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United States Patent [19]

Montague et al.

[11] **Patent Number: 5,761,669**

[45] **Date of Patent: Jun. 2, 1998**

[54] **CONTROLLING ACCESS TO OBJECTS ON MULTIPLE OPERATING SYSTEMS**

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[73] Assignee: **Microsoft Corporation**, Redmond, Wash.

[21] Appl. No.: **534,197**

[22] Filed: **Sep. 26, 1995**

Related U.S. Application Data

[63] Continuation-in-part of Ser. No. 465,990, Jun. 6, 1995, Pat. No. 5,675,782.

[51] **Int. Cl.**[6] **G06F 17/30**

[52] **U.S. Cl.** **707/103**; 707/104

[58] **Field of Search** 395/650, 614, 395/700, 728, 800, 186; 379/95; 707/103, 104

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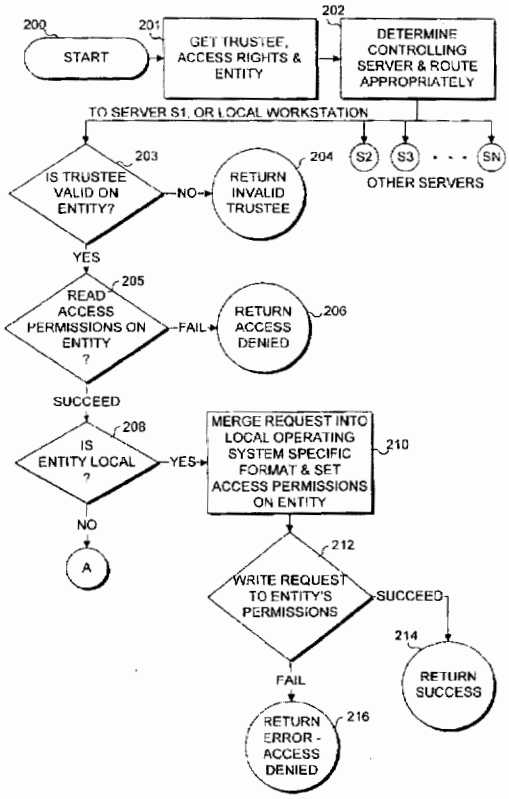
Assistant Examiner—Frantz Coby
Attorney, Agent, or Firm—Ronald M. Anderson

[57] **ABSTRACT**

A method and system for controlling access to entities on a network on which a plurality of servers are installed that use different operating systems. A request is entered by a user at a workstation on the network to set access permissions to an entity on the network in regard to a trustee. In response to the request, various application programming interfaces (APIs) are called to translate the generic request to set permissions on the entity into a format appropriate for the operating system that controls the entity. Assuming that the user has the appropriate rights to set access permissions to the entity as requested, and assuming that the trustee identified by the user is among those who can have rights set to the entity, the request made by the user is granted. Entities include both "containers" and "objects." Entities are either software, such as directories (containers) and files (objects), or hardware, such as printers (objects).

26 Claims, 12 Drawing Sheets



Google Exhibit 1051
Google v. VirtaMove

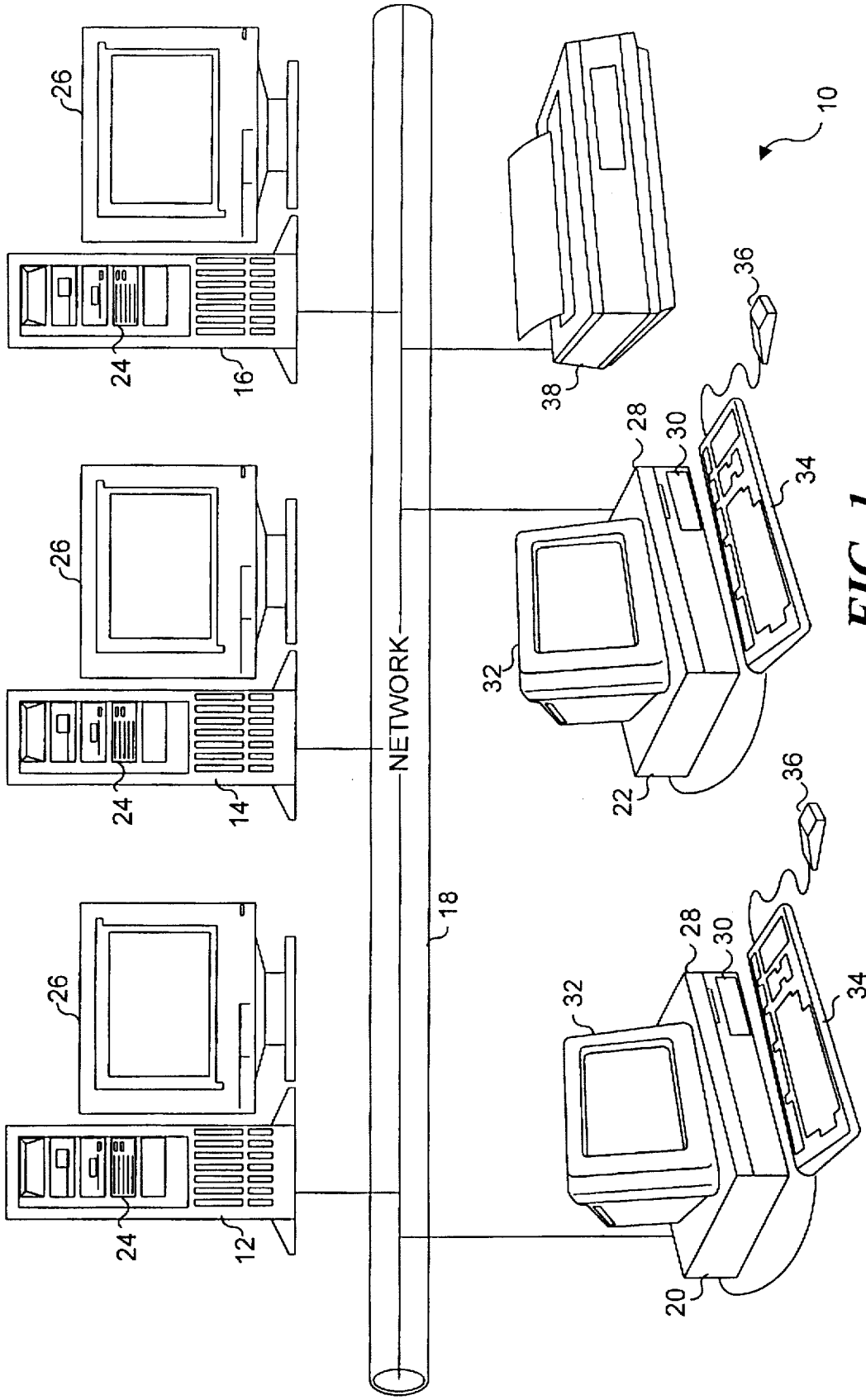


FIG. 1

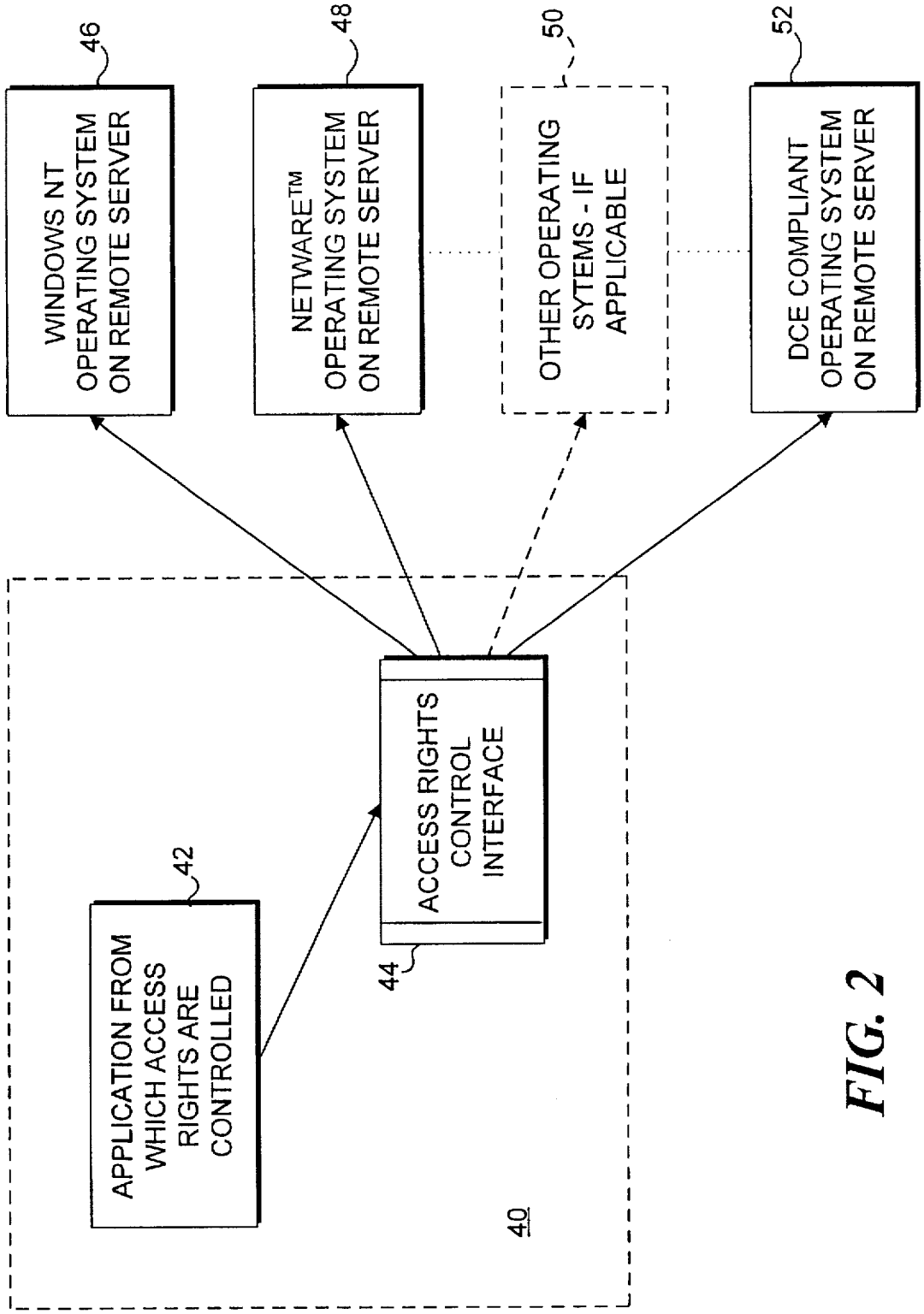

46
WINDOWS NT OPERATING SYSTEM ON REMOTE SERVER
48
NETWARE™ OPERATING SYSTEM ON REMOTE SERVER
50
OTHER OPERATING SYTEMS - IF APPLICABLE
52
DCE COMPLIANT OPERATING SYSTEM ON REMOTE SERVER
42
APPLICATION FROM WHICH ACCESS RIGHTS ARE CONTROLLED
44
ACCESS RIGHTS CONTROL INTERFACE
40

FIG. 2

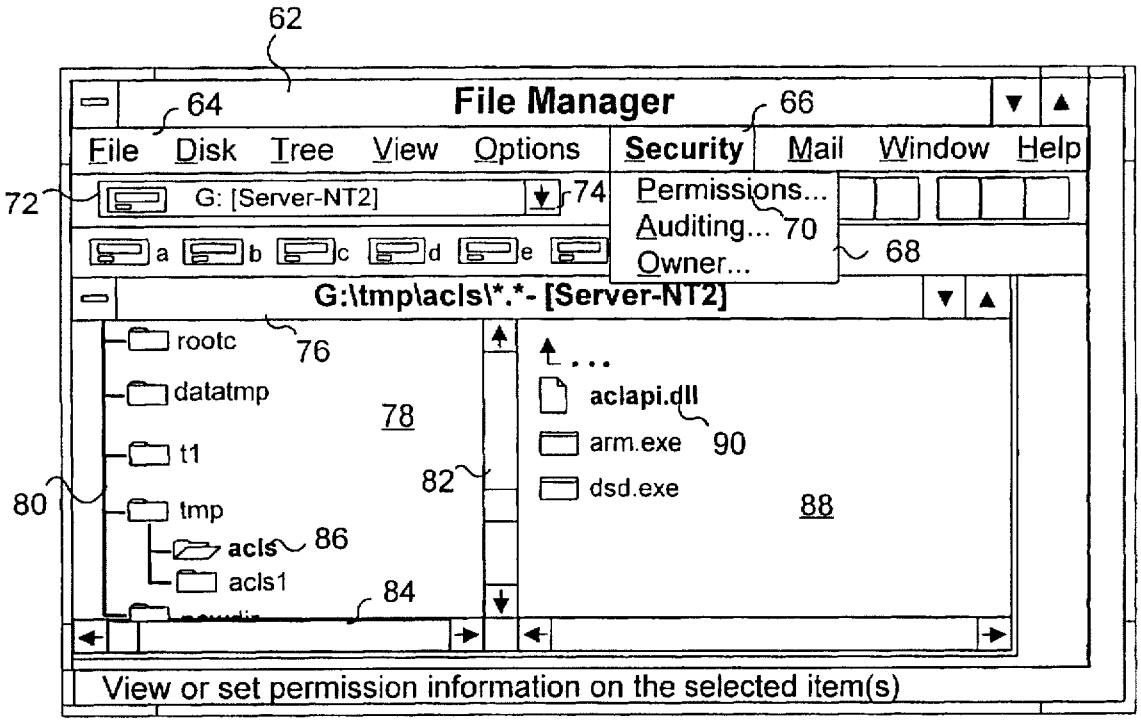

62
64
File Manager
66
File Disk Tree View Options Security Mail Window Help
72
G: [Server-NT2]
74
Permissions...
Auditing... 70
Owner...
68
a b c d e
G:\tmp\acls*.*- [Server-NT2]
76
rootc
datatmp
78
t1
82
80
tmp
acls 86
acls1
84
...
aclapi.dll
arm.exe 90
dsd.exe
88
View or set permission information on the selected item(s)

