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### Systems and methods for dynamically applying information rights management policies to documents

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#### Abstract

Systems and methods are disclosed herein for dynamically applying information rights management (“IRM”) policies to documents. An example system for dynamically applying IRM policies to documents can include a document repository, a proxy server, and a dynamic IRM wrapping service (also referred to herein as an IRM engine). A user can request a document on the document repository by, for example, attempting to access the document from a user device. The user device can be managed by a management server that enrolls the user device and enforces compliance rules and other policies at the user device. The user's request for the document can be received at the proxy server, and the proxy server can then request the document from the document repository.

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## **Background/Summary**

CROSS REFERENCE TO RELATED APPLICATION (1) This application claims priority as a continuation application to U.S. patent application Ser. No. 15/638,583, entitled “Systems and methods for dynamically applying information rights management policies to documents.” filed Jun. 30, 2017, which is a non-provisional of and claims priority to U.S. Provisional Patent Application No. 62/403,191, entitled “Systems and methods for dynamically applying information rights management policies to documents,” filed Oct. 2, 2016, both of which are incorporated by reference in their entireties.

### **BACKGROUND**

(1) Today's enterprise mobility management (“EMM”) systems allow mobile users to remotely access secure content, such as documents, from their user devices. Because these documents can contain confidential information, enterprises often encrypt the documents with some form of information rights management (“IRM”) policies. IRM policies can control which users, if any, can view, edit, print, export, extract, or comment on the document. IRM can also be described as enterprise rights management, enterprise digital rights management, document rights management, or intelligent rights management. All of these variations are included in the definition of “IRM” as used herein.

(2) In order for IRM to perform its intended function for a document, the document must be encrypted with IRM before a user receives the document. Additionally, the user's method of accessing the document must be compatible with the particular IRM format for that document. In other words, the client application used to access the document must be able to recognize and decode the IRM included with the document. These compatibility issues can lead to inefficiencies and other problems.

(3) For example, if an enterprise attempts to use a custom IRM for their documents, the enterprise must restrict its users such that they can only access the documents from a particular application designed to be compatible with that custom IRM. This precludes users from accessing enterprise documents through a third-party application, such as MICROSOFT WORD or OUTLOOK, that does not support the custom IRM. On the other hand, if the enterprise wants to allow its users to access secure documents through a third-party application, then the documents have to include IRM for that application. In practice, this would require blanket IRM policies to be applied to all of the enterprise documents. For example, all documents saved to a “finance” folder could have a finance-IRM template applied. These blanket policies would necessarily fail to account for important factors such as the type of user requesting access, the actual content of the document, and any other relevant factors. Blanket IRM policies can also compromise efficiency and slow down employee productivity.

(4) For at least these reasons, a need exists for systems and methods that dynamically apply IRM policies to documents in an intelligent manner, taking relevant context into account and providing an efficient but secure document-management system.

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## Description

### DESCRIPTION

(1) Reference will now be made in detail to the present examples, including examples illustrated in the accompanying drawings. Wherever possible, the same reference numbers will be used throughout the drawings to refer to the same or like parts.

(2) Systems and methods are disclosed herein for dynamically applying IRM policies to documents. An example system for dynamically applying IRM policies to documents can include a document repository, a proxy server, and a dynamic IRM wrapping service (also referred to herein as an IRM engine). A user can request a document on the document repository by, for example, attempting to access the document from a user device. The user device can be managed by a management server that enrolls the user device and enforces compliance rules and other policies at the user device. The user's request for the document can be received at the proxy server, and the proxy server can then request the document from the document repository.

(3) Continuing the example, the document repository can send, or attempt to send, the document to the proxy server. The IRM engine can intercept the document retrieved by the proxy server, either before or after it reaches the proxy server. In either case, the IRM engine gains access to the document before the proxy server sends the requested document back to the user.

(4) The IRM engine can apply one or more IRM policies to the document after intercepting the document. Applying an IRM policy can be based, at least in part, on contextual information associated with the request, such as information associated with the user, the user device, or the document itself. For example, the IRM policy can be based on an organizational group associated with the user, a compliance status of the user device, a geographic location of the user device at the time of the request, or the creator of the document. Applying IRM to a document can include placing specific restrictions or policies in the header of the file. When the user attempts to access the file, a rights management service ("RMS") can enforce the restrictions or policies provided in the header of the file. The IRM policy can be applied by wrapping the document using a software development kit ("SDK") compatible with one or more third party IRM engines. The IRM policy can then be enforced by one of those third parties.

