114 to generate the policy document. An association component 118 associates a selected set of target devices 106 with the policy document 102 based on the instructions from the user 114. The association component 118 also associates a set of target information 130 with the policy document 102. In one embodiment, the information about the selected set of target devices include information about the software installed on the target devices and information relating to characteristics of each piece of software of the selected set of target devices. For example, the information may include whether the software is based on legacy system, or the like.

[0033] Once the selected set of target devices 106 is associated with the policy document 102, a rule evaluator 122 compares the set of policy rules included in the policy document 102 with other policy rules for the software with respect to the target devices. For example and again referring to FIG. 3, the rule evaluator 122 compares the policy document 102 with existing or pending policy documents yet to be applied to the selected set of target devices. For example, the rule evaluator 122 compares the policy document 102 with the existing or pending policy documents created by a second instruction (e.g., from a user or pre-configured in an operating system, policy authority 104, client 106 or other automated sources). In another embodiment, a detection component 124 scans the content of the policy documents and compares the policy rules in each of the policy documents to determine whether there is a conflict between two policy rules within the policy document. In another alternative embodiment, the policy document 102 may be modified, either by the user 114 or by components of the policy authority 104, to resolve the conflict. For example, FIG. 3 discusses at least one method of resolving conflicts based on the conflict resolution preferences.

[0034] Once the policy document 102 is validated, the policy document 102 is compared by the rule evaluator 122, the policy document 102 is made available by the policy authority 104 to the selected set of target devices 106. An interface 126 receives the policy document 102 from the policy authority 104 and the selected set of target devices 106 may retrieve the policy document 102 from the policy authority 104 via the interface 126 or received a notification first before retrieving the policy document 102. In one embodiment, the interface 126 may be stateless, such as acting as a gateway between the policy authority 104 and the target devices 106, and does not store the policy document 102. For example, the policy authority 104 includes a notification component 134 for transmitting the notification to the target devices. In yet another embodiment, the policy authority 104 may include a proxy server 126 for performing part of the operations for notifying the selected set of target devices 106 (to be discussed further in FIG. 2). In yet another alternative embodiment, the policy generator 116, the association component 118, the rule evaluator 122, and the detection component 124 are computer-executable components embodied in one or more computer-readable media.

[0035] Referring now to FIG. 2, a block diagram illustrates exemplary components associated with the target device 106 according to an embodiment of the invention. The target device 106 includes a collection of local memory area 202, which includes storage area for storing the policy document 102 transmitted from the server 104, cache of the policy document, and a data store storing configuration settings (e.g., a configuration store). The target device 106 also includes a processor 206 for executing computer-executable instructions, codes, executable expressions, or the like. The target device 106 also includes a notification receiver 208 or a listener for periodically monitoring a notification or availability of the policy document from the server. In one example, the notification receiver 208 may contact the server at a predetermined time, for example, every 10 days or the like, for the policy document 102. In the instance described above in FIG. 3 when an immediate delivery is requested, the notification receiver 208 may monitor the server periodically for the policy document 102. Once the policy document 102 is available for the target device 106, the policy

document 102 is stored locally on the memory area 202 associated with the target device 106. In one embodiment, the target device 106 may establish a first connection with the server 104 when retrieving the policy document from the server 104 and may terminate the first connection after completing the policy document 102 retrieval.

[0036] Once the policy document 102 is stored locally on the target device 106, the target device 106 evaluates the policy rules based on the software states of the software 210. For example, software configurations includes configurable parameter, such as screen saver timer value or value for “enabling word wrap” for a text editing software. In another example, software state is stored in various forms in various local memory or data storage areas. These settings state may include state that is a configurable parameter, or other state like the last window size and position of an application window. For simplicity, all forms of such storage are depicted as a single software setting store (e.g., memory area 202). As such, the target device 106 reviews or examines the policy rules with the current software state to determine whether the software 210 complies with the rules defined in the policy document 102. In an alternative embodiment, one or more settings providers 218 (to be discussed in further details below) are used to retrieve and set current software state from the memory area 202.”

[0037] An alternative embodiment of the invention includes an enactment engine 212 for applying the policy rules included in the policy document to the software 210 on the target device 106. For example, the enactment engine 212 includes one or more computer-executable components for processing the policy rules. In one example, FIG. 5B illustrates an exemplary document generated on a managed target device as part of the enactment of policies by the enactment engine 212 on the target device according to an embodiment of the invention. In another embodiment, a management interface 214 exposes or provides an application programming interface (API) for the enactment engine 212 to be used by the user 114 to create locally policy documents for the managed target device. As such, the target device 106 may receive the policies from the policy authority 104 or the target device 106 may receive the policies from the user 114 of the target device

106. All policies retrieved are stored in the memory area 202 regardless of the source.

[0038] In a further embodiment, the target device 106 also includes a reporter 204 for reporting to the policy authority 104 or the proxy server 126 information associated with the status of the implementation or application of policy rules included in the policy document 102. Embodiments of the invention overcome shortcomings of existing technologies by establishing a common reporting system enabling an easy auditing of the compliance status (e.g., via a change notifier 216) of the software installed on the target device 106 within a distributed computer network.