FIG. 3

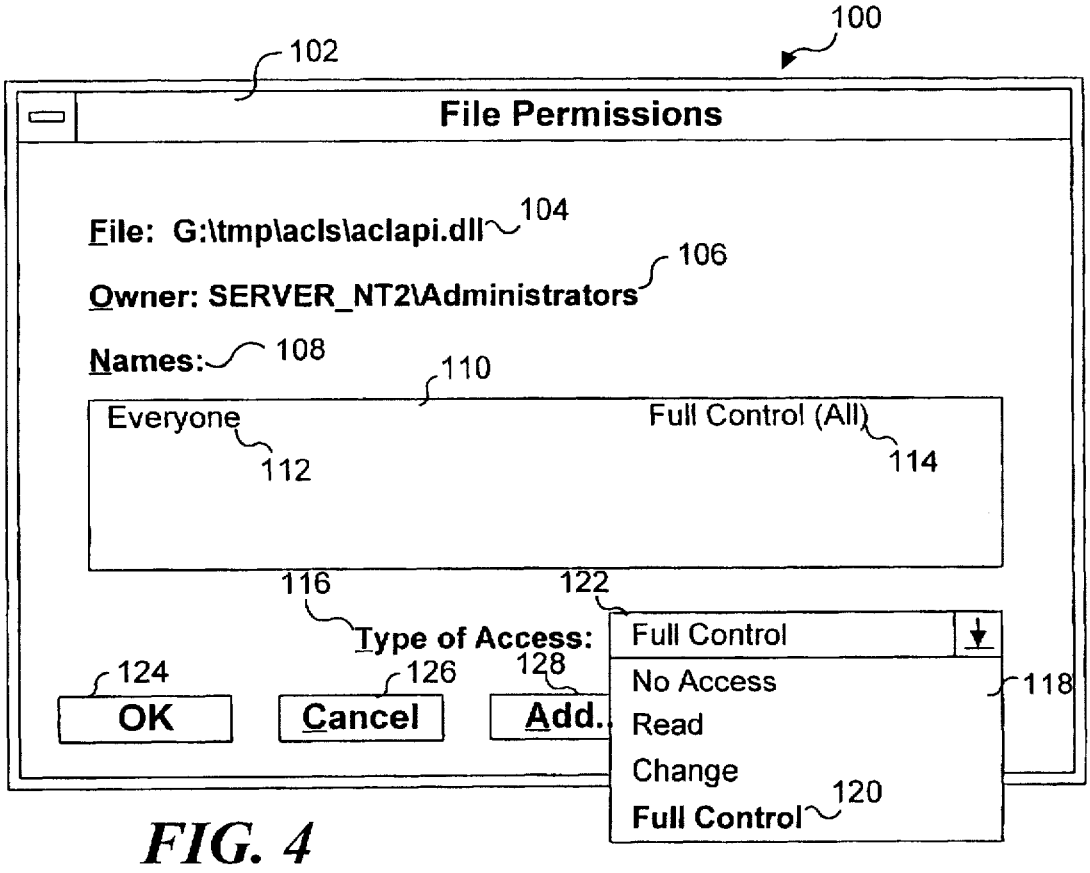

100
102
File Permissions
File: G:\tmp\acls\aclapi.dll 104
Owner: SERVER_NT2\Administrators 106
Names: 108
110
Everyone
Full Control (All)
112
114
116
122
Type of Access:
Full Control
124
126
128
118
OK
Cancel
Add...
No Access
Read
Change
Full Control 120

FIG. 4

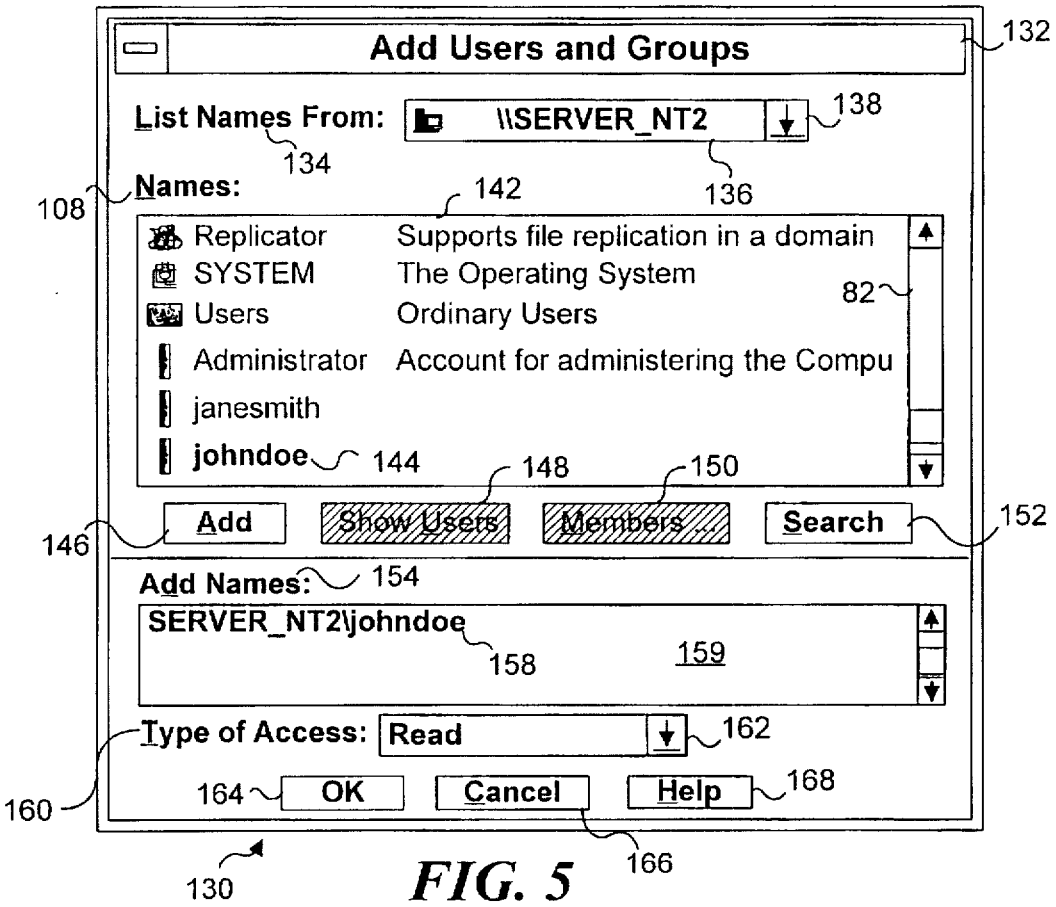

Add Users and Groups
132
List Names From:
\\SERVER_NT2
138
134
136
Names:
108
142
Replicator
Supports file replication in a domain
SYSTEM
The Operating System
82
Users
Ordinary Users
Administrator
Account for administering the Compu
janesmith
johndoe
144
148
150
Add
Show Users
Members...
Search
146
152
Add Names:
154
SERVER_NT2\johndoe
158
159
Type of Access:
Read
162
160
164
OK
Cancel
Help
168
166
130

FIG. 5

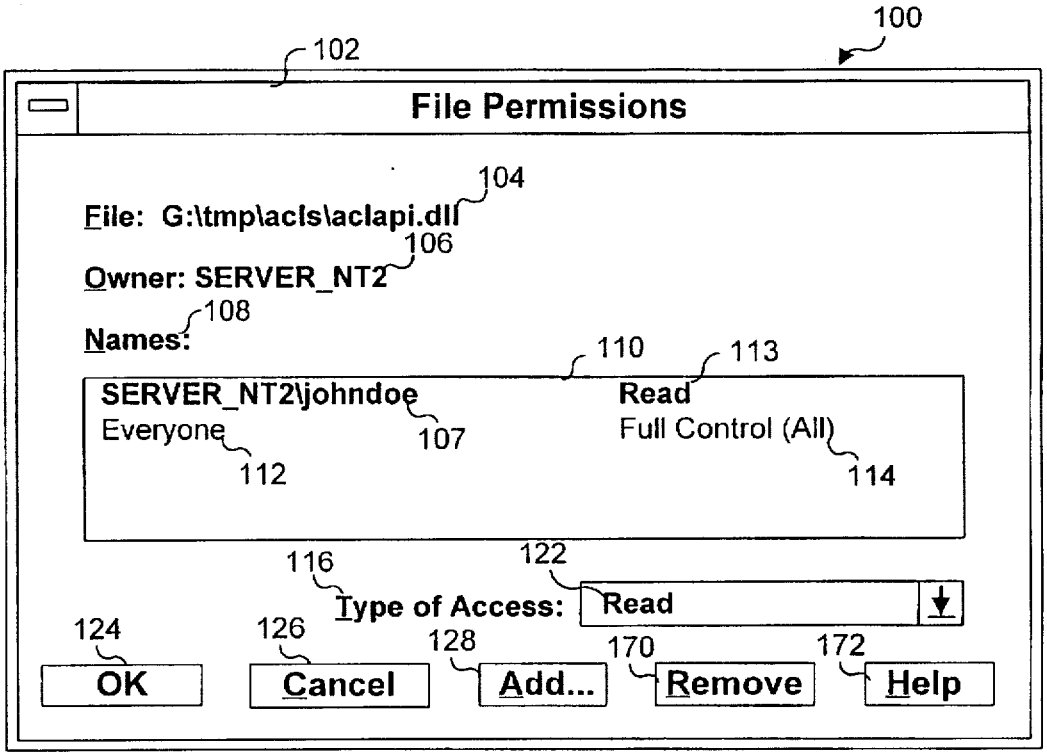

100
102
File Permissions
104
File: G:\tmp\acls\aclapi.dll
106
Owner: SERVER_NT2
108
Names:
110
113
SERVER_NT2\johndoe
Read
Everyone
107
Full Control (All)
112
114
116
122
Type of Access:
Read
124
126
128
170
172
OK
Cancel
Add...
Remove
Help