(5) The IRM engine can operate according to various types of policies and information provided by a management server. The management server can perform EMM functions relevant to the systems disclosed herein, such as enrollment and compliance. The management server and related EMM functions are discussed with respect to FIG. 1.

(6) FIG. 2 provides an illustration of example system components for dynamically applying IRM policies to documents. FIG. 3 provides a flowchart for an example system that dynamically applies IRM policies to documents. Finally, FIG. 4 is a flowchart for a method of dynamically applying IRM policies to documents.

(7) Turning to FIG. 1, a management server **120** and user device **110** are shown. A user device **110** can include any computing device, such as a cell phone, laptop, tablet, personal computer, or workstation. A user device **110** can include a non-transitory computer-readable medium containing instructions that are executed by a processor. Example non-transitory, computer-readable mediums include RAM and ROM, disks, and other memory and storage that is accessible by a USB port, a floppy drive, CD-ROM, or DVD-ROM drive, and a flash drive, among others. Furthermore, the terms "user device" and "user devices" are used interchangeably, as appropriate.

(8) The user device **110** can enroll with the management server **120**—for example, as part of an

overall EMM or Mobile Device Management (“MDM”) system. The management server **120** can include multiple servers, processors, and computing devices. In some examples, the management server **120** is a network of servers, some of which can be located remotely from one another. In another example, the management server **120** is a single server with multiple purposes. In yet another example, the management server **120** is a server (or group of servers) dedicated to the operations described herein. A system administrator can have privileges associated with managing, editing, revising, and otherwise administrating functions associated with the management server **120**.

(9) The management server **120** can monitor and manage the operation of user devices **110**, through the management server **120** itself, or more specifically, through a management service or program executing on the management server **120**. Although one user device **110** is shown, the management server **120** can monitor and manage the operation of multiple user devices **110** enrolled in a device management service. The management server **120** can also provide access to email, calendar data, contact information, and other enterprise resources to enrolled user devices **110**.

(10) The management server **120** can include an enrollment component **121** and an administrator component **122**, which can both be used for the process of enrolling user device **110**. For example, a user device **110** can communicate with the enrollment component **121** during the initial stages of enrollment. In some examples, the enrollment component **121** can provide a token to the user device **110** indicating that the user device **110** has been authenticated and is permitted to communicate and enroll with the management server **120**. The management server **120** or enrollment component **121** can provide the user device **110** with information regarding how to access and communicate with the administrator component **122** in order to continue the enrollment process.

(11) In some examples, the administrator component **122** can request a token from the user device **110**, indicating that the user device **110** has been authenticated and is permitted to continue the enrollment process with the administrator component **122**. Upon receiving the token, the administrator component **122** can continue the enrollment process. The administrator component **122** can also provide a console for an administrator to configure and monitor the status of the user device **120** and the enrollment process. In some examples, the administrator component **122** can be dedicated to a particular enterprise or group of enterprises, while the enrollment component **121** can be shared across multiple different enterprises.

(12) Management server **120** can include one or more organizational groups **123**. An organizational group **123** can include data representing a group of user devices **110** managed by the management server **120**. An organizational group **123** can correspond to a structure or hierarchy of a business or enterprise. For example, an enterprise can have various groups such as an engineering team, an accounting team, and a marketing team. Each of these teams can correspond to an organizational group **123** stored on the management server **120**.

(13) In addition to corresponding to a business team, an organizational group **123** can correspond to user devices **110** positioned in a particular geographic location. For example, a business can have different business locations, such as a public waiting room, private conference room, a laboratory, office space, and a parking garage. In this example, separate organizational groups **123** can be established for each of the public waiting room, private conference room, laboratory, office space, and parking garage. User devices **110** positioned in one of these locations can be included in the respective organizational group **123**.