[0039] Alternatively, embodiments of the invention enable the target device 106 to include at least one settings provider 218 for properly applying the software configurations to the software 210. For example, the settings provider 218 reviews the policy rules in the policy document 102 and determines where the settings for the software 210 are located. As such, the settings provider 218 determines, in order to make the software 210 comply with the policy rules in the policy document 102, which part of the software 210 is to be configured. The settings provider 218 next prepares the determined information, such as setting parameter locations, and convert the information to a document with the software configuration values in XML format or other executable expression formats. In another embodiment, the settings providers 218 may act as an interface or intermediary between the enactment engine 212 and the memory area 202, and may translate data in the memory area 202 to and from the common form according to the schema of the invention.

[0040] In another embodiment, the target device 106 may include a mobile device or a portable (not shown) and the proxy server 126 in FIG. 1 may perform portions or parts of the operations described above in FIG. 2. For example, due to the processing and/or memory limitation of the portable or mobile device, the proxy server 126 may request the policy document 102 for the portable or mobile device. The proxy server 126 retrieves the policy document 102 on behalf of the portable or mobile device and the enactment engine 212 on the portable or mobile device

executes the policy rules. The reporter 204 reports the status or state of the software to the policy authority 104. In yet another aspect of the invention, the target device 106 may include a client requestor 218 for actively requesting the policy document from the policy authority 104.

5 [0041] In one other aspect of the invention, the reporter 204, the notification receiver 208, the enactment engine 212, the management 214, the change notifier 216, the setting providers 218, or the client requestor 220 may be embodied in one or more computer-readable media as computer-executable components coupled to the target device 106. In a further embodiment, the policy authority 104 may be
10 physically embodied with the target device 106 on the same hardware or may be co-resident on the same hardware with the target device 106 (as illustrated by the broken lines in FIG. 2).

[0042] Referring now to FIG. 4, an exemplary flow chart illustrates operations of applying software configurations to software installed on a device according to an
15 embodiment of the invention. For example, the receiver 222, the reporter 204, the notification receiver 208, the enactment engine 212, the settings provider 218, and the management interface 214 perform at least one or more of the operations described in FIG. 4. In one embodiment where the policy authority 104 and the target device 104 are connected or coupled via a network, at 402, a first connection
20 is established with the policy authority (e.g., policy authority 104). The connection may be instant, such as via the network through an interface component (e.g., interface 128).

[0043] In an alternative embodiment where the policy authority 104 and the target device 104 are embodied in one single unit, one or more policy documents are
25 stored in a computer-readable medium (e.g., a memory area) and are available to the target device. In a further alternative embodiment, a package or a collection of all policy documents associated with a target device is stored on a computer-readable medium (e.g., a CD-ROM or a DVD-ROM) and is made available or accessible to the target device when the computer-readable medium is next
30 delivered to the target device.

[0044] At 404, the policy authority 104 specifies a target device or a group of target devices to receive a policy document. For example, as illustrated above in FIG. 3, the user 114 may provide instructions to specify a target device or a group of target devices to receive the policy document. For each specified group, the policy authority 104 enumerates or identifies the target devices belonging to the group at 406. At 408, the policy authority 104 enumerates or identifies the set of policy rules assigned to the target devices for each group. At 410, the policy rules are aggregated into one or more plurality of policy documents.

[0045] Under the instant connection scenario, the device (e.g., target device 106) receives the policy document 102 from the policy authority 104 through the first connection via the network at 412. In one embodiment, the receiver 222 receives the policy document for the target device. In another embodiment, the receiver 222 may be part of the interface 128. In another embodiment, the policy document is stored on a computer-readable medium, and the target device receives the policy document through the computer-readable medium.

[0046] At 414, the policy document 102 is stored in a data store (e.g., data store 202) associated with the device. The set of policy rules specified in the policy document 102 is applied to the software (e.g., software 210) installed on the device at 416. For example, suppose the set of policy rules define the length of time for the screen saver, the policy rules are to be applied to the software. A reporter (e.g., reporter 204) provides feedback to the policy authority 104 indicating whether the set of policy rules is applied successfully to the software at 418.

[0047] In the alternative embodiment where a delayed connection is employed, the feedback is stored in another computer-readable medium, and the computer-readable medium is sent (e.g., via mail delivery) to the IT management operating/managing the policy authority 104.

[0048] In an alternative embodiment, the interface 128 terminates the first connection with the policy authority 104 after retrieving the policy document from the policy authority. In yet another embodiment, the management interface 214, which provides an API to identify parameters and functions of the software 210, provides additional UI to a user of the device for additional configuration or

modifications. For example, suppose an administrator is stationed at the device and wishes to troubleshoot the device 106. With the management interface 214, the administrator may diagnose or troubleshoot the problems and review how the software configurations are applied to the software.

5 [0049] In operation, a computer such as the device executes computer-executable instructions such as those illustrated in the figures (e.g., FIG. 2) may be employed to implement aspects of the invention.

[0050] The order of execution or performance of the operations in embodiments of the invention illustrated and described herein is not essential, unless otherwise
10 specified. That is, the operations may be performed in any order, unless otherwise specified, and embodiments of the invention may include additional or fewer operations than those disclosed herein. For example, it is contemplated that executing or performing a particular operation before, contemporaneously with, or after another operation is within the scope of aspects of the invention.

15 [0051] Embodiments of the invention may be implemented with computer-executable instructions. The computer-executable instructions may be organized into one or more computer-executable components or modules. Aspects of the invention may be implemented with any number and organization of such components or modules. For example, aspects of the invention are not limited to
20 the specific computer-executable instructions or the specific components or modules illustrated in the figures and described herein. Other embodiments of the invention may include different computer-executable instructions or components having more or less functionality than illustrated and described herein.