FIG. 6

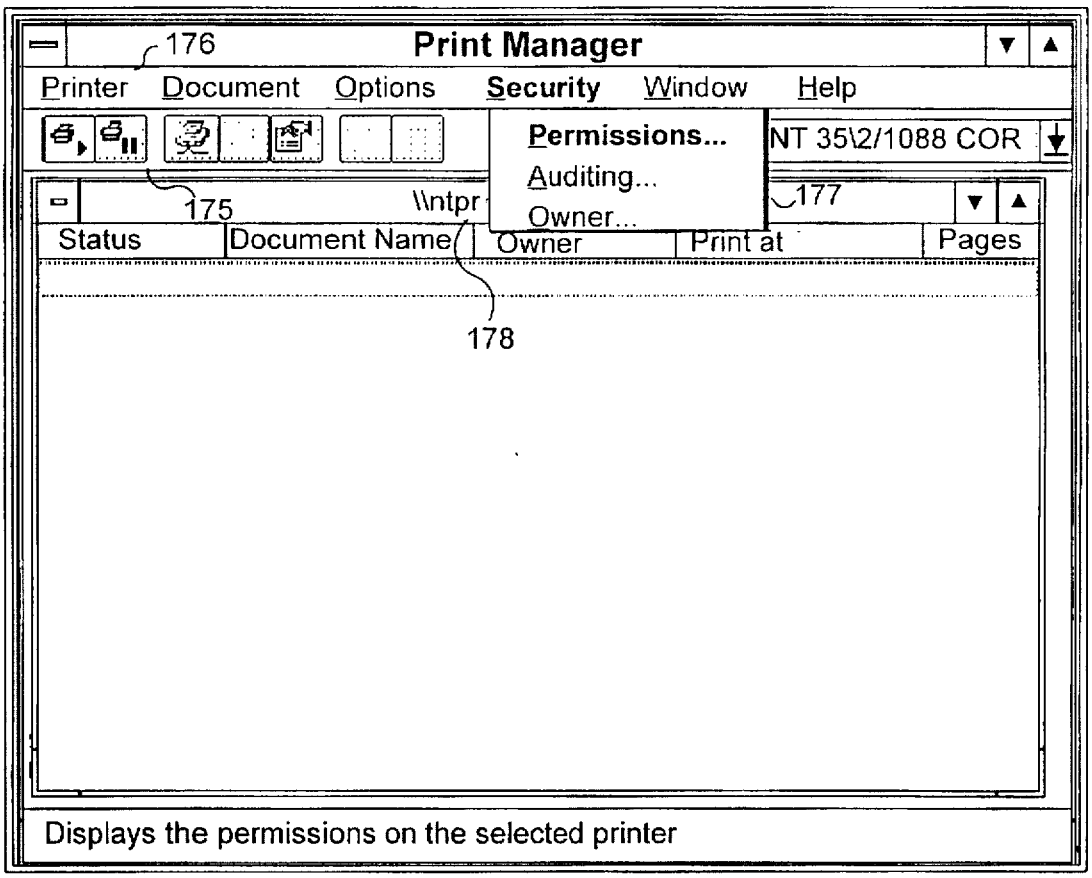


FIG. 7

174

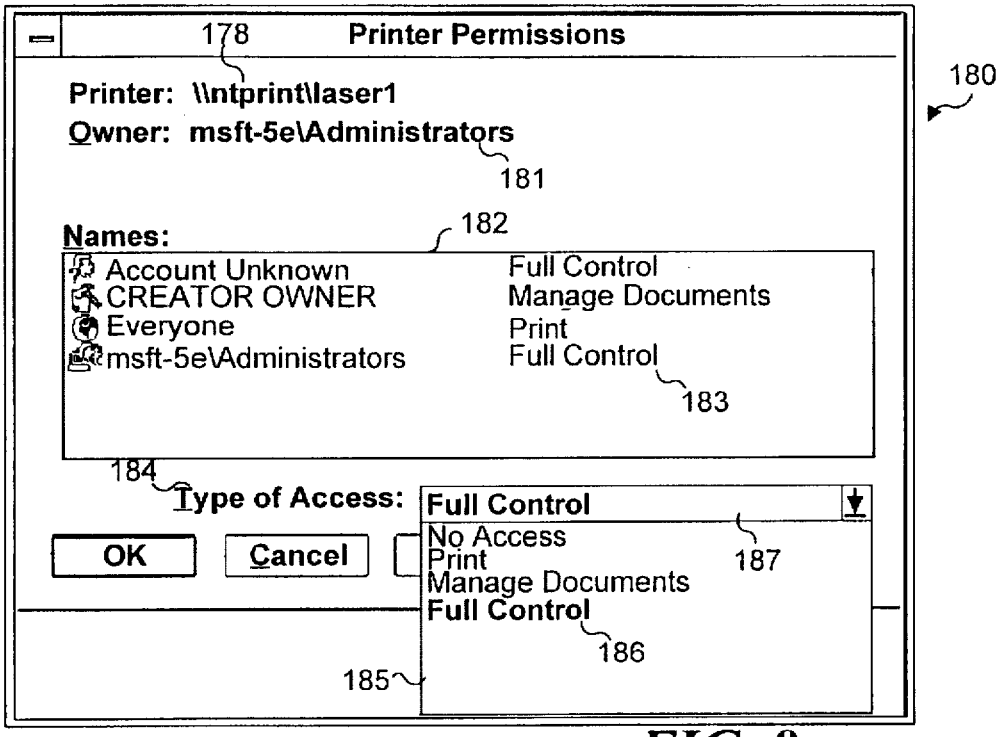


FIG. 8

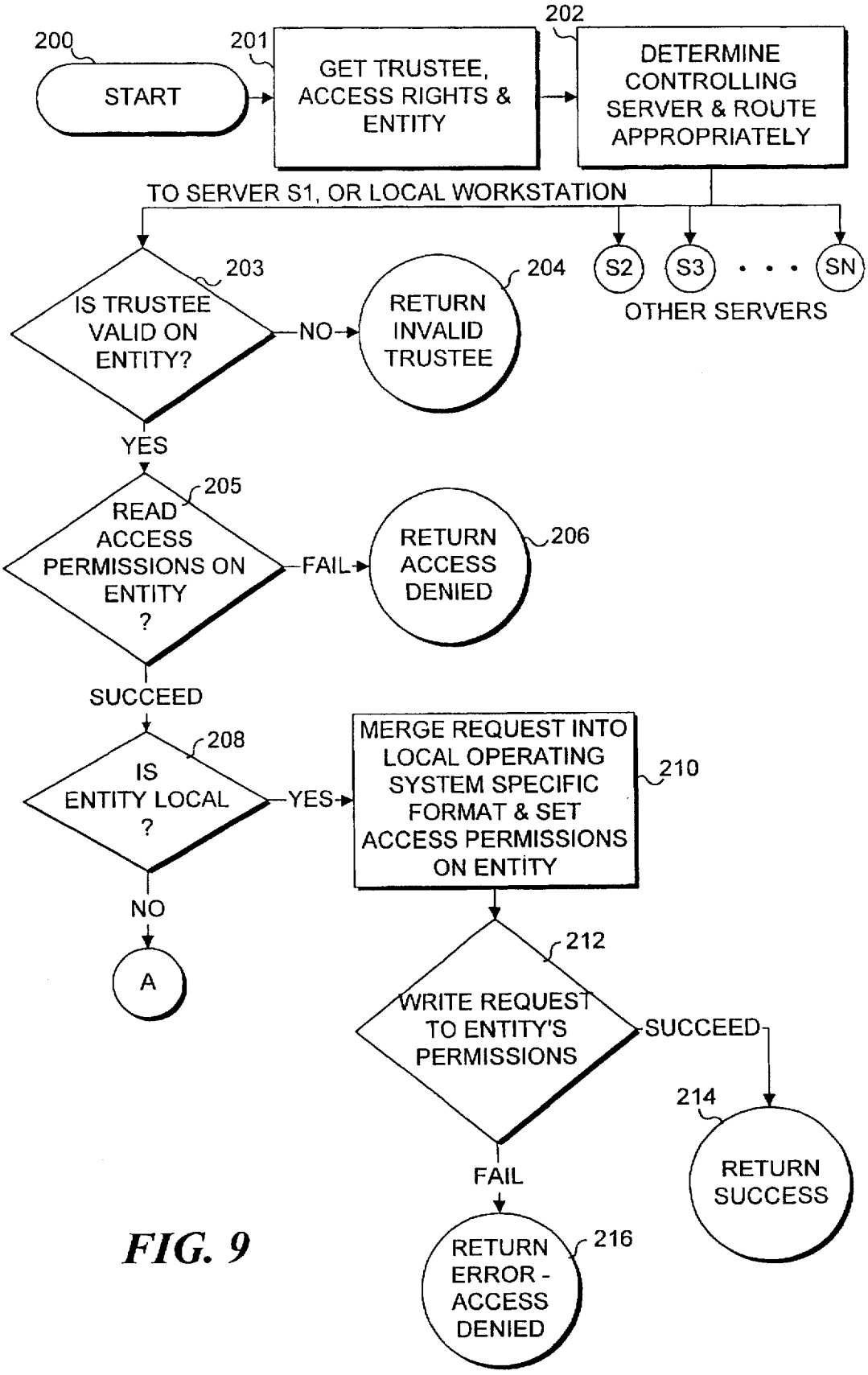

200
START
201
GET TRUSTEE, ACCESS RIGHTS & ENTITY
202
DETERMINE CONTROLLING SERVER & ROUTE APPROPRIATELY
TO SERVER S1, OR LOCAL WORKSTATION
S2
S3
SN
OTHER SERVERS
203
IS TRUSTEE VALID ON ENTITY?
NO
204
RETURN INVALID TRUSTEE
YES
205
READ ACCESS PERMISSIONS ON ENTITY ?
FAIL
206
RETURN ACCESS DENIED
SUCCEED
208
IS ENTITY LOCAL ?
YES
MERGE REQUEST INTO LOCAL OPERATING SYSTEM SPECIFIC FORMAT & SET ACCESS PERMISSIONS ON ENTITY
210
NO
A
212
WRITE REQUEST TO ENTITY'S PERMISSIONS
SUCCEED
214
RETURN SUCCESS
FAIL
216
RETURN ERROR - ACCESS DENIED

FIG. 9

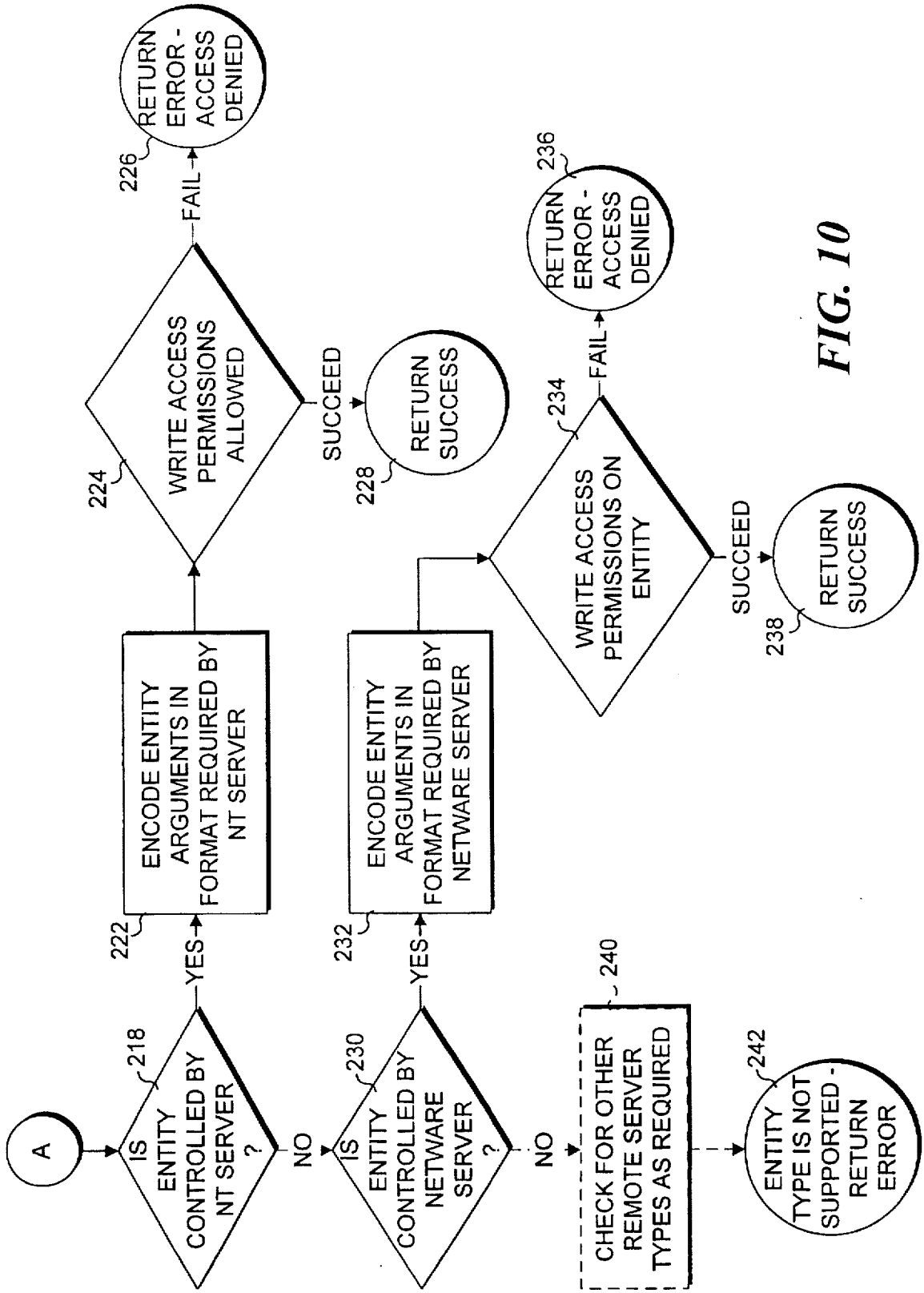

A
IS ENTITY CONTROLLED BY NT SERVER ?
218
YES
NO
ENCODE ENTITY ARGUMENTS IN FORMAT REQUIRED BY NT SERVER
222
WRITE ACCESS PERMISSIONS ALLOWED
224
FAIL
RETURN ERROR - ACCESS DENIED
226
SUCCEED
RETURN SUCCESS
228
IS ENTITY CONTROLLED BY NETWARE SERVER ?
230
YES
NO
ENCODE ENTITY ARGUMENTS IN FORMAT REQUIRED BY NETWARE SERVER
232
WRITE ACCESS PERMISSIONS ON ENTITY
234
FAIL
RETURN ERROR - ACCESS DENIED
236
SUCCEED
RETURN SUCCESS
238
CHECK FOR OTHER REMOTE SERVER TYPES AS REQUIRED
240
ENTITY TYPE IS NOT SUPPORTED - RETURN ERROR
242