(14) The management server **120** can also include compliance rules **124**. A compliance rule **124** can set forth one or more conditions that must be satisfied in order for a user device **110** to be deemed compliant. If compliance is broken, the management server **120** can take steps to control access of the user device **110** to enterprise files and email. Compliance rules can be assigned differently to the different organizational groups **123**. For example, a developer group can be assigned different compliance rules **124** than an executive group. The executive group might be allowed to install

different applications than the development group. Similarly, the management server **120** can assign different compliance rules **124** based on the different location-based organizational groups **123**.

(15) The determination of whether a user device **110** is compliant can be made by the management server **120**, the user device **110**, or a combination of both. For example, the management agent **132** on the user device **110** can generate a data object that describes the state of the user device **110**, including any settings, parameters, applications, or other information regarding the state of the user device **110**. The data object can be analyzed by the management server **120** or the user device **110** to determine whether the user device **110** is in compliance with compliance rules **124**. In the case of the user device **110** analyzing compliance, a management agent **132** installed on the user device **110** can make the comparison between the data object and compliance rules **124**.

(16) In some examples, a compliance rule **124** can specify one or more triggering conditions. If a triggering conditions occurs, the system can react accordingly. For example, the management server **120** can automatically perform one or more remedial actions. In another example, the management server **120** can prompt an administrator to take one or more remedial actions. In some cases, remedial actions can be staged, such that the user of a user device **110** is provided with a chance to remedy their noncompliance before being subjected to stricter remedial actions. Various triggering conditions and their accompanying potential remedial actions are described in more detail below. Detailed examples of compliance rules **124**, and their operation in conjunction with the management server **120**, user device **110**, and management agent **132**, are included after the discussion of FIGS. 1-4.

(17) The management server **120** can also include management policies **125** that direct the management of a user device **110**. For example, a management policy **125** can specify which resources can be made available to a user device **110** from the management server **120**. This can include, for example, specifying that the management server **120** is permitted to provide an e-mail service to the user device **110**.

(18) In some examples, the management policies **125** can specify the compliance rules **124** with which a user device **110** is required to comply. A compliance rule **124** can be assigned to one or more management policies **125**. In some examples, a compliance rule **124** can be assigned to a particular organizational group **123**. The management policy **125** can specify how the user devices **110** associated with that organizational group **123** are to be managed. For example, the management policy **125** can specify certain activities or functions that are required from, or prohibited by, user devices **110** associated with a particular organizational group **123**.

(19) The management agent **132** can be a portion of an operating system for the user device **110**, or it can operate in the application layer of the user device **110**. For example, the management agent **132** can be a dedicated application or other software installed on the user device **110** that can monitor and manage data, software components, and hardware components associated with the user device **110**. The management agent **132** can monitor and control functionality and other managed applications on the user device **110**. The management agent **132** can also determine whether a compliance rule **124** is, or has been, satisfied by the user device **110**.

(20) In some examples, the management agent **132** can parse a data object describing the state of the user device **110**, including various settings of the user device **110** as well as actions it has taken. Based on the data object, the management agent **132** can determine whether various compliance rules **124** have been satisfied. In some examples, the management agent **132** can communicate with the management server **120** to determine whether the compliance rules **124** are satisfied by the user device **110**. For example, the management agent **132** can cause the data object to be transmitted to the management server **120** to facilitate that determination.

(21) The management agent **132** can be an application, or portion of an application, that provides functionality beyond simply monitoring and managing resources in the user device **110**. In one example, the management server **120** can provide a SDK that a developer can use to insert, for

example, security libraries into the application. In another example, a developer can incorporate libraries and other components through a process of “wrapping.” To wrap an application, a developer can decompile the application, insert the libraries or other components, and then recompile the application. When a library is incorporated into an application, the functionality provided by the library can be called by the management agent **132** executing in a user device **110**. For example, if a security library provides the ability to monitor and enable or disable functionality provided by an application, the management agent **132** can call functions provided by the library to monitor and enable or disable the functionality.

(22) A management policy **125** can specify that a user device **110** has permission to perform or access certain functionality by virtue of that user device **110** being associated with an organizational group **123**. For example, a management policy **125** can be created without reference to a particular user device **110**. Instead, the management policy **125** can be associated with an organizational group **123**. The organizational group **123** can change over time and include different user devices **110** over time. But because the management policy **125** is associated with the organizational group **123** rather than the any particular user device **110**, the management policy **125** can apply to all user devices **110** within the organizational group **123** at any given time.