[0052] When introducing elements of aspects of the invention or the embodiments
25 thereof, the articles “a,” “an,” “the,” and “said” are intended to mean that there are one or more of the elements. The terms “comprising,” “including,” and “having” are intended to be inclusive and mean that there may be additional elements other than the listed elements.

[0053] Having described aspects of the invention in detail, it will be apparent that
30 modifications and variations are possible without departing from the scope of aspects of the invention as defined in the appended claims. As various changes

could be made in the above constructions, products, and methods without departing from the scope of aspects of the invention, it is intended that all matter contained in the above description and shown in the accompanying drawings shall be interpreted as illustrative and not in a limiting sense.

Appendix A

[0054] Scalar types

Type
64-bit long integer, signed and unsigned
32-bit integer, signed and unsigned
8-bit unsigned byte sequence (aka “binary blob”)
UTF-8 string
URI
Enumeration
Boolean
Double (In one example, floating point type may be used to accommodate at least xs:float-sized data and xs:double-sized data.)
Datetime
Document reference
Struct

Appendix B

[0055] In the below table, P represents the value of a property variable (a SettingValue), v represents a scalar literal value, and V represents an aggregate literal value:

Operator	Semantics	Notes
Equality: $P == v$ where P and v are of compatible type	Returns true if P and v are considered equal. Aggregate equality is that both arrays are the same length and $P[i] == v[i]$ for all i in P. Given that aggregates are unique and unordered, aggregate equality is the same as “P contains exactly the elements of v.”	In one embodiment, string equality (e.g., lexical or literal), case-insensitive comparison for strings, whitespace-insensitive comparison for strings, “comparison semantics” for string types, conflict detection (e.g., $P == V$, $P == Y$ conflicts) and other features may be included.
Inequality: $P != v$ where P and v are of compatible type	Returns not ($P == v$)	Conflict Detection/Examples: $P == V$, $P != V$ Conflicts $P = \{On, Off\}$ $P != On$, $P != Off$ Conflicts
Less than: $P < v$ (I believe that all that is really needed is equality, less than, and negation -- the others can be defined in terms of these)	Returns true if P is less than v. Not defined for aggregates or structs (See note 2.)	Same comments for equality of string types. Conflict Detection/Examples: Example 1: $P < 10$, $A = 9$ $P < 5$, $A = 4$ – conflicts Example 2: $P < 10$, $A = 3$ $P < 5$, $A = 4$ – does not conflict
Less than or equal: $P <= v$	Returns ($P < v$) or ($P == v$) Not defined for aggregates or structs (See note 2.)	Conflict Detection/Examples: Similar to above
Greater than: $P > v$	Returns not ($P <= v$) Not defined for aggregates or structs (See note 2.)	Conflict Detection/Examples: Similar to above

Greater than or equal to: $P \geq v$	Returns (not $(P < v)$) or $(P == v)$ Not defined for aggregates or structs (See note 2).	Conflict Detection/Examples: Similar to above
Contains: $P.contains(v)$ where P is an aggregate type and v is a compatible scalar type	Returns true if $P.count > 0$ and there exists at least one value of i for which $P[i] == v$.	Strings are not aggregates. To get “string P contains a substring v ,” use the <code>matches()</code> operator. Conflict Detection/Examples: Straight forward
Contains: $P.contains(V)$ where P is an aggregate type and v is a compatible aggregate type.	Returns true if $(v = V[i]; P.contains(v))$ for every i in V	Strings are not aggregates. Conflict Detection/Examples: Straight forward and does not depend on the ordering of the v . Identical to specifying $P.contains(v1)$ and $P.contains(v2)$ and $P.contains(v3)$ where $V = \{v1, v2, v3\}$
Matches: $P.matches(p)$ where p is a regex pattern and P is a string	Returns true if the regular expression evaluator indicates that P matches the expression p . (See Note 6)	Regex pattern is that which is specified in the XML Schema spec. (See Note 5)
Is One Of: $P.isOneOf(V)$ where P is a scalar type and v is an aggregate of a compatible type	Returns true if there exists at least one value of i for which $P == V[i]$ for all i in V . This is the same as $V.contains(P)$	(See note 4)
Aggregate count: $P.count() op v$, where P is an aggregate type, op is one of { equals, less than, less than or equal to, greater than, greater than or equal to }, and v is an integer value	Returns true is the number of values in P meets the criteria stipulated.	
Logical negation: not $expr$	Returns true if $expr$ is false, false if $expr$ is true.	
Logical and: $expr1$ and $expr2$	Returns true if $expr1$ is true and $expr$ is also true, false otherwise.	If $expr1$ is false, then $expr2$ may not be evaluated.

Logical or: expr1 or expr2	Returns true if either expr1 or expr2 is true, false otherwise	If expr1 is true, then expr2 may not be evaluated.
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[0056] 1. “Of compatible type” will need to be formally defined.

[0057] 2. In one embodiment, an aggregation may be established using $P.count == v.count$ and $P[i] < v[i]$ for all i in P .

[0058] 3. Expressions are evaluated left-to-right, and in an alternative
5 embodiment, some or all of expressions may not be evaluated in a policy
document.