FIG. 10

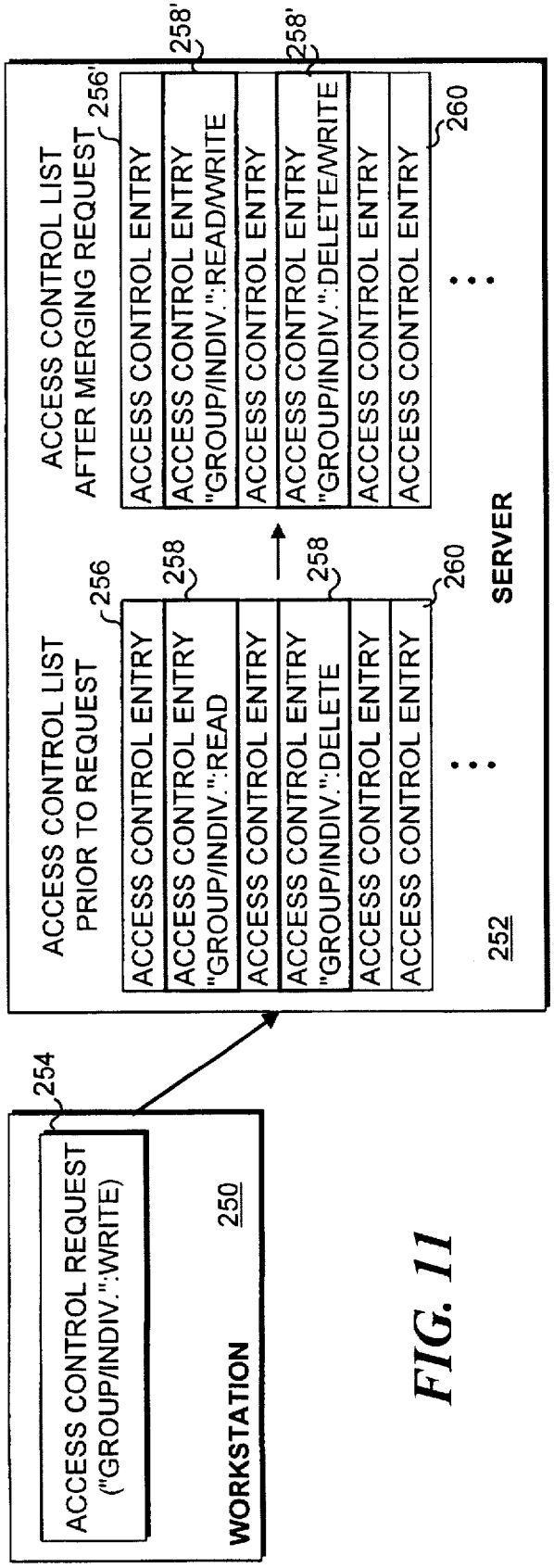

ACCESS CONTROL REQUEST ("GROUP/INDIV.":WRITE)
254
WORKSTATION
250
ACCESS CONTROL LIST PRIOR TO REQUEST
256
ACCESS CONTROL ENTRY
ACCESS CONTROL ENTRY "GROUP/INDIV.":READ
258
ACCESS CONTROL ENTRY
ACCESS CONTROL ENTRY "GROUP/INDIV.":DELETE
258
ACCESS CONTROL ENTRY
ACCESS CONTROL ENTRY
260
SERVER
252
ACCESS CONTROL LIST AFTER MERGING REQUEST
256'
ACCESS CONTROL ENTRY
ACCESS CONTROL ENTRY "GROUP/INDIV.":READ/WRITE
258'
ACCESS CONTROL ENTRY
ACCESS CONTROL ENTRY "GROUP/INDIV.":DELETE/WRITE
258'
ACCESS CONTROL ENTRY
ACCESS CONTROL ENTRY
260

FIG. 11

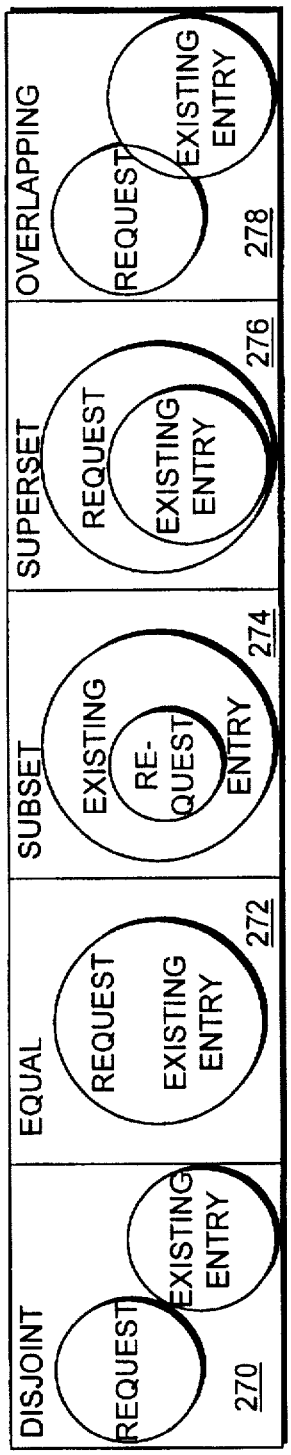

DISJOINT
REQUEST
EXISTING ENTRY
270
EQUAL
REQUEST
EXISTING ENTRY
272
SUBSET
EXISTING
RE-QUEST
ENTRY
274
SUPERSET
REQUEST
EXISTING ENTRY
276
OVERLAPPING
REQUEST
EXISTING ENTRY
278

FIG. 12

PERMISSIONS	INHERITANCE				
	DISJOINT	EQUAL	SUBSET	SUPERSET	OVERLAPPING
DISJOINT	1	2	1	1	1
EQUAL	1	3	3	4	1
SUBSET	1	3	3	1	1
SUPERSET	1	4	1	4	1
OVERLAPPING	1	2	1	1	1

ABOVE TABLE APPLIES WHEN REQUESTED ACCESS AND EXISTING ACCESS ARE OF SAME TYPE
(NUMBERS REFER TO ACTION DEFINITIONS IN FIGURE 15)

FIG. 13

PERMISSIONS	INHERITANCE				
	DISJOINT	EQUAL	SUBSET	SUPERSET	OVERLAPPING
DISJOINT	1	1	1	1	1
EQUAL	1	4	5	4	5
SUBSET	1	7	6	7	6
SUPERSET	1	4	5	4	5
OVERLAPPING	1	7	6	7	6

ABOVE TABLE APPLIES WHEN REQUESTED ACCESS AND EXISTING ACCESS ARE OPPOSITE TYPES
(NUMBERS REFER TO ACTION DEFINITIONS IN FIGURE 15)

FIG. 14

ACTION DEFINITIONS

1	LEAVE EXISTING ACCESS CONTROL ENTRY; & ADD REQUESTED ACCESS AS NEW ACCESS CONTROL ENTRY
2	ADD PERMISSIONS FROM EXISTING ACCESS CONTROL ENTRY TO PERMISSIONS FOR ACCESS REQUEST, REMOVE EXISTING ACCESS CONTROL, & ADD ACCESS REQUEST AS NEW ACCESS CONTROL ENTRY
3	LEAVE EXISTING ACCESS CONTROL ENTRY
4	REMOVE EXISTING ACCESS CONTROL ENTRY; & ADD ACCESS REQUEST A NEW ACCESS CONTROL ENTRY
5	REMOVE REQUESTED INHERITANCE FROM EXISTING ACCESS ENTRY; & ADD ACCESS REQUEST AS NEW ACCESS CONTROL ENTRY
6	REMOVE REQUESTED INHERITANCE FROM EXISTING ENTRY; ADD ENTRY WITH OVERLAP BETWEEN REQUESTED INHERITANCE AND INHERITANCE FROM EXISTING ENTRY, WITH EXISTING ENTRY'S PERMISSIONS LESS REQUESTED PERMISSIONS; & ADD REQUEST AS NEW ACCESS CONTROL ENTRY
7	REMOVE REQUESTED PERMISSIONS FROM PERMISSIONS OF ACCESS ENTRY; & ADD ACCESS REQUEST AS A NEW ACCESS CONTROL ENTRY

FIG. 15

INHERITANCE FLAGS	ENTITIES TO WHICH INHERITED ACCESS PERMISSIONS APPLY
(NONE)	TO THE CONTAINER
NO PROPAGATE (NP) INHERIT	(N/A)
CONTAINER INHERIT (CI)	TO THE CONTAINER TO ALL SUB CONTAINERS
OBJECT INHERIT (OI)	TO THE CONTAINER TO IMMEDIATELY CONTAINED OBJECTS
INHERIT ONLY (IO)	(N/A)
(NP, CI)	TO THE CONTAINER TO IMMEDIATELY CONTAINED OBJECTS
(NP, OI)	TO THE CONTAINER TO IMMEDIATELY CONTAINED OBJECTS
(NP, IO)	(N/A)
(CI, OI)	TO THE CONTAINER TO ALL SUB CONTAINERS TO ALL SUB OBJECTS
(OI, IO)	TO IMMEDIATELY CONTAINED OBJECTS
(CI, IO)	TO ALL SUB CONTAINERS
(NP, CI, OI)	TO THE CONTAINER TO IMMEDIATELY CONTAINED OBJECTS TO IMMEDIATELY CONTAINED CONTAINERS
(NP, CI, IO)	TO IMMEDIATELY CONTAINED CONTAINERS
(NP, OI, IO)	TO IMMEDIATELY CONTAINED OBJECTS
(CI, OI, IO)	TO ALL SUB CONTAINERS TO ALL SUB OBJECTS
(NP, CI, OI, IO)	TO IMMEDIATELY CONTAINED CONTAINERS TO IMMEDIATELY CONTAINED OBJECTS

FIG. 16

RELATIONSHIP	REQUESTED ACCESS INHERITANCE	EXISTING ACCESS INHERITANCE
DISJOINT	(NONE - NO FLAGS)	(CI, OI)
EQUAL	(OI)	(NP, OI)
SUBSET	(NONE - NO FLAGS)	(CI)
SUPERSET	(CI, OI)	(CI, IO)
OVERLAPPING	(CI)	(OI)

FIG. 18

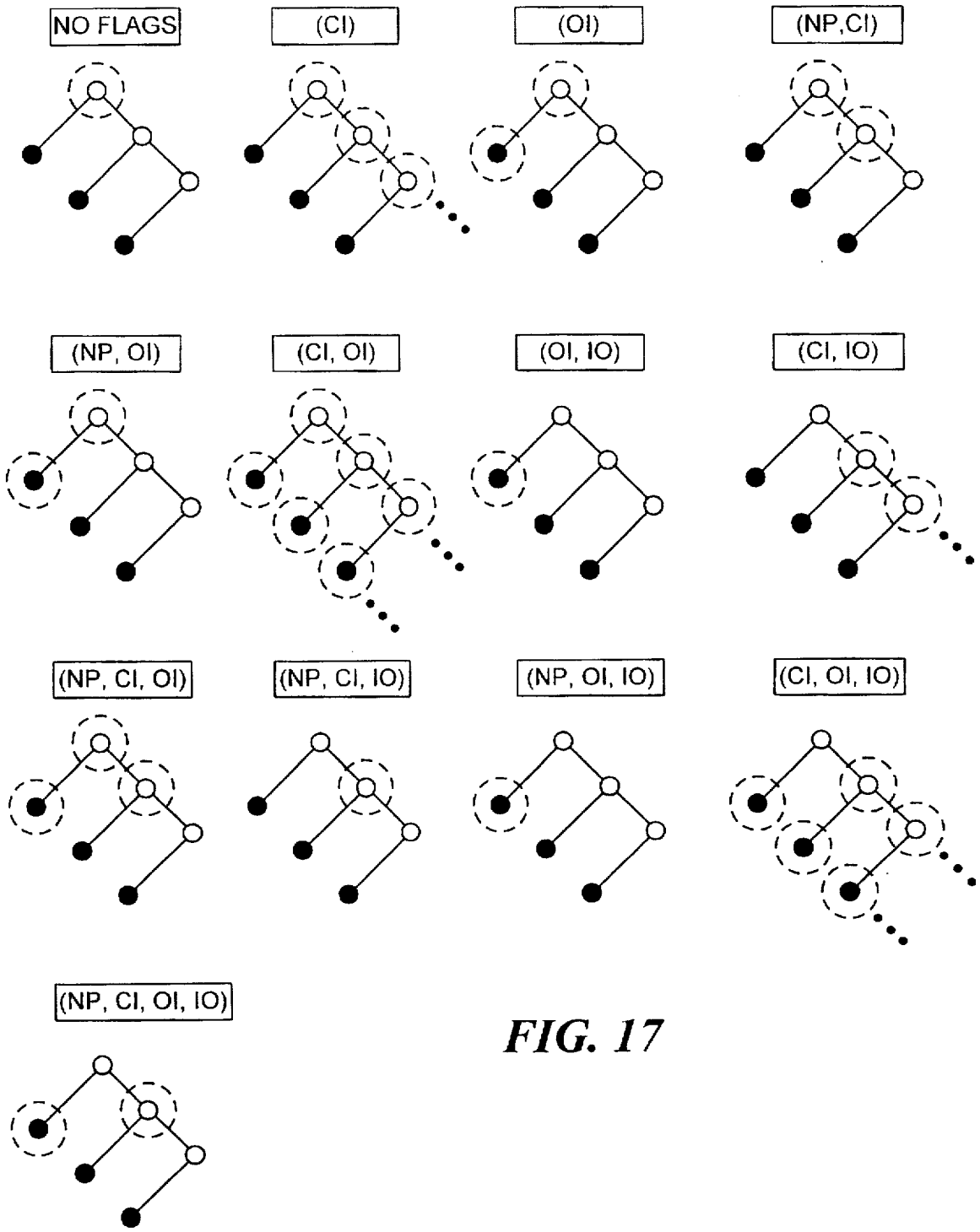

NO FLAGS
(CI)
(OI)
(NP,CI)
(NP, OI)
(CI, OI)
(OI, IO)
(CI, IO)
(NP, CI, OI)
(NP, CI, IO)
(NP, OI, IO)
(CI, OI, IO)
(NP, CI, OI, IO)

FIG. 17

CONTROLLING ACCESS TO OBJECTS ON MULTIPLE OPERATING SYSTEMS

RELATED APPLICATIONS

This application is a continuation-in-part of prior application Ser. No. 08/465,990, filed Jun. 6, 1995, now U.S. Pat. No. 5,675,782, the benefit of the filing date of which is hereby claimed under 35 U.S.C. § 120.

FIELD OF THE INVENTION

The present invention generally relates to controlling access to objects on a network, and more specifically, to a method and apparatus for controlling access to objects on a network in which a plurality of operating systems are used.

BACKGROUND OF THE INVENTION

Most operating systems for networks include provisions for controlling access to entities that are stored on the network or coupled to the network. The term "entity" is intended to broadly encompass hardware such as gateways to other networks, printers, and modems, and software such as directories, files, application programs, data, records, fields in a record, and cells in a spreadsheet—in other words, virtually any hardware or software aspect of a computer network. Regardless of whether the network is simply two computers coupled peer-to-peer, or a wide area network with thousands of users, a security system will typically be included to limit access rights to entities on the network and to identify each user that can connect to the network. As used herein, the term "access rights" is synonymous with "access permissions."