(23) In one example, a user device **110** can become a member of, or become associated with, an organizational group **123** when an administrator specifies that the user device **110** should be a member. In another example, a user device **110** becomes associated with an organizational group **123** when a membership condition is satisfied, such as through a dynamic evaluation of the membership condition. A membership condition can be created by an administrator **110** by specifying a condition relating to the user device **110** that, when satisfied, causes the user device **110** to be associated with the organizational group **123**. Similarly, the membership condition can be created such that when a condition relating to the user device **110** is met (or not met), the user device **110** is removed from the organizational group **123**.

(24) Alternatively, a user device **110** can become disassociated with an organizational group **123** based on the user of the user device **110**. For example, an administrator **110** or dynamic evaluation can identify an individual for additional to, or removal from, an organizational group **123**. If the user operates multiple user devices **110**, all of the user's user devices **110** can be added to, or removed from, the organizational group **123** of interest. In this way, all of the user's user devices **110** can be made subject to a uniform set of management policies **125** and compliance rules **124**.

(25) As shown in FIG. 1, the management server **120** can also contain IRM policies **126**. IRM policies **126** can set forth rules for applying IRM to documents based on any number of different factors. An enterprise administrator can establish, modify, or removed IRM policies **126**. An IRM policy **126** can apply broadly to all documents within an enterprise's control, or can apply more specifically. For example, an IRM policy **126** can apply to a particular user, geographic location, or organizational group **123**. IRM policies **126** can also apply based on the content of the documents themselves. For example, an IRM policy **126** can specify that documents containing trade secrets-defined as the appearance of particular words or phrases-should have IRM applied that only permits viewing by top-level managers or executives, and prevents printing, exporting, or extracting. As another example, an IRM policy **126** can specify that if a user is not compliant with a particular compliance rule **124**, then when that user attempts to retrieve a file from a repository, the file can be wrapped with IRM that prevents the user from viewing, editing, printing, or otherwise accessing the file.

(26) Also shown in FIG. 1 is a content application **112** installed on the user device **110**. The content application **112** can be any application that allows viewing, editing, exporting, extracting, printing, or commenting on documents. Common examples include, but are not limited to, MICROSOFT WORD, EXCEL, OUTLOOK, LOTUS WORD PRO, APPLE PAGES, APACHE OPENOFFICE WRITER, POLARIS OFFICE, and many more.

(27) In some examples, the management server **120** can provide instructions to the user device **110**

to install the content application **112** on the user device **110**. The instructions can include, for example, a command sent to the management agent **132** installed on the user device. In some examples, a compliance rule **124** can be enforced that requires the user device **110** to execute the content application **112**.

(28) FIG. 2 provides an illustration of example system components for dynamically applying IRM policies to documents. FIG. 2 includes a user device **110**, such as a managed user device **110** that is enrolled with the management server **120** in the manner described with respect to FIG. 1. In the example of FIG. 2, a user can request a secure document that is stored in a document repository **150**. The document repository **150** can be a database, a group of databases, a server, a group of servers, or any other type of storage device. The requested document can be a native file without any IRM protection, or a document that already has some form of IRM protection.

(29) When the user requests the document, the user device **110** can send a request message to a secure access point. In the example of FIG. 2, the secure access point is a proxy server **130**. The proxy server **130** can include multiple server, processors, and computing devices. In one example, the proxy server **130** is an AIRWATCH CONTENT GATEWAY. The proxy server **130** can receive requests for documents in the document repository **150**, request the document from the repository **150**, receive the document from the repository **150**, and then send the document to another location or device. In FIG. 2, the proxy server **130** receives the document request from the user device **110** through the Internet **160**. However, the proxy server **130** can also receive a document request through a cellular network, LAN, or any other type of network. In another example, the proxy server **130** is an AIRWATCH MOBILE ACCESS GATEWAY, which can proxy all data transmissions between the user device **110** to the Internet **160** and can identify document requests by analyzing the data being proxied.