[0059] 4. IsOneOf may allow restriction of values to a degree even finer than
possible by that of an enumeration. For example, the developer may define the
enumeration as “Low, Medium, High, Very High,” but the allowed values per the
10 admin intent are “Low and Medium.” Therefore, the administrator’s policy is
expressed as an assertion like $P.IsOneOf(\{Low, Medium\})$. Note that IsOneOf may
be used with other scalar types than enums. For instance, the developer may say
that the setting is an int between 0 and 100, but the admin can use IsOneOf to
restrict the setting to, say, 10, 42, 50, and 85.

15 [0060] 5. In one alternative embodiment, the conflict detection may be employed
as a static analysis of assertion expressions.

[0061] 6. An aggregate Matches() operator may be defined for aggregates of
scalar string types by saying that all elements of the aggregate must match the
pattern.

Appendix C

[0062] In an alternative embodiment, exemplary operators on aggregate types used in the definition of policy rules may be represented as below:

Operator
Equality: $P == v$ where P and v are of compatible type
Inequality: $P != v$ where P and v are of compatible type
Less than: $P < v$
Less than or equal: $P <= v$
Greater than: $P > v$
Greater than or equal to: $P >= v$
Contains: $P.contains(v)$ where P is an aggregate type and v is a compatible scalar type
Contains: $P.contains(V)$ where P is an aggregate type and v is a compatible aggregate type.
Matches: $P.matches(p)$ where p is a regex pattern and P is a string
Is One Of: $P.isOneOf(V)$ where P is a scalar type and v is an aggregate of a compatible type
Aggregate count: $P.count() op v$, where P is an aggregate type, op is one of { equals, less than, less than or equal to, greater than, greater than or equal to }, and v is an integer value
Logical negation: not expr
Logical and: $expr1$ and $expr2$
Logical or: $expr1$ or $expr2$
Replace existing value (scalar)
Replace existing value (aggregate)
Merge scalar w/ existing aggregate value
Merge aggregate w/ existing aggregate value
Remove existing scalar value from aggregate value (aggregate only) (if ACL contains group1, remove group1)
Remove existing values from aggregate value (set difference)
Compute compliant value

Appendix D

[0063] Exemplary actions to be included in a policy document according to an embodiment of the invention:

Action	Semantics	Description
No-op	Does nothing	used to report compliance failure
Replace existing value (scalar)	$P = v$ Postconditions: $P.equals(v)$ is true	If P has no prior value (it is not set), then the new value of P is v. If P has a prior value (it is set), then the new value is v.
Replace existing value (aggregate)	$P = v$ Postcondition: $P.equals(v)$ is true $P[i] == v[i]$ for all i in v $P.count == v.count$	If P has no prior value (it is not set), then the new value of P is v. If P has a prior value (it is set), then the new value is v. Elements are added or removed from P such that P and v have the same length.
Merge scalar w/ existing aggregate value	If $P.contains(v)$, then do nothing, else add v as a new element of P Postcondition: $P.contains(v)$ is true $P_{new}.count = P_{old}.count + (P_{old}.contains(v) ? 0 : 1)$ P is an aggregate, v is scalar	As aggregates are unordered, “where” in the aggregate the new elements are added is not defined or significant.
Merge aggregate w/ existing aggregate value	Same as in scalar merge for all $v = V[i]$ for all i in V	
Remove existing scalar value from aggregate value (aggregate only) (if ACL contains group1, remove group1)	$P = P - v$ If not $P.contains(v)$ then do nothing, else find the element $p = P[i]$ where $p == v$, and remove it. Postcondition: $P.contains(v)$ is false $P_{new}.count = P_{old}.count - (P_{old}.contains(v) ? 1 : 0)$	
Remove existing values from aggregate value (set difference)	$P = P - V$ Same as in scalar remove for all $v = V[i]$ for all i in V	

CLAIMS

What is claimed is:

1. A computerized method for applying policy rules to software installed on a device, said software being configured by an existing set of software configurations, said computerized method comprising:
 - specifying a group of devices to receive policy rules for the software;
 - identifying the devices belonging to the specified group;
 - identifying a set of policy rules assigned to the devices for the specified group;
 - aggregating the set of policy rules assigned to the devices into one or more policy documents;
 - receiving the one or more policy documents;
 - storing the received policy documents in a data store associated with the device;
 - applying, to the software, the set of policy rules specified by the received policy documents; and
 - providing feedback to the policy authority in response to said applying, said feedback being indicative of whether the set of policy rules is applied to the software.
2. The computerized method of claim 1, further comprising establish a first connection with the policy authority before the specifying and terminating the first connection after retrieving the one or more policy documents from the policy authority.
3. The computerized method of claim 1, further comprising comparing the set of policy rules included in the received policy documents with the set of existing software configurations associated with the software for conflict determination, and wherein applying the set of policy rules included in the received policy document after said comparison determines a conflict exists.
4. The computerized method of claim 3, wherein applying comprises applying the set of existing software configurations associated with the software after said comparison determines the conflict exists.

5. The computerized method of claim 1, wherein applying comprises applying a portion, an entirety, or none of the set of policy rules included in the received policy documents.

6. The computerized method of claim 1, wherein providing feedback comprises providing a report to the policy authority, said report including information indicating at least one of the following: whether the policy documents are received by the device; whether the set of policy rules is applied to the software successfully, and whether the set of policy rules complies with rules for configuring the software.

7. The computerized method of claim 1, further comprising establishing a second connection with the policy authority, and wherein said providing feedback comprises providing feedback to the policy authority via the second connection.