Control of access to entities on a computer network is very important. Data that are personal in nature or which comprise proprietary or sensitive information should not be freely accessible or usable by all of the individuals connected to the network. For example, E-Mail messages should only be accessible by the intended recipient. Personnel data files that include details about each employee in a corporation should only be accessible by a limited group, e.g., only by people in the human resource department of the corporation. The right to change the contents of files, read files, or execute files must often be restricted to specified users to maintain the network integrity or to satisfy licensing requirements that limit the number of people who can execute a program.

A network administrator is typically assigned the responsibility for establishing and maintaining defined groups of users, determining who has the right to connect to the network, and for initially determining the rights of each group and individual in respect to entities on the network. A group will normally include one or more users having some common relationship to the entities for which access rights are initially granted. For example, clerks in the accounting department of a corporation might comprise an "Accounting Group," which has full rights to certain accounting programs and to certain accounting data files, and limited rights to others. The manager of the accounting department would typically be a member of the "Accounting Group" and might also be a member of an "Accounting Supervisor Group," which has full rights to more sensitive accounting data files, and limited rights in extremely sensitive accounting data files.

The rights granted to a group or an individual determine whether members of that group or that user can control access to other entities on the system. Thus, a user with full rights in a directory can control access by other users on the network to that directory and to subdirectories of that directory or files that the user creates within that directory.

One form of access control to entities employs access control lists (ACLs) comprised of a set of access control entries (ACEs). An ACL may be associated with an entity on the network. An ACE typically includes an identifier (platform or operating system specific) for a user or a group and some encoding or representation that specifies the rights granted or denied to that user or group with regard to the object. An individual or group granted (or denied) rights to an object is referred to throughout this specification and in the claims that follow as a "trustee." The access mask represents an encoding of operations relevant to the entity and/or to the environment in which it is used. Accordingly, the ACL specifies who has access to the entity and the nature of that access.

Each network operating system, such as Microsoft Corporation's WINDOWS NT™ and Novell Corporation's NETWARE™, employs different protocols and formats for controlling access to entities on the network. An access control program is typically included with the operating system to establish the access rights for trustees to the various types of entities on the network, by producing the ACL for the entity. However, the access control programs for the different network operating systems are generally incompatible with each other, because of differences in the format and protocols that they use. In addition, the mechanism by which a new entity is assigned or inherits an ACL may be different on different network operating systems. For this reason, special purpose tools are required to manipulate access controls for each different network operating system/platform.

In larger networks, it is common for several different servers to be interconnected, and for the servers to be running different network operating systems and software. Under these circumstances, controlling access to objects on the network becomes more difficult. In order to establish access control on an object, it is first necessary to determine the server with which the object is associated or by which its access is controlled. Then, the appropriate tool or utility program for manipulating access control in the network operating system running on that server must be used to create or modify the ACL for the entity.

The task of controlling access to an entity may not be limited only to the network administrator; any trustee with the appropriate rights can establish access controls to the entity. Accordingly, requiring each such trustee to be familiar with the access control tools provided with each different network operating system is an unduly onerous burden to impose. Clearly, it would be much more efficient and require less specialized knowledge of the trustees on a network if setting access permissions could be made to appear independent of the network operating system and unique platform specific access control mechanism that controls access to an entity. Certain access operations that are generic to any entity, regardless of the network operating system involved, could then be effected by a trustee having the requisite rights, without requiring the trustee to possess intimate knowledge of the underlying network access protocol or tool.

SUMMARY OF THE INVENTION

In accordance with the present invention, a method is defined for controlling access to an entity on a network, where the entity comprises one of a plurality of different

types of entities. The method includes the step of determining each trustee that can have access permissions to the entity by querying the network operating system. A generic request for controlling access to the entity is selected from a set of predefined generic requests. The generic request that was selected is translated into a format usable by the network operating system. Subsequently, the network operating system is caused to implement the request.

The entity preferably comprises either a container or an object and may include software or hardware aspect of the network.

The method further comprises the step of enabling a user to request setting specific access rights to an entity associated with an application, from within the application, if the user possesses a right to set the specific access rights to the entity.

In response to a request by the user, the network operating system determines the trustees that can have the specific access rights assigned to them and returns a list of the trustees in a format that is independent of the network operating system on which the specific access rights are to be set. A user must have the right to grant access to the entity and can only affect the access rights of a trustee on the list. Another step of the method is to enable a user to view a trustee's access permissions to an entity.

Preferably, the set of predefined generic requests includes at least one of: (a) granting of access rights to the entity; (b) setting access rights to the entity; (c) denying access rights to the entity; (d) revoking explicit access rights to a specific entity; (e) replacing all access rights to the entity; (f) determining if access to the entity is permitted; (g) getting effective access rights for a specific entity; (h) listing trustees who have explicit access rights to the entity; and, (i) enumerating all trustees who may be granted access rights to the entity.

Another aspect of the present invention is directed to a system for controlling access to an entity on a network. The components of the system include a processor. A plurality of machine instructions are executed by the processor to control the access to the entity. Execution of the machine instructions causes the processor to enable the user to specify at least one of a plurality of predefined generic requests for use in controlling access to the entity. In addition, the machine instructions executing on the processor comprise translation means for translating the specified predefined generic request for access control to the entity into a system request having a format usable by a network operating system running on a server associated with the entity. Implementation of the system request by the network operating system running on the server sets access to the entity accordingly.

Other elements and aspects of the system generally correspond to the steps of the method discussed above. Similarly, an article of manufacture is defined that is adapted for use with a computer. The article includes a memory medium in which are stored machine instructions, which when executed by a computer, implement functions generally consistent with the steps of the method.

Another aspect of the present invention is directed to a method for handling a request to change an access to an entity on a network by an account, where the entity may have existing inheritance attributes associated with it for the account. Based upon the existing inheritance attributes to the entity for the account and the existing permissions to the account for the entity, a list of access control entries that are used in controlling access to entities on the network is modified so as to grant the request without affecting any other existing access permissions in the list. This aspect is also covered in regard to the functions implemented by a computer and in regard to the functions implemented when machine instructions stored in a memory medium of an article of manufacture are executed by a computer.

BRIEF DESCRIPTION OF THE DRAWING FIGURES

The foregoing aspects and many of the attendant advantages of this invention will become more readily appreciated as the same becomes better understood by reference to the following detailed description, when taken in conjunction with the accompanying drawings, wherein:

FIG. **1** is a block diagram of a portion of a network that includes a plurality of workstations and a plurality of servers on which access is controlled in accordance with the present invention;

FIG. **2** is a functional block diagram illustrating the relationship between an application that executes on a workstation and the servers through which access to an entity is controlled using the present invention;

FIG. **3** is a reproduction of a File Manager screen that includes a menu enabling a user to selectively control access to a software entity;

FIG. **4** is a reproduction of a File Permissions dialog box that enables the user to select the trustee(s) and set the permissions for the trustee for a software entity;

FIG. **5** is an add Users and Groups dialog box that enables a user to list trustees on a server and to add a trustee from the list to those included in the File Permissions dialog box;

FIG. **6** is another view of the File Permissions dialog box of FIG. **4**;

FIG.**7** is a reproduction of a Print Manager screen showing the menu items available to the user to selectively control access to a printer or printer server;

FIG. **8** is a Printer Permissions dialog box in which a user can select the trustee(s) and set the permissions for a printer or print server;

FIG. **9** is a first portion of a flow chart that shows the logical steps implemented to select and control access to an entity on the network;

FIG. **10** is a second portion of the flow chart of FIG. **9**;

FIG. **11** is block diagram illustrating how a preferred embodiment of the present invention merges a request to affect access control into an access control list maintained on an operating system that maintains ACEs;

FIG. **12** is a block diagram illustrating the possible relationships between existing and requested access permissions, and existing and requested inheritance attributes;

FIG. **13** is a table showing how the relationship between the existing and requested permissions and inheritance attributes determine an appropriate action for merging an access control request into an access control list, if requested access and the existing access are of the same type, e.g., both grant or both deny;

FIG. **14** is a table showing how the relationship between the existing and requested permissions and inheritance attributes determine an appropriate action for merging an access control request into an access control list, if requested access and the existing access are of opposite types, e.g., one grant and the other deny;

FIG. **15** is a table showing the action definitions that apply in connection with the tables shown in FIGS. **13** and **14**.

FIG. 16 is a table that lists the various combinations inheritance flags used in the WINDOWS NT version of the present invention and indicates the entities affected by the inherited access permissions for each combination of inheritance flags;

FIG. 17 is a diagram illustrating the same information listed in the table of FIG. 16, where open circles indicate container and sub containers, filled circles indicate sub objects (i.e., files), and dash lines indicate the entities to which the inherited access permissions apply; and

FIG. 18 is table that illustrates examples of the various relationships between the requested access inheritance and the existing access inheritance.

DESCRIPTION OF THE PREFERRED EMBODIMENT

The present invention will typically be implemented on a network that includes a plurality of servers running under different operating systems. A portion of an exemplary network **10** on which the invention might be used is shown in FIG. 1. Although not necessary to realize the advantages of the present invention, network **10** can be part of a wide area network in which different geographical locations are interconnected, either by high-speed data lines or by radio links, perhaps interconnecting hundreds of workstations at widely disparate locations. However, in the simplified diagram of FIG. 1, only three servers **12**, **14**, and **16** are shown, coupled by an Etherlink™ network to two workstations **20** and **22**, and to a printer **38**. It will be understood by those of ordinary skill in the art that the present invention is also usable on other types of network configurations, such as a token ring or star configuration.

As is typical in a network, each of servers **12**, **14**, and **16** includes at least one hard drive **24** on which are stored a plurality of files, including data and applications that can be accessed by the workstations. In addition, each server is provided with a monitor **26**. Although not specifically shown, each server can also be coupled to a keyboard for entry of commands and data used in configuring and controlling the operation of the server.

Each of the workstations **20** and **22** includes a processor chassis **28** and a hard drive **30** for storing programs, which can be executed by a central processing unit (CPU) that is disposed on a motherboard (neither shown) within processor chassis **28**. A display screen **32** is coupled to the display port of the processor chassis on each of the workstations.

The user can control the workstation and provide input of commands and data via a keyboard **34** and/or a mouse **36** (or other suitable pointing device). Each of workstations **20** and **22** can access any of servers **12**, **14**, or **16** through network **18**. In addition, if the user who is signed-on to one of the workstations has the proper permissions, that workstation can direct printer output from an application to printer **38**. Printer **38** includes its own network interface card (not shown), as do each of the workstations. Alternatively, printer **38** can be coupled to a print server (which may be another workstation), so that it communicates with the network through the parallel port of the print server and through the network interface card of the print server. These variations are well known to those of ordinary skill in the art of configuring and administering networks and need not be further discussed.

Although some networks employ multiple servers that run the same operating system, it is becoming increasingly common for a network to be coupled to a plurality of servers, each of which run different operating systems. For example, in network **10**, server **12** may be booted up to run on Microsoft's WINDOWS NT operating system; server **14** may run under Novell's NETWARE™; and server **16** may operate under Distributed Computing Environment (DCE) UNIX or some other DCE compliant operating system. It is not intended that the present invention in any way be limited by the specific operating systems running on each of the plurality of servers in a network with which it is used. The method and system for controlling access to entities on the network to which the present invention is directed can readily be implemented to work with virtually any type of operating system and on almost any network configuration, and is not limited to those mentioned above.

As explained in the Background of the Invention, one of the primary functions of almost any network operating system is to control access to various software and hardware entities assigned to, controlled by, or otherwise associated with a server or workstation on which the operating system is running. However, each of these operating systems running on the various servers used in a network, such as servers **12**, **14**, and **16**, may use different formats and parameters for setting the permissions that control access to each such entity by the users of the network. The entities to which access is controlled comprise both software resources such as directories (or folders) and files, and hardware objects such as printer **38**. Thus, a user who has signed onto network **10** at workstation **20** would normally need to be aware of the appropriate format and command structure to set the access permissions to a particular file that is stored on one of these three servers on the exemplary network. First, however, the user would need to identify the server that is responsible for controlling access to the file or entity. Since the format and specific access commands used on each server that employs a different operating system will be different, it will be apparent that carrying out routine operations to set or modify access permissions to entities on a network that includes multiple servers running multiple operating systems can be both difficult and confusing.

The present invention is a set of routines for controlling access to certain entities on a network in a manner that does not require a user to identify the appropriate server and does not require that the user know the format for setting access permissions in the operating system running on that server. The routines comprising the present invention can either be part of a network operating system, integrated into or accessed from an application, or may be provided as separate stand-alone application on a network. Generally, the routines enable a user to identify a specific entity for which access rights are to be set or modified. The routines, not the user, will determine the server that controls a specific entity. Once the user selects the entity, the trustee, and indicates the access rights to be applied, the routines will determine if the user has the right to set the requested permissions and whether the trustee has the required permissions relative to the entity, and if so, will convert the user's request into the appropriate format and function calls implemented in the operating system running on the server that controls the entity.

In a preferred embodiment of the present invention, these routines comprise a set of relatively high-level application programming interfaces (APIs). These APIs provide a relatively easy way to manipulate access to virtually any type of entity on a network that includes servers using different operating systems. While it is likely that certain operations relating to security or setting access permissions will be outside the scope of the generic control provided by these APIs, a user can always call a platform or operating system-

specific API to accomplish such non-generic tasks. Thus, a goal of the present invention is to enable a user to control access rights for various entities on a network in a simple way that satisfies a majority of the requirements for setting permissions to the entities, while generally insulating the user from the various formatting and other operating system-specific access control parameters.