(30) After receiving the request from the user device **110**, the proxy server **130** can retrieve the requested document from the document repository **150**. During the process of retrieving a document from the document repository **150**, or after receiving the document at the proxy server **130**, an IRM engine **140** can intercept the document and perform various actions. In one example, the proxy server **130** is part of a content gateway through which requested content passes. The proxy server **130** can intercept the content and send it to the IRM engine **140**. The IRM engine **140** can dynamically wrap the content with one or more IRM policies.

(31) The IRM engine **140** can be a process executing on the proxy server **130**, the management server **120**, a standalone server, or any other device. The IRM engine **140** can be a managed device that is enrolled with the management server **120**, in some examples. The IRM engine **140** can detect, or be informed of, a document pulled from the repository **150** by the proxy server **130**. The IRM engine **140** can then determine the appropriate IRM protection for the document, determine any current IRM protection, and modify the document accordingly.

(32) The IRM engine **140** can access a variety of information sources to determine the precise type of IRM that should be applied to the document. For example, the IRM engine **140** can apply IRM policies **126** set at the management server **120**. The IRM engine **140** can also parse the document, and metadata associated with the document, to make determinations. The IRM engine **140** can also access information from the management server **120**, such as organization groups **123**, compliance status of the user device **110**, management policies **125** associated with the user device, and any other relevant information. Furthermore, the IRM engine **140** can access information at the management server **120** regarding the user device **110**, such as its current geographic location, the content application **112** requesting the document, or other content applications **112** on the user device **110** that might attempt to access the document.

(33) Based on the information available to it, the IRM engine **140** can apply IRM policies **126** to dynamically determine the appropriate IRM to apply to the document. In one example, the IRM engine **140** applies IRM to the document based on the type of content application **112** on the user device **110**. For example, if the user is requesting to view the document in MICROSOFT WORD,



then the IRM engine **140** can utilize a MICROSOFT SDK to wrap the document with MICROSOFT-compatible IRM. Alternatively, the IRM engine **140** can utilize multiple SDK's to wrap the document with multiple types, or layers, of IRM such that the document is compatible with more than one RMS. In some examples, the IRM engine **140** can selectively provide, or not provide, compatibility with a particular RMS as a result of a compliance determination. For example, a compliance rule **124** can specify that the user device **110** needs to have the most recent version of a content application **112**. If the user device **110** is out of compliance on that point, the IRM engine **140** can selectively wrap the document with IRM other than an IRM compatible with the content application **112**. This can be used as a mechanism to incentivize a user to remain compliant.

(34) In another example, the IRM engine **140** can determine an appropriate IRM policy based on an organizational group **123** of the user requesting the document. For example, the user can belong to an executive organizational group **123** and an accounting organizational group **123**. If the document contains information that is confidential but generally available to members of the executive group **123**, the IRM engine **140** can wrap the document with IRM that allows the user to view, print, and export the document, but not extract or edit the document, according to an IRM policy **126**. However, if that user requests a highly confidential legal document unrelated to either the executive or accounting groups **123**, the IRM engine **140** can wrap the document such that the user is allowed to view, but not save, extract, print, comment, or edit the document.

(35) In another example, the IRM engine **140** can select IRM based on the creator of the document and any stored relationships or dependencies between the creator and the requesting user. For example, if the document creator and the requesting user work in the same department and commonly share documents, then the IRM engine **140** can wrap the document such that the requesting user has full access to modify the document as desired.

(36) In yet another example, the IRM engine **140** can select IRM based on the content of the document itself. For example, the IRM engine **140** can parse text included in the document and compare the parsed text to a database of terms. In some examples, an IRM policy **126** can specify that the presence of certain terms trigger a particular IRM restriction, such as not being able to edit the document. The IRM policy **126** could further specify that the specified term would need to occur a predetermined number of times before triggering the restriction.

(37) The examples provided above are merely exemplary. The IRM engine **140** can access any information made available to it by the management server **120**, user device **110**, proxy server **130**, and the content of the document itself. The IRM engine **140** can utilize IRM policies **126** to determine an appropriate action to take based on the information available to it. In some cases, the IRM engine **140** can use one or more algorithms to analyze the available information and make decisions regarding an appropriate IRM package to apply.