8. The computerized method of claim 2, wherein receiving comprises one or more of the following: periodically monitoring the policy authority for the policy documents through the first connection, or receiving a notification from the policy authority indicating that the policy document is available.

9. The computerized method of claim 1, wherein one or more computer-readable media have computer-executable instructions for performing the method of claim 1.

10. A system for applying policy rules to software (210) installed on a device, said software being configured by an existing set of software configurations, said system comprising:

a processor (206) configured for executing computer-executable components for:

specifying a group of devices to receive policy rules for the software (210);

identifying the devices belonging to the specified group;

identifying a set of policy rules assigned to the target devices for the specified group;

aggregating the set of policy rules assigned to the target devices into one or more policy documents;

receiving the one or more policy documents;
applying, to the software (210), the set of policy rules specified by the
received policy documents; and

providing feedback to the policy authority (104) in response to said
5 applying, said feedback being indicative of whether the set of policy rules is
applied to the software; and

a memory area (202) stores the received policy documents (102).

11. The system of claim 10, further comprising an interface for establishing a
first connection with the policy authority before specifying, and wherein the
10 interface is configured to terminate the first connection after receiving the policy
documents from the policy authority.

12. The system of claim 10, wherein the processor is configured to compare the
set of policy rules included in the received policy documents with a set of existing
software configurations associated with the software on the device and wherein the
15 processor is configured to apply the set of policy rules included in the received
policy documents after said comparison.

13. The system of claim 12, wherein the processor is configured to apply a
portion, the entirety, or none of the set of policy rules.

14. The system of claim 10, wherein the feedback comprises a report to the
20 policy authority including information indicating at least one of the following:
whether the policy documents are received by the device; whether the set of policy
rules is applied to the software successfully, and whether the set of policy rules
complies with rules for configuring the software.

15. The system of claim 10, wherein the interface is configured to further
25 establishing a second connection with the policy authority, and wherein said
providing feedback comprises providing feedback to the policy authority via the
second connection.

16. One or more computer-readable storage media having computer-executable
components for applying software configurations to software installed on a device,
30 said computer-executable components comprising:

a policy generator (116) for specifying a group of devices to receive policy rules for the software, wherein the policy generator identifies the devices belonging to the group;

an association component (118) for identifying policy rules assigned to the target devices (106) for each group, wherein the association component aggregates the policy rules assigned to the target devices into one or more policy documents;

a client requestor (220) for receiving the one or more policy documents from the policy authority;

an enactment engine (212) for applying, to the software, the set of policy rules specified by the received policy documents;

a reporter (204) for providing a feedback via the interface component to the policy authority, said feedback being indicative of whether the set of policy rules applied to the software installed on the device; and

a data store (202) for storing the received policy documents on the device (106).

17. The computer-readable storage media of claim 16, further comprising a settings provider for identifying an association with the software as a function of the policy rules applied by the enactment engine.

18. The computer-readable storage media of claim 16, wherein the interface component is configured to further establishing a second connection with the policy authority, and wherein the reporter provides feedback to the policy authority via the second connection.

19. The computer-readable storage media of claim 16, wherein the interface establishes a first connection with a policy authority before the policy generator, and wherein the interface component terminates the first connection after the client requestor receives the policy document from the policy authority.

20. The computer-readable storage media of claim 19, further comprising a notification receiver for periodically monitoring the policy authority for the policy documents through the first connection.