FIG. **2** is a functional block diagram, which is an overview illustrating how the present invention accomplishes generic access control for an entity on network **10**. A user will likely access the network from a workstation, which is represented by a dash line block **40**. A block **42** represents an application (program) from which access rights are to be controlled by the user at the workstation in block **40**. It should be noted that the present invention can also be implemented from within an operating system shell (or desktop) or can be configured as a stand-alone utility. The application in block **42** from which the access permissions to an entity are to be set communicates with an access rights control interface in a block **44**. This interface, which is coupled to the application and is thereby informed of the specific entity for which the permissions are to be set, causes the system to automatically determine the server that has the responsibility for controlling access to that entity and determines if the user has the rights to set the requested access permission for the entity.

Conceptually, each operating system/server maintains some form of persistent database that specifies each trustee for which access rights can be set in regard to any entity controlled or associated with the server and a data structure that specifies requisite access controls. In the WINDOWS NT operating system, the database is called an "access control list" (ACL), but other types of data structures can also be used for this purpose. Normally, a network administrator is responsible for adding and deleting trustees from the list of trustees potentially active on a server. This function is not part of the present invention. As explained below, using the present invention, a user having appropriate permissions can readily access the database of trustees that specifies the trustees on a server and display the list of trustees for whom access permissions can be set on a specific entity controlled by that server. The process by which this is accomplished in the present invention is transparent to the user, and it is generally not necessary for the user to know the server that controls the entity for which access rights are to be modified, nor for the user to know the specific format used in the operating system running on that server in order for the user to set or modify the access rights to an entity. However, the user must have the permissions to modify the access rights to the entity in order to do so, and the trustee granted such rights must then have the required permissions.

In applying the permissions to an entity, the user defines a trustee and permission pair by selecting one or more trustee(s) from the list of possible trustees and selecting the type of access that will be set for the entity in regard to the selected trustee(s). The interface in the present invention translates the request made by the user to the appropriate format from the generic format that was presented to the user. The interface then communicates the translated request to the appropriate operating system and server, as indicated in blocks **46** through **52**. Although the operating systems in blocks **46**, **48**, and **52** are identified by name in this example, in block **50**, provision is made for using the present invention to control access permissions to entities controlled by other operating systems not listed in the other blocks.

In the preferred embodiment of the present invention, a graphic user interface operating system simplifies the selection of the entity for which the access permissions are to be set and the selection of the trustee(s) and type of access for the selected entity. However, the interface need not run under a graphic user interface; it can alternatively be implemented in a text-based operating system, or be programmed as an integral part of an application. The graphic user interface used in the preferred embodiment of the present invention simplifies the selection of an entity, trustee(s), and access rights. For example, to activate the access rights control interface in block **44** of FIG. **2**, the user simply selects a menu item (or control button—not shown), which is designated for that purpose.

In a screen that is reproduced in FIG. **3**, a specific example is shown of an application program (File Manager) in which the user can set the security permissions for a particular directory or file that has been selected. Many of the details of the example discussed below are not particularly relevant to the present invention, but are included to meet the obligation to fully disclose the preferred embodiment. The example illustrated is not intended to in any way limit the scope of the invention, since the invention can be used in many other applications and in other operating systems. A title bar **62** identifies the application from which the present invention is accessible. As shown in this FIG., an option **66** labeled "Security" has been selected from a menu bar **64**, causing a plurality of additional menu options to be displayed in a drop-down list box, the first of which is an option **70**, reading "Permissions . . ." By choosing option **70**, the user can set the access rights and trustee in regard to a file or directory, as will be explained below. A drive selection window **72** appears below menu bar **64**, enabling a user to select one of the drives on the network using a drop-down box activated by a button **74** to display a list of the available network drives. In the example illustrated, a directory tree window **78** displays a portion of a directory tree **80** for a drive G, which the user has selected. The user can choose a folder, causing the documents and files within that folder to be listed, as shown in an adjacent list window **88**. Once the user has selected a specific document from those shown in the list window and has chosen Permissions under the security menu item, a File Permissions dialog box **100** will open on the display screen as shown in FIG. **4**, enabling the user to set the access permissions for the document chosen.

The File Permissions dialog box in the illustrated example includes an entry **104** that identifies the path and selected folder or file for which permissions are to be set. A text line **106** indicates the owner of the selected document and a list box **110** lists the trustee(s) who currently have any access permissions to the selected document. Within the list box, an entries **112** and **114** respectively indicate that "Everyone" has "Full Control (All)." In other words, for this example, trustees comprising a group labeled Everyone currently have permission to Access, Delete, Change Access Permissions, Read, and Write (i.e., change) the document identified in line **104**.

The entry in line **114** within list box **110** can be modified, as indicated in a line **116** that appears below the list box, by entering the "Type of Access" within an entry box **122** or by activating a drop-down list box **118**, which is available below the entry box, from which the user can select the type of access. Currently, a selected entry **120**, which reads "Full Control" is highlighted in the example, indicating that the user has elected to assign all rights to the trustee "Everyone," which was selected in line **112**. Instead, the user could have limited the rights granted in regard to the document to only allow the trustees in the group "Everyone" to Read and/or to Change the document. By granting Full

Control, the user has made it possible for any trustee in the group Everyone to also change the rights of others to access the document.

In another view of File Permissions dialog box **100** in FIG. **6**, drop-down list box **118** is not open. This view was included to enable the option buttons at the lower portion of the File Permissions dialog box to be fully shown. Conventional option buttons include an OK button **124**, a Help button **172**, and a Cancel button **126**. However, also included are an Add button **128** and a Remove button **170**. Add button **128** is provided to enable the user to add additional trustees to the list of trustees within list box **110**. When a group of trustees or an individual trustee in list box **110** has been selected and Remove button **170** is chosen, the selected group or individual trustee in the list box is deleted.

By comparing FIG. **6** with FIG. **4**, it will be evident from entries **107** and **113** in the example illustrated in FIG. **6** that the limited right to Read the selected document will be granted to a specific user "johndoe" when the OK button is selected. Trustee johudoe is listed among the trustees having rights on the "SERVER_NT2." This new line in list box **110** was created by selecting Add button **128**.

When the Add button is selected by the user, an Add Users and Groups dialog box **130** opens on the display screen, as shown in FIG. **5**. This dialog box includes a title bar **132**, under which is a text line **134** that reads "List Names From:". Adjacent line **134** is a drop-down list box **138** in which a line **136** indicates that "\\SERVER_NT2" is currently selected as the source of the list from which a group of trustees or an individual trustee will be selected. The names of the various trustees identified as having permissions to entities controlled by SERVER_NT2 are listed in a list box **142**, from which the user can view a selected portion by manipulating a scroll bar **82**. Since there are normally many names in the complete list of possible trustees on a server, the list initially starts by showing only the groups. A "Show Users" button **148** can then be selected to also show the individual trustees. In addition, a Members button **150** can be selected to show only the member trustees of any group that is selected in list box **142**. Note that both Show Users button **148** and Members button **150** are illustrated with cross hatching in FIG. **5** to indicate that they are grayed-out (i.e., no longer available) because the user has already activated the Show Users button.

Since the list of potential groups of trustees and individual trustees is relatively long on most servers, the user setting the permissions to an entity may need to search the list of possible trustees on a server for the name of a group or individual trustee by selecting Search button **152**, which opens up a Search dialog box (not shown) similar to that used in word processing systems and in other applications to find a particular word or phrase. The user would then enter at least a portion of the name of a group or individual trustee, and the operating system would search the list of groups and trustees for the selected server.

Once the trustee (group or individual) has been found and is displayed in list box **142**, either as a result of scrolling through the list or by searching, the user setting the access to the selected software or hardware entity simply selects Add button **146** to add the selected group or trustee to an Add Names list box **159**. An entry **158** within the Add names list box indicates that trustee "johndoe" is to be added to list box **110** in File Permissions dialog box **100** (FIG. **6**) when an OK button **164** is activated by the user. Further, a line **160** in the Add Users and Groups dialog box indicates that jolmdoe is to be granted limited Read Only rights. As explained above, the trustee johndoe has thus been added to list box **110**. After all trustees have been selected and the type of access desired has been identified, the user selects OK button **164**. Any trustee(s) that appear within list box **159** are then added to those in list box **110**.

A similar procedure uses the present invention to set the access permissions for hardware entities on network **10**, such as printer **38**, as illustrated in connection with an example illustrated in FIG. **7**. In FIG. **7**, an exemplary Print Manager screen **174** is shown that includes a menu bar **176** and a button bar **175** for installing, selecting, and controlling the operation of various printers on network **10**. Although only printer **38** is included in the portion of the network shown in FIG. **1**, it will be apparent that many networks have printers disposed at geographically disparate locations to facilitate efficient access by users to printed output. Typically, not all printers are shared by all users. The right to direct printed output to a particular printer is controlled by setting the access permission for it so that only specific trustee(s) have access. This task is made easier in the present invention by including a Security entry in menu bar **176** that, when selected, displays the option for the user to set Permissions to a specific printer in a drop-down list box **177**. A line **178** indicates that the selected printer for which the permissions are to be set in this example is "\\ntprint\laser1" (only part of which is visible, the rest being obscured by drop-down list box **177**).

When the user selects the Permissions option, a Printer Permissions dialog box **180** opens on the display screen as shown in FIG. **8**. Line **178** in this dialog box displays the full identification of the printer. A line **181** indicates that the owner of the printer is "msft-5e\Administrators." The lower portion of Printer Permissions dialog box **180** is generally identical to that of File Permissions dialog box **100** (FIG. **6**), with the exception that a list box **182** in the Printer Permissions dialog box lists a number of different groups **183** that have access rights to the printer. A line **184** indicates the Type of Access that a selected group of trustees (or individual trustee) has to the printer, in a text box **187**. This entry can be typed in or selected from entries **186** that are displayed in an associated drop-down list box **185**. These options include specifying that a group or individual trustee will have "No Access," be limited to "Print" only, be limited to "Manage Documents," or have "Full Control." If Full Control rights are granted, the group or individual trustee to whom they are granted will also have the right to set the access permissions of others to the printer.

The buttons on the lower portion of the Printer Permissions dialog box include OK button **124**, Cancel button **126**, and the Add, Remove, and Help buttons (which are obscured by drop-down list box **185**). These buttons perform the same function as described in regard to setting the permissions for files.

Although only a printer has been described as an example of a hardware entity for which access permissions can be controlled by the present invention, it will be evident that access permissions for other types of hardware on a network can be controlled in a similar fashion.

In the preferred embodiment of the present invention, the graphic user interface, which is used to set the access permissions to an entity on the network, carries out that task using a plurality of 32-bit APIs, which are intended to be high-level, platform neutral, and to comprise a layer on top of existing APIs in the operating system. (It will be apparent that if the present invention is implemented in a different operating system, the routines used to set access permissions

may take a different form.) Certain simplifying characterizations for the entities make it possible for these APIs to facilitate generic control of entities on a network by translating generic requests into the appropriate format for another operating system running on a server that controls the entity.

Specifically, entities are divided into two types, "containers" and "objects." A container can have or contain "children," i.e., objects and/or other containers. In contrast, an object can not have children. For example, a container may be a directory (or folder), while an object may be a file that is contained within that directory or folder. Directories can contain other directories or files, but a file cannot. A hardware entity such as printer **38** is typically an object, since it cannot contain another entity.

Certain access rights apply to both objects and containers. In most operating systems, unless explicitly overridden, these access rights are inherited by objects and containers that are contained within a container. These rights include allowing the reading of the contents of the object, writing the contents of the object, and allowing the execution of the object, assuming that it is an executable file (on some systems, this right is equivalent to reading the object). Thus, in most operating systems, granting a trustee Read rights to a directory will inherently grant that trustee Read rights to any directory or files contained within that directory. The user can change the attributes of objects and containers to allow reading and writing of a file and directory. Attributes specify that the object or container is Hidden, Read Only, Write Only, Archived, etc.

Typically, a user who has full rights to an object or container can also change the access rights of a trustee or group of trustees to that object or container, or can allow all available access to the object or container, subject only to the provision that the trustee or group is selected from the list of possible trustees maintained by the operating system that controls the object or container.

In order to make a request to set access rights to an entity comprising a container or object, the user must specify the name of the container or object (as a string) and indicate the access right that should be applied to the container or object. These requirements are met from within the graphic user screens and dialog boxes of the graphic operating system in which the preferred embodiment of the present invention is implemented, when the user makes a request to set the permissions on an entity as described above. A request entered by the user is then translated to the appropriate format, without involving the user in the details or requiring that the user understand the format needed by the remote server to carry out the request. For example, by selecting Add button **128** (FIG. **6**) the user causes an API to be called that obtains a list of all the groups and/or individual trustees for objects or containers controlled by a server, enabling the user to select one or more groups or trustees and to modify the access rights for the selected group(s) and/or individual trustee(s) to the object or container. Based upon the user's selection of an appropriate menu item, as noted in the above example, a routine must be called that can implement the desired change in access rights to the selected container or object. In the preferred embodiment, the application (or operating system) in which the present invention is implemented calls a SetAccessRights API using the string name for the selected container or object and the desired generic access right. In order to make the request, the application from which the user is requesting a change in the permissions (or the user) need not know the server or the type of operating system that is running on the remote server that controls the entity. This information is obtained by the routines or APIs that comprise the interface between the application from which the request is made and each of the operating systems running on the servers coupled to the network.

It should be noted that in addition to individual users or groups of users, a trustee can comprise a service or a system, within the context of the present invention. For example, a database is a service that is treated as a trustee and can be given rights to data tables contained on another server. Similarly, a trustee may be a file server, so that access permissions to objects or containers on another server can be set for that trustee in accord with the present invention.