(38) To apply IRM to a document, the IRM engine **140** can use one or more SDK's to wrap the document with IRM protection, which restricts access to the document to applications configured to remove or unlock the IRM protection. In one example, this includes encrypting the document. The encrypted document can then require one or more keys to decrypt the document, portions of the document, or functionality associated with the document.

(39) In one example, applying IRM to a document can include including specific restrictions or policies in the header of the file. When the user attempts to access the file, an RMS service can enforce the restrictions or policies provided in the header of the file. The management server **120**, proxy server **130**, or IRM engine **140** can provide information to the RMS service regarding enforcing those restrictions and policies. Similarly, if IRM policies **126** on the management server **120** change after the document has been wrapped, the management server **120** can notify the RMS service of the modified policies **126** to be enforced as a result of particular IRM protections. To ensure that a documents are up to date, the user can be required to log in to the RMS service at least once during a specified period of time—for example, at least once every three days. Otherwise,

opening the document can prompt a user for credentials, thereby accessing the RMS service and allowing the RMS service to modify permissions for the document, if necessary.

(40) In one example, applying an IRM policy can include specifying a policy in the header of the document, where the policy is enforced by a third party. For example, a third party IRM service can be responsible for providing the actual enforcement rules for a document. In one example, the management server **130** can update the dynamically applied IRM policy by contacting a third-party IRM server to change the rules associated with an applied policy. For example, the management server **120** can contact MICROSOFT through an SDK to change a security template for an IRM policy. When a user accesses a document that is already wrapped in an IRM policy, the document can get the new restrictions from MICROSOFT as directed.

(41) In another example, applying IRM to a document can include identifying a reference, such as the management server **120**, in the header of the document, rather than including the specific restrictions in the header of the document. The management server **120** can store the restrictions and cause the user to access the management server **120** when accessing the file. By causing the user to route through the management server **120** to obtain access, the management server **120** can track various types of information associated with the document and the user.

(42) For example, the management server **120** can recognize and track any actions the user attempts to carry out with respect to the document, including sending, exporting, extracting, printing, commenting, editing, and viewing. The management server **120** can also track unsuccessful actions, such as attempting to view a document without permission, even though the document does not open for viewing.

(43) The tracking of the user actions with respect to documents can be compared against compliance rules **124** to ensure that a user is performing a job function. For example, a compliance rule **124** can be set so that the user must open a threshold percentage of documents tagged with the user as a recipient. A process at the management server **120** can periodically calculate the percentage of those documents opened by the user based on checking usage history of each document with the tag.

(44) In one example, a document can be wrapped in IRM for different IRM-enabled productivity. However, if an application is not compatible with an IRM policy, the management server **120** can be configured to not provide the document to the user device **110**. This can force the user device **110** to use an IRM policy in compliance with enterprise practices. In another example, IRM policies applied to a document can conflict. In that example, the management server **120** can dictate that the stricter of the conflicting IRM policies be applied.

(45) FIG. 3 provides a flowchart for an example system that dynamically applies IRM policies to documents. At stage **310**, a user device **110** sends a request to an endpoint—in this example, a proxy server **130**—requesting a particular document. This stage can occur when a user attempts to download a document on the user device **110**, for example. The request can be delivered through a secure firewall in one example.

(46) At stage **320**, the proxy server **130** sends a request to retrieve the document from the document repository **150**. The request can include information identifying the requested document, such as a hash value or encrypted hash, along with any credentials required by the document repository **150**. The document repository **150** can locate the document based on the identifying information and attempt to deliver the document to the proxy server **130**.

(47) At stage **330**, the document repository **150** sends the document, which is intercepted by the IRM engine **140**. The term “intercepted” is not intended to be limiting; for example, the document repository **150** can intentionally send the document directly to the IRM engine **140** in some examples. In other examples, the document is sent from the document repository **150** to the proxy server **130**, which then delivers the document to the IRM engine **140**.

(48) At stage **340**, the IRM engine **140** applies IRM to the document. As part of this stages, the IRM engine **140** can access various sources of information to determine the IRM that should be

applied. For example, the IRM engine **140** can access information stored on the management server **120**, proxy server **130**, or information associated with