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FIG. 1

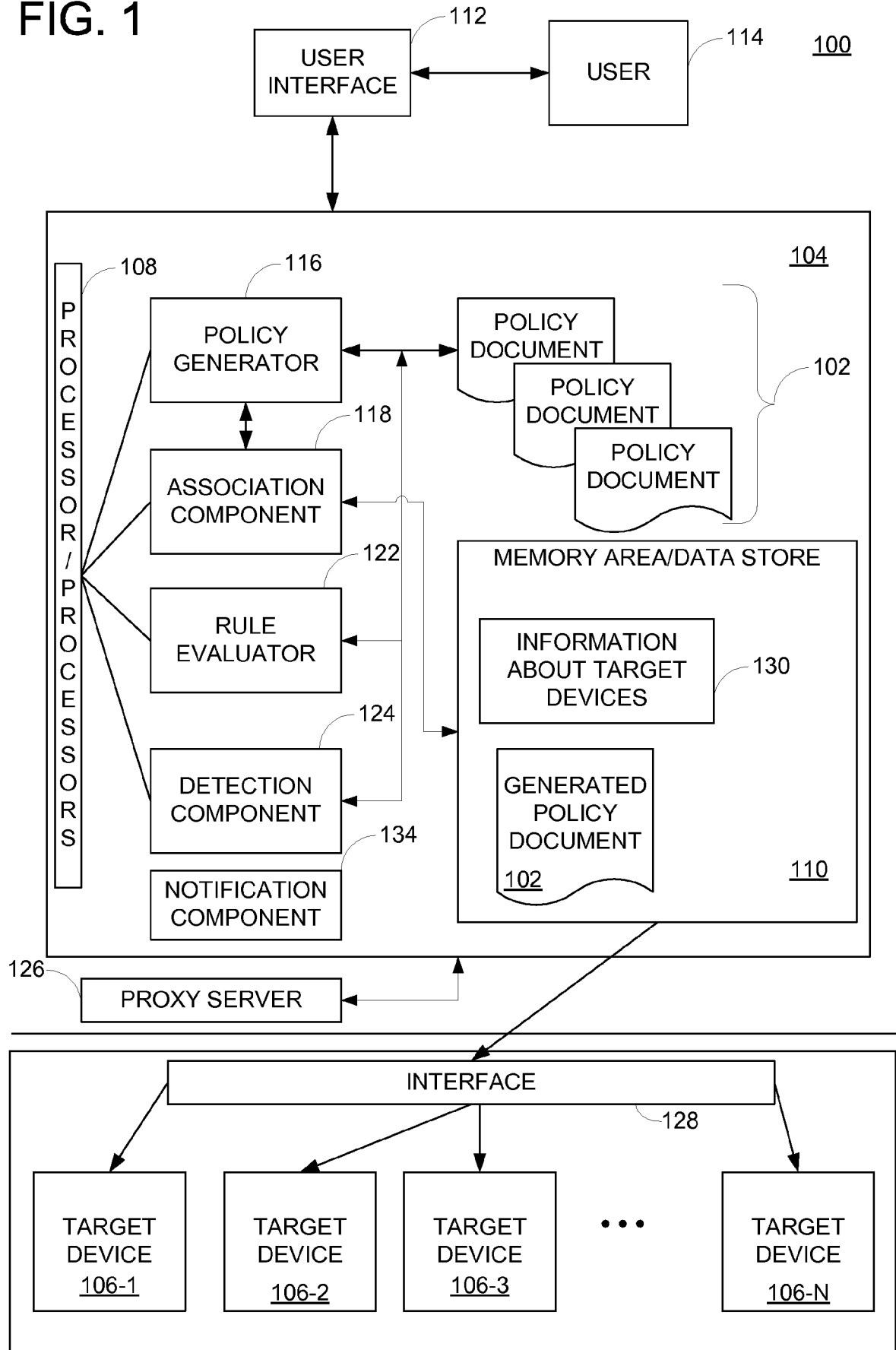
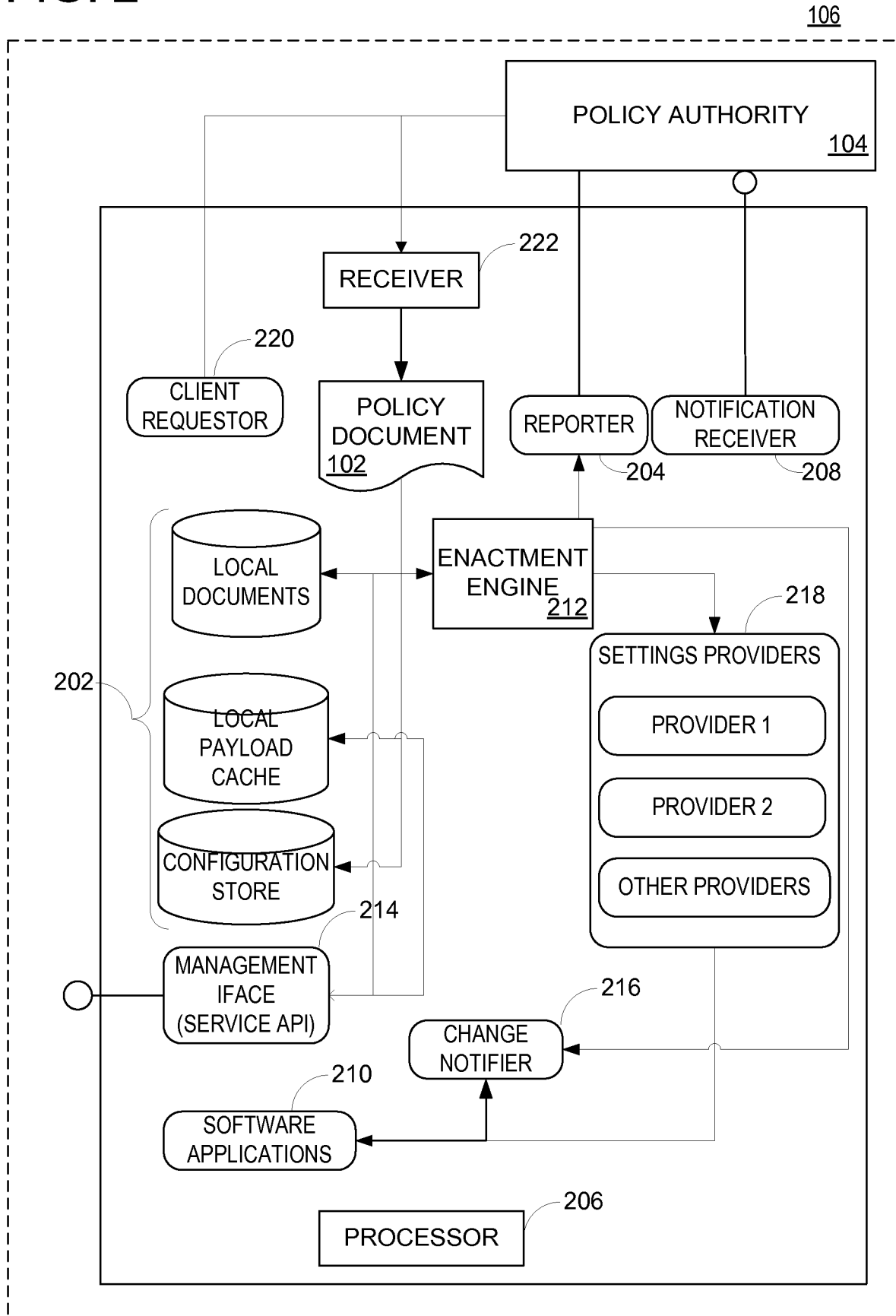