The generic rights controlled by the APIs in the preferred embodiment include granting access rights to an object or container for one or more named trustees. A GrantAccessRights API ensures that the trustee has at least the requested access rights. The parameters required by the API used to carry out this function include a variable called ResourceType, which indicates whether the resource or entity for which access is controlled is a file or directory, a printer, or a service. Typically, any owner of an object or container and those additional trustees explicitly permitted to modify access rights on an object or container will be allowed to perform the GrantAccessRights function.

Another function controlled by the routines or in the preferred embodiment, by the APIs, is labeled ReplaceAllAccessRights. This function sets the access rights on the object or container in accord with trustee and permission pairs provided by the user, so that all existing access permissions to the object or container are replaced by the new access permissions stipulated by the user. A RevokeExplicitAccessRights function specifically revokes all access rights explicitly assigned to a named trustee. Thus, the trustee can only have access to the object or container by virtue of some other means, such as membership in a group, or because "Everyone" has access to the object or container.

It should be noted that revoking all access rights to an object or container is different than denying access rights thereto. In the security scheme implemented by a particular operating system, a trustee may inherit certain rights that have not been explicitly denied or granted, based upon membership in a group.

Another function, referred to as "IsAccessPermitted," uses the name of a trustee and a requested access to query the operating system running on the appropriate server to determine if the user has sufficient rights to perform the requested operation. The function returns true if so, and false otherwise. This inquiry evaluates the access rights granted both explicitly and implicitly to the trustee based upon membership in certain groups. However, the specific operating system that controls the object or container may impact upon how a response to this inquiry is handled. In the preferred embodiment of the invention, the request that uses this function checks both the access rights listed in a discretionary database list, such as an ACL, as well as other access rights granted to the user by virtue of membership in any groups. If a user is explicitly granted certain rights to an object or container, those rights may take precedence over rights accumulated as a result of membership in a group.

Another function implemented by the present invention is "GetEffectiveAccessRights," which accepts the name of a trustee making a request and an object or container that is the subject of the request and returns the effective access rights that the trustee has in that entity. The function lists the access rights that the named user has to the entity, evaluating both

the explicit and implicit rights based upon any membership in groups. Again, the access rights evaluation policies are operating system dependent.

Yet another function implemented by the present invention is "GetExplicitAccessRights." This function returns a list of trustees that have explicit access rights on an object or a container.

A final function entitled "EnumerateTrustees" lists the trustees, both users and groups, that can be granted any access on a given object or container. In other words, the function receives as input a particular object or container, and returns a list of trustees (groups and/or individuals) that can be granted or denied any form of access to the entity. In the event that there are relatively large lists in the return for this function, a flag is provided in the return to indicate that additional entries remain. Once the enumeration is completed, a flag indicating that no more entries exist is included in the return.

Using the preceding functions implemented as APIs in the preferred embodiment, the interface is able to determine whether the user requesting a change in access or permissions for a particular entity (object or container) has the access right to make such a request. If so, and if the changes are to be made with regard to a group of trustees or individual trustee that appears in the list of possible trustees for the server that controls the object or container, the requested changes are made. The user need not know anything about the underlying requirements for setting access permissions used by the particular operating system on which the changes have been made.

The procedure used for controlling access to a selected entity (object or container) on the network is shown in a flow chart comprising FIGS. **9** and **10**. Beginning at a start block **200** in FIG. **9**, the operating system under which the functions that comprise the present invention run gets the trustee, the access rights, and the name of the entity (object or container), as noted in a block **201**. Next the system determines the controlling server for the selected entity, as noted in a block **202**. A network may include N servers, SI through SN. The steps subsequently implemented (as illustrated in the remaining blocks of the flow chart) relate to the server thus determined. In the example, these steps apply to a server S1, which has been identified as the server that controls the selected entity. In a decision block **203**, the system determines if the trustee identified by the user is valid on the entity, i.e., does the trustee have access permissions on the server just identified. If not, a block **204** returns an indication that the trustee is invalid.

In a decision block **205**, the system attempts to read the access permission information that was returned for the selected entity. If the attempt fails, for example, because the user does not have the required access permissions on the entity, a block **206** indicates that the system has returned an indication that access was denied. If successful in reading the access permissions, a decision block **208** instead determines if the entity is local, i.e., is the entity controlled by the workstation on which the user is connected to the network. If so, the logic proceeds to a block **210**.

In block **210**, the system merges the request made by the user for setting access permissions to the selected entity into a local operating system-specific format (i.e., the operating system on which the workstation was booted) and sets the access permissions requested by the user for the entity. A decision block **212** then attempts a Write request to the entity's permissions. If successful, the user making the request can write access permissions on the entity, as indicated in a block **214**. If not, a block **216** returns an error, indicating that access was denied.

Returning to decision block **208**, if the entity is controlled by a remote server, the logic continues at a block A, in FIG. **10**. Generally, the logic illustrated in FIG. **10** determines the type of operating system running on the server that controls the entity, so that the access permissions can be appropriately formatted. For example, a decision block **218** determines if the entity is controlled by a server running WINDOWS NT. If so, a block **222** encodes the generic request for setting access to the entity made by the user into a format that is used by the operating system running on the NT server. A decision block **224** then determines if Write access to the entity's permissions is allowed, and if not, a block **226** provides for returning an error indicating that access by the user to make the requested change in access permissions is denied. Otherwise, a block **228** returns an indication that the change in access permissions for the object or container has been successfully written by the WINDOWS NT server.

If the entity (object or container) is not controlled by a WINDOWS NT server, a decision block **230** determines if the entity identified by the user is controlled by a remote server running Novell's NETWARE™ network operating system. If so, a block **232** encodes or translates the requested access change made by the user into the format required by the NETWARE™ operating system running on the remote server. A decision block **234** then attempts to write the access permissions on the entity, in a manner similar to the steps in decision blocks **212** and **224**. If the attempt fails, a block **236** returns an error, indicating that access for writing the access permissions is denied to the user. Conversely, a block **238** indicates success at writing the permissions for the entity.

In a similar manner, if the entity is controlled by a server running a different operating system, the present invention checks for other remote server types (as indicated in a dash line block **240**), encodes the request into the required format, and determines whether the user has Write access permissions on the entity and whether the Write access was successful. If the type of server that controls the entity is not found or is not supported by the interface of the present invention, a block **242** returns an error to the user.

When encoding a request, the system calls the appropriate function (API in the preferred embodiment) for GrantAccessRights, SetAccessRights, DenyAccessRights, RevokeExplicitAccessRights, or ReplaceAllAccessRights, passing the trustee and permission pairs to the function needed to accommodate the generic request made by the user. The function that is called then carries out the translation of the user request to the appropriate operating system-specific format and conveys the request over the network to the operating system running on the server that controls the object or container in question. The operating system on the remote server then grants the request and changes the database, ACL, or other access rights storage mechanism used for the entity in accordance with the request, assuming that the user had the rights to make it and that the trustee requested had the right to receive it.

Handling of Access Control Requests by WINDOWS NT

For a server running under the WINDOWS NT operating system, permissions to various entities controlled by the server are defined by the ACL, which is an ordered list of ACEs. Each ACE contains an account ID that corresponds to a specific individual or group granted permissions to an entity, a permission type (typically either Grant or Deny), specific access permissions to the entity, and, if the entity is a container, a field that defines the entities (sub objects and

sub containers) that will inherit that ACE when created in the container. "Inheritance" is defined in each ACE and applies only the ACE; it is not a general attribute of the container. An access control request made by a trustee will normally include an individual or group name (in the form associated with a corresponding account ID), one or more access permissions, and a request to grant, deny, set, or revoke access permissions to a particular entity. If the entity is a container, the request may also include inheritance attributes for the ACE.

The technique employed under the WINDOWS NT operating system for handling an access control request recognizes that ACEs in the ACL can be inter-related. For example, different ACEs in the ACL may grant permissions to different entities, for the same account ID. Under the present invention, a trustee or an application can readily formulate an access request without having any knowledge of the related ACEs already entered in the ACL. As far as a trustee or an application is concerned, it is necessary only to know the specific name or group (or account ID), and the required permissions and entity to which these permissions should be applied. Thus, the trustee or application can make a request such as "Grant Trustee 'Alpha' Read access to all files in directory 'DOCS'." When this command is implemented, Trustee Alpha will be able to read all files in the DOCS directory, yet will still be able to modify any other files that trustee could modify in accord with any existing ACEs, prior to completion of the access request command.

FIG. **11** illustrates the relationship between an access control request **254** that is created by a trustee at a workstation **250** to modify the permissions for an entity, producing an appropriate ACE in an ACL **256**, which is maintained on a server **252**. In the example shown in this FIG., access control request **254** is a request to grant Write permissions to a specific group/individual, for a particular entity, such as a file. To merge this access control request with the existing ACEs maintained in ACL **256**, the operating system searches the ACL to identify account IDs matching the specific group/individual account ID corresponding to the name of the individual/group included in the access control request. In this example, two ACEs are found with the same account ID, the first granting Read permissions to the entity and the second granting Delete permissions to the entity. Since the entity is simply a file, and not a container, inheritance attributes are not involved in merging the access control request with the ACL. As a result, as shown in ACL **256'**, the access control request is merged into the ACL, producing ACEs **258'**, the first of which grants Read/Write permissions to the account ID for the specific group/individual in the request, and the second granting Delete/Write permissions to the file for the specific group/individual specified by the account ID. Any other ACEs **260** on the entity are not affected by the grant of the request.

The actions taken in responding to a request so as to merge the requested access into the ACL depend upon the relationship between the request and any existing entry in the ACL. As shown in FIG. **12**, there are five possible relationships between a requested access and an existing entry. A block **270** illustrates the first relationship in which the request is Disjoint relative to the existing entry. In other words, the requested access (or inheritance attribute) is entirely different than the existing entry within the ACL. For example, if the requested permissions is to grant Write access to a container and the existing entry provides for Read access to the container, the two are disjoint, as shown in block **270**.

In a block **272**, the requested permission (or inheritance attribute) is identical or Equal to the existing entry within the ACL. In this case, no change would be required to merge the request with the existing ACE.

In a block **274**, the request is a Subset of the existing entry. For example, if a group/individual already has Read/Write permissions to a container, a request to Grant read permissions to the container is a Subset.

The alternative relationship is shown in a block **276**. In this block, the request is a Superset of an existing entry. Thus, a request to grant Read/Write permissions to a file would be a Superset of an existing ACE that grants the group/individual Read Only permissions to the file.

An Overlap relationship between an existing ACE and a request is shown in a block **278**. The Overlap relationship can occur, for example, when an existing ACE grants the group/individual rights to a container and all sub containers, and the request is directed at the container and all sub-objects.

It should be noted that FIG. **12** applies both: (a) to the relationship between an access control request and an existing ACE to an entity; and (b) to the requested inheritance attributes and the inheritance attributes in an existing ACE for the entity. However, only ACEs on a container can have inheritance attributes.

In connection with a container, there are five possible combinations of entities that may be affected by the inheritance of access permissions. The inheritance of access permissions may affect only the container (effectively denying inheritance of access permissions to any other entity), sub containers only; sub objects (files) only; sub containers and sub objects only; and everything, i.e., containers, sub containers, and sub objects.

The relationship between the existing and requested access, as applicable to the inheritance attribute for a container, relate to these five possible combinations of entities. For example, in connection with block **274**, if an existing ACE's access permissions for a container through inheritance apply to the sub containers and sub objects of the container, a request that makes inheritance of the access permissions requested for the container applicable to sub objects would be a subset of the existing ACE. The relationship between existing and requested access permissions and inheritance attributes determines how a merge of the access control request with the ACL is handled.

In the preferred embodiment of the present invention that will be used in WINDOWS NT, the inheritance attributes included in an ACE are indicated by a specific set of inheritance flags, as shown in the table of FIG. **16**. The entities affected by the inheritance flags are shown in this table and in the diagram of FIG. **17**. The open circles in each block of FIG. **17** represent the container (at the top) and sub containers within the container. The filled-in circles represent sub objects (files). The entities to which the access permissions apply are enclosed with a circular dash line. Three dots are used in the FIG. to indicate where the inherited access permissions will apply to successive entities of the indicated type.

In the first entry in the Table of FIG. **16** (and first block of FIG. **17**), no inheritance flag is set, and the permissions apply only to the container. If the No Propagate (NP) inheritance flag is set, as shown in the second entry of FIG. **16**, inherited access permissions are not applicable. When the Container Inherit (CI) inheritance flag is set, as shown in the next entry, the inherited access permissions apply to the container and to all sub containers within the container, but not to sub objects in the container and sub containers. The Inherit Only (IO) inheritance flag is not applicable for setting inheritance attributes to other entities. All of the

remaining combinations of the inheritance flags determine the entities to which the inherited access permissions will apply as shown in the other entries in the table of FIG. **16** and in the blocks of the diagram in FIG. **17**.

In FIG. **18**, examples of the relationships listed in FIG. **12** for the inheritance attributes indicated by the inheritance flags, for existing and requested access inheritance are shown. Thus, for example, a Disjoint inheritance relationship occurs if the requested access inheritance does not include any inheritance flags and the existing inheritance has both the CI and OI inheritance flags set. In the example shown for the Equal inheritance relationship, the OI inheritance flag is set in both the requested access inheritance and the existing access inheritance for the entity; the inclusion of the NP flag in the existing access inheritance for the entity is ignored. The examples for the Subset and Superset relationships are self-evident. For the example shown to illustrate the Overlap relationship, the requested access inheritance flag is set for CI, which affects the container and all sub containers. The existing access inheritance has the OI inheritance flag set, indicating that the inherited access permissions apply to the container and its immediately contained objects. Thus, the overlap between the requested access inheritance and the existing access inheritance is on the container, which is common to both.