FIG. 2



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FIG. 3

300

POLICY GENERATION SCREEN	
<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">ADMINISTRATOR IDENTIFICATION: 302</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">RULE: 304<div style="border: 1px solid black; padding: 10px; margin-top: 5px;">Assert(screensaver.timer < 15) ⋮</div></div> <div style="border: 1px solid black; padding: 10px; margin-bottom: 10px;"><div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">SELECT TARGET:</div><div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"><div style="border: 1px solid black; padding: 2px; text-align: center;">GROUP 1</div><div style="border: 1px solid black; padding: 2px; text-align: center;">BUILDING K</div><div style="border: 1px solid black; padding: 2px; text-align: center;">BUILDING 15</div><div style="border: 1px solid black; padding: 2px; text-align: center;">ALL</div><div style="border: 1px solid black; padding: 2px; text-align: center;">ACCOUNTING</div></div><div style="border: 1px solid black; padding: 2px; text-align: center;">CREATE NEW GROUP 308</div></div> <div style="border: 1px solid black; padding: 10px; margin-bottom: 10px;"><div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">DELIVERY OPTIONS:</div><div style="display: flex; justify-content: space-between; align-items: center;"><div style="border: 1px solid black; padding: 2px 10px;">IMMEDIATE/EXPEDITED</div><div style="text-align: center;"><input checked="" type="checkbox"/></div></div><div style="display: flex; justify-content: space-between; align-items: center;"><div style="border: 1px solid black; padding: 2px 10px;">SCHEDULED</div><div style="text-align: center;"><input type="checkbox"/></div></div><div style="text-align: right;">312</div></div> <div style="border: 1px solid black; padding: 10px;"><div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;">CONFLICT RESOLUTION PREFERENCES:</div><div style="display: flex; align-items: center; margin-bottom: 10px;"><div style="border: 1px solid black; padding: 2px 10px;">CONFLICT DETECTED?</div><div style="margin: 0 10px;">YES →</div><div style="border: 1px solid black; padding: 2px 10px;">RULE 120; CREATED BY ADMIN ID <u>AA</u> ON 12/14/2006...</div></div><div style="display: flex; justify-content: space-between; align-items: center;"><div>NO</div><div style="border: 1px solid black; padding: 2px 10px;">MORE INFO 316</div></div><div style="display: flex; align-items: center; margin-bottom: 10px;"><div style="border: 1px solid black; padding: 2px 10px;">OVERRIDE</div><div style="text-align: center;"><input type="checkbox"/></div></div><div style="display: flex; align-items: center; margin-bottom: 10px;"><div style="border: 1px solid black; padding: 2px 10px;">SYSTEM</div><div style="text-align: center;"><input checked="" type="checkbox"/></div></div><div style="display: flex; align-items: center;"><div style="border: 1px solid black; padding: 2px 10px;">CUSTOMIZE</div><div style="text-align: center;"><input type="checkbox"/></div></div><div style="border: 1px solid black; padding: 5px; margin-top: 10px;">IF ADMIN ID = XBX THEN OVERRIDE RULE PARAMETER; 318</div><div style="text-align: right;">314</div></div>	

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FIG. 4

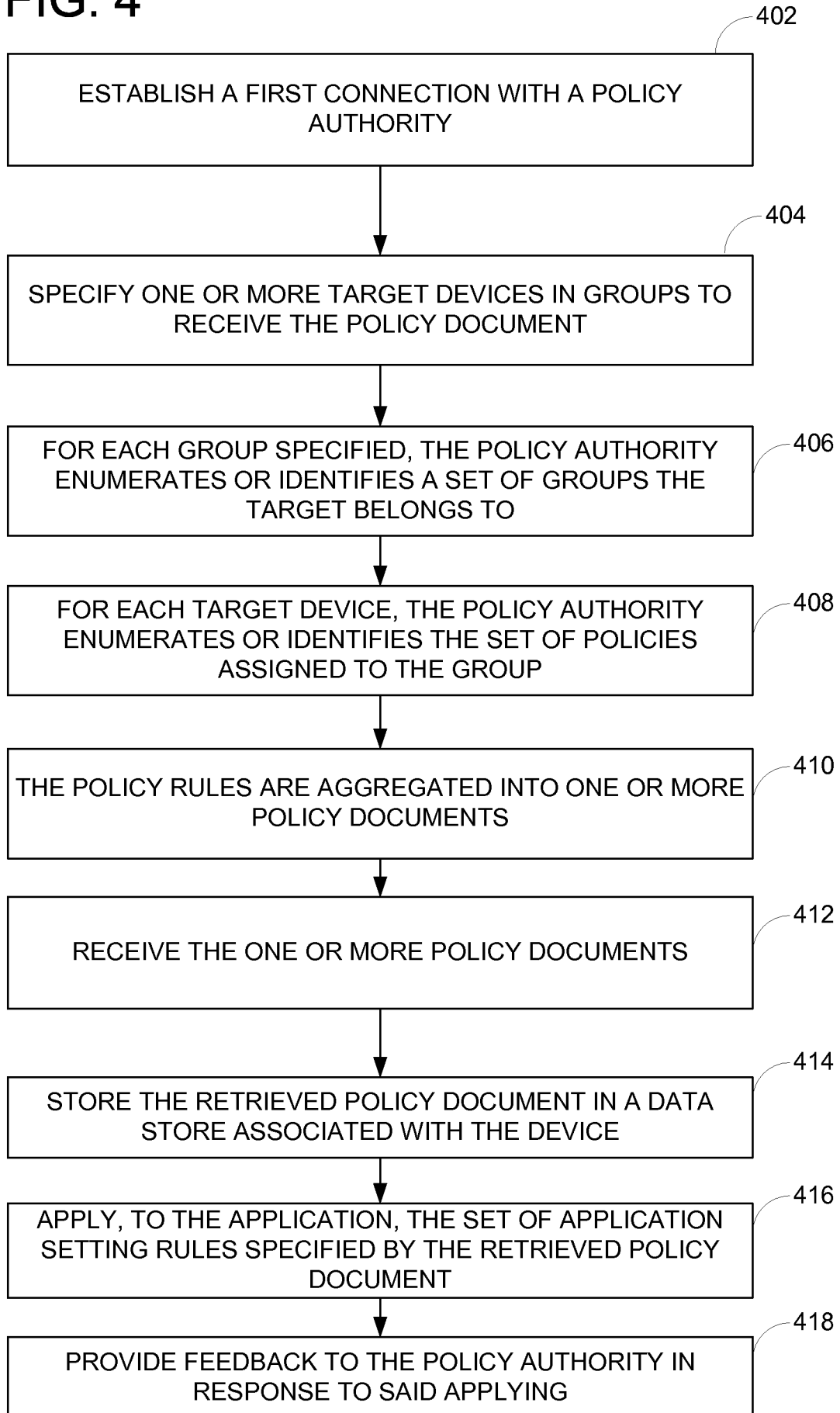


FIG. 5A

```
<RULES>
  <RULE RULEID="RULE301">
    <SOFTWAREITEMID>HTTP://EXAMPLE.SOFTWARE.ITEM</
SOFTWAREITEMID>
    <SETTINGNAME>SCREENSAVERTIMEOUT</SETTINGNAME>
    <ASSERTIONEXPRESSION>( . &GT; 15) AND ( . &LT; 25)</
ASSERTIONEXPRESSION>
    <RULEACTION>
      <RULEACTIONVERB>COMPUTECOMPLIANTVALUE</RULEACTIONVERB>
    </RULEACTION>
  </RULE>
</RULES>
```

FIG. 5B

AN EXAMPLE OF SETTINGVALUES AS THEY APPEAR IN A SETTINGSVALUES DOCUMENT:

```
<SIMPLEINTSETTING>
  <VALUE>10</VALUE>
</SIMPLEINTSETTING>

<SAMPLESCALARSTRUCTSETTING>
  <VALUE>
    <MEMBERA>12</MEMBERA>
    <MEMBERB>HELLO, WORLD</MEMBERB>
  </VALUE>
</SAMPLESCALARSTRUCTSETTING>

<SAMPLEINTARRAYSETTING>
  <VALUE>1</VALUE>
  <VALUE>2</VALUE>
  <VALUE>3</VALUE>
  <VALUE>8</VALUE>
  <VALUE>9</VALUE>
  <VALUE>10</VALUE>
</SAMPLEINTARRAYSETTING>

<SAMPLEAGGREGATESTRUCTSETTING>
  <VALUE>
    <ANINTMEMBER>1</ANINTMEMBER>
    <AFLOATMEMBER>1.0</AFLOATMEMBER>
    <ASTRINGMEMBER>ONE</ASTRINGMEMBER>
  </VALUE>
  <VALUE>
    <ANINTMEMBER>2</ANINTMEMBER>
    <AFLOATMEMBER>2.0</AFLOATMEMBER>
    <ASTRINGMEMBER>TWO</ASTRINGMEMBER>
  </VALUE>
</SAMPLEAGGREGATESTRUCTSETTING>
```

A. CLASSIFICATION OF SUBJECT MATTER**G06F 13/10(2006.01)i**

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 8 G06F

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Korean Utility models and applications for Utility models since 1975

Japanese Utility models and applications for Utility models since 1975

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

eKIPASS (KIPO internal) & keywords : "information, application, change, group, screen, setting, computer"

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 20050234944 A1 (OHTANI) 20 Oct. 2005 See the abstract; figures 21-25; paragraphs [0151] - [0156].	1 - 20
Y	US 20040148367 A1 (TAKANO et al.) 29 Jul. 2004 See the abstract; figures 1, 2, 5, 22; paragraphs [0038] - [0041], [0044], [0048], [0082].	1 - 20
A	JP 2003-030023 A (NEC MICROSYSTEMS LTD.) 31 Jan. 2003 See the abstract; figures 1, 2; paragraphs [0023] - [0025].	1 - 20
A	US 20050086654 A1 (SUMI et al.) 21 Apr. 2005 See the abstract; figure 2; paragraphs [0067] - [0078].	1 - 20



Further documents are listed in the continuation of Box C.



See patent family annex.

* Special categories of cited documents:

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"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

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"&" document member of the same patent family

Date of the actual completion of the international search

19 JUNE 2008 (19.06.2008)

Date of mailing of the international search report

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BAE, Kyung Hwan

Telephone No. 82-42-481-5768



INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No.

PCT/US2008/051719

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