In FIG. **13**, a Table illustrates how inheritance and permissions are merged in an ACL, based upon the relationship between the requested and existing inheritance and permissions for the account ID and entity. In the Table shown in FIG. **13**, different actions are identified for merging the request when the requested access and existing access are of the same type, i.e., both Grant or both Deny access permissions to the entity.

Alternatively, in FIG. **14**, a Table lists numbers identifying actions that are used in merging the request in the event that the requested access and existing access are of opposite types, i.e., one Grants access permissions to the entity and the other Denies access permissions. The numbers appearing in FIGS. **13** and **14** refer to the actions listed in FIG. **15**.

Several examples will help to clarify how the above-referenced tables are used for determining the action(s) carried out to merge an access control request with any existing related ACEs in the ACL. In the first example, an access control request is made to grant Write permissions to an individual "Donna" for all files in a sub directory "MyFiles." An existing ACE grants Write permissions to Donna for the container "DOCS" (of which MyFiles is a sub container) and Everything is identified as inheriting the access permissions for the container DOCS. In this case, the requested access and existing access are of the same type—Grant. Further, the requested permission is to a sub container of the existing container entity, so that the Subset entry for inheritance (column **3** of the inheritance relationships) in FIG. **13** applies. The requested permission is equivalent to the existing permission, so that the row labeled Equal under permissions applies in FIG. **13**. At the junction of the Subset column and the Equal row, an action number **3** indicates that the appropriate action to be taken (from the list of actions in FIG. **15**) is to leave the existing ACE. Since Donna already has Write permissions to all files in sub container MyFiles based upon the existing permissions, there is no reason to change the existing ACE.

In the second example, an access control request is made to grant Write permissions to Donna for the container DOCS, with the requested access permissions to be inherited by any sub containers of DOCS. An existing ACE grants Donna Write permissions to MyFiles, which is a sub container of DOCS. Since the requested inheritance is to apply the requested access permissions to the container and sub containers of DOCS, the Superset relationship (column **4** of the inheritance relationships) applies. The requested and existing permissions are Equal (third row of the permissions relationships). The second row in FIG. **13** intersects with the fourth column at a cell containing action **4**, which should be taken to merge the requested access control with the ACL. Action **4** provides for removing the existing ACE, and adding a new ACE in accordance with the access control request. The effect of implementing these actions is to expand the Write permissions enjoyed by Donna from the sub container MyFiles, to include its container DOCS.

Perhaps the most extensive action required to complete the merger of an action control request with the ACL occurs when the appropriate action is identified in FIG. **14** by number **6**. For example, if Donna is requested to have Read/Write permissions to a container MyFiles and to its sub objects, and if an existing ACE within the ACL denies Donna Write/Create Children permissions for Everything relative to the container MyFiles, the inheritance attribute requested overlaps with the existing inheritance attribute. Further, the requested access permissions that would grant Donna Read/Write permissions to the container MyFiles and its sub objects overlaps with the existing Denial of Write/Create Children. The fifth column of inheritance relationships under Overlap applies, and the fifth row of permissions relationships labeled Overlap intersect in a cell that includes action number **6**.

Referring to FIG. **15**, the definition for action number **6** provides that the requested inheritance is removed from the existing ACE. In this case, the existing entry which denies Donna Write/Create permissions for Children, for everything, is changed to deny Donna Write/Create permissions to Children for sub containers only. Next, an ACE is added that provides for Overlap between the requested inheritance and the inheritance attributes from the existing ACE, including the existing entry's access permissions less the requested permissions. This change adds an ACE that Denies Donna the right to Create Children in connection with Everything relative to the container MyFiles. Finally, a new ACE is added to the ACL in accordance with the original access control request. In this case, the new ACE grants Donna Read/Write permissions to the container MyFiles and all sub objects within it.

In a similar manner, other appropriate actions are applied to merge any access control request, based upon the inheritance attributes and permissions requested and existent within the ACL. The action(s) implemented after consideration of the requested and existing inheritance and permissions in this manner insure that the action control request is properly merged into the ACL, without adversely impacting other permissions associated with the same account ID.

Although the present invention has been described in connection with the preferred form of practicing it, it will be understood by those of ordinary skill in the art that many modifications can be made thereto within the scope of the claims that follow. Accordingly, it is not intended that the scope of the invention in any way be limited by the above description, but that it be determined entirely by reference to the claims that follow.

The invention in which an exclusive right is claimed is defined by the following:

1. A method for handling a request to change an access to an entity on a network by an account, where the entity may have existing inheritance attributes associated with it for the account, the entity comprising one of a plurality of different

types of entities that are controlled by at least one of a plurality of different operating systems on the network, comprising the steps of:

(a) determining if the request was made by a trustee having permissions for making the request;

(b) identifying any existing permissions for the account to the entity; and

(c) based upon the existing inheritance attributes to the entity for the account and the existing permissions to the account for the entity, modifying a list of access control entries that are used in controlling access to a plurality of entities on the network so as to grant the request without affecting any other existing access permissions in the list.

2. The method of claim **1**, wherein if no existing permissions to the account are found in the list of access control entries, the modification to the list comprises the step of adding the requested permissions to the entity for the account.

3. The method of claim **1**, wherein if existing permissions to the account in the list of access control entries match the account and the entity in the request, the modification to the list comprises the step of:

(a) revoking any existing permissions to the entity for the account, if the request is to revoke said permissions;

(b) removing any existing permissions to the entity for the account and adding the requested permissions to the entity for the account, if the request is to set said permissions; and

(c) merging the requested inheritance attributes with any existing inheritance attributes to the entity for the account and merging the requested permissions with the existing permissions, if the request is to either grant or deny the permissions to the entity for the account.

4. The method of claim **3**, wherein the step of merging comprises the steps of:

(a) merging the requested permissions with the existing permissions if the requested inheritance attributes to the entity are identical to the existing inheritance attributes to the entity for the account;

(b) replacing the existing permissions to the entity for the account by the requested permissions, if the existing inheritance attributes to the entity are a subset of the requested inheritance attributes and the existing permissions to the entity for the account are a subset of the requested permissions; and

(c) leaving the existing permissions to the entity for the account in the access control list, if the existing inheritance attributes to the entity for the account are a superset of the requested inheritance attributes and the existing permissions to the entity for the account are a superset of the requested permissions.

5. The method of claim **4**, wherein if the existing permissions to the entity for the account are opposite to the requested permissions, the step of merging further comprises the step of removing the requested permissions from the existing permissions, thereby only affecting the existing permissions to the entity for the account that match the requested permissions.

6. The method of claim **1**, where in the existing and the requested inheritance attributes apply only to entities that are containers.

7. An article of manufacture that is adapted to be used on a computer network, comprising:

a memory medium on which are stored machine instructions that are adapted to be executed on the computer network, for handling a request to change an access to an entity on said network by an account, where the entity may have existing inheritance attributes associated with it in connection with the account, the entity comprising one of a plurality of different types of entities that are controlled by at least one of a plurality of different operating systems on said network, said machine instructions, when executed on said network, implementing the following functions:

(a) determining if the request was made by a trustee having permissions for making the request;

(b) identifying any existing permissions for the account to the entity; and

(c) based upon the existing inheritance attributes to the entity for the account and the existing permissions to the account for the entity, modifying a list of access control entries that are used in controlling access to a plurality of entities on said network so as to grant the request without affecting any other existing access permissions in the list.

8. The article of manufacture of claim **7**, wherein if no existing permissions to the account are found in the list of access control entries, the modification to the list implemented by the machine instructions comprises the function of adding the requested permissions to the entity for the account.

9. The article of manufacture of claim **7**, wherein if existing permissions to the account are found in the list of access control entries that matches the account and the entity in the request, the modification to the list implemented by the machine instructions comprises:

(a) revoking any existing permissions to the entity for the account, if the request is to revoke said permissions;

(b) removing any existing permissions to the entity for the account and adding the requested permissions to the entity for the account, if the request is to set said permissions; and

(c) merging the requested inheritance attributes with any existing inheritance attributes to the entity for the account and merging the requested permissions with the existing permissions, if the request is to either grant or deny the permissions to the entity for the account.

10. The article of manufacture of claim **9**, wherein the merging implemented by the machine instructions comprises:

(a) merging the requested permissions with the existing permissions if the requested inheritance attributes to the entity for the account are identical to the existing inheritance attributes for the entity;

(b) replacing the existing permissions to the entity for the account by the requested permissions, if the existing inheritance attributes to the entity for the account are a subset of the requested inheritance attributes and the existing permissions to the entity for the account are a subset of the requested permissions; and

(c) leaving the existing permissions to the entity for the account in the access control list, if the existing inheritance attributes to the entity for the account are a superset of the requested inheritance attributes and the existing permissions to the entity for the account are a superset of the requested permissions.

11. The article of manufacture of claim **10**, wherein if the existing permissions to the entity for the account are opposite to the requested permissions, merging further comprises removing the requested permissions from the existing permissions, thereby only affecting the existing permissions to the entity for the account that match the requested permissions.

12. The article of manufacture of claim 7, wherein the existing and the requested inheritance attributes apply only to entities that are containers.

13. A system for handling a request to change an access to an entity on a network by an account, where the entity may have existing inheritance attributes associated with it for the account, the entity comprising one of a plurality of different types of entities that are controlled by at least one of a plurality of different operating systems on the network, said system comprising:

a processor in which a plurality of machine instructions are executed to handle the change of the access to the entity, execution of said machine instructions on the processor comprising:

(a) means for determining if the request was made by a trustee having permissions for making the request;

(b) means for identifying any existing permissions for the account to the entity; and

(c) based upon the existing inheritance attributes to the entity for the account and the existing permissions to the account for the entity, means for modifying a list of access control entries that are used in controlling access to a plurality of entities on the network so as to grant the request without affecting any other existing access permissions in the list.

14. The system of claim 13, wherein if no existing permissions to the account are found in the list of access control entries, the means for modifying the list add the requested permissions to the entity for the account.

15. The system of claim 13, wherein if existing permissions to the account in the list of access control entries match the account and the entity in the request, the means for modifying the list:

(a) revoke any existing permissions to the entity for the account, if the request is to revoke said permissions;

(b) remove any existing permissions to the entity for the account and add the requested permissions to the entity for the account, if the request is to set said permissions; and

(c) merge the requested inheritance attributes with any existing inheritance attributes to the entity for the account and merge the requested permissions with the existing permissions, if the request is to either grant or deny the permissions to the entity for the account.

16. The system of claim 15, wherein the means for modifying the list implement the merging by:

(a) merging the requested permissions with the existing permissions if the requested inheritance attributes to the entity are identical to the existing inheritance attributes to the entity for the account;

(b) replacing the existing permissions to the entity for the account by the requested permissions, if the existing inheritance attributes to the entity for the account are a subset of the requested inheritance attributes and the existing permissions to the entity for the account are a subset of the requested permissions; and

(c) leaving the existing permissions to the entity for the account in the access control list, if the existing inheritance attributes to the entity for the account are a superset of the requested inheritance attributes and the existing permissions to the entity for the account are a superset of the requested permissions.

17. The system of claim 16, wherein if the existing permissions to the entity for the account are opposite to the requested permissions, the means for modifying the list implement the merging of the requested permissions with the existing permissions by removing the requested permissions from the existing permissions, thereby only affecting the existing permissions to the entity for the account that match the requested permissions.

18. The system of claim 13, wherein the existing and the requested inheritance attributes apply only to entities that are containers.

19. An article of manufacture adapted to be executed on a computer in order to control access to an entity on a network, the entity comprising one of a plurality of different types of entities that are controlled by at least one of a plurality of different operating systems on the network, comprising:

a memory medium on which are stored machine instructions that are executable on a computer to implement the following functions:

(a) identifying each trustee that can have access permissions to the entity, by querying a network operating system that controls access to the entity;

(b) selecting a generic request to control access to the entity from a set of predefined generic requests;

(c) translating the generic request for access control to the entity into a format usable by the network operating system that controls access to the entity; and

(d) causing the network operating system that controls access to the entity to implement the generic request in said format.

20. The article of manufacture of claim 19, wherein the entity comprises one of a container and an object.

21. The article of manufacture of claim 19, wherein the plurality of entities includes hardware objects that are coupled to the network.

22. The article of manufacture of claim 19, wherein the plurality of entities includes containers for storing data.

23. The article of manufacture of claim 19, wherein the machine instructions, when executed on a computer, further enable a user to request setting specific access rights to an entity associated with an application, from within said application, if the user possesses a right to set said specific access rights to said entity.

24. The article of manufacture of claim 23, wherein in response to a request by the user, the machine instructions, when executed on a computer, cause the network operating system to determine trustees that may have specific access rights granted to them and returns a list of said trustees in a format that is independent of the network operating system on which the specific access rights are to be set, thereby ensuring that the specific access rights are only granted to trustees entitled to receive them.

25. The article of manufacture of claim 19, wherein the machine instructions, when executed on a computer, enable a user to view a trustee's access permissions to an entity.

26. The article of manufacture of claim 19, wherein the set of predefined types of generic requests includes at least one of:

(a) granting of access rights to the entity;

(b) setting access rights to the entity;

(c) denying access rights to the entity;

(d) revoking explicit access rights to the entity;

(e) replacing all access rights to the entity;

(f) determining if access to the entity is permitted;

(g) getting effective access rights for the entity;

(h) listing trustees who have explicit access rights to the entity; and

(i) enumerating all trustees that may be granted access rights to the entity.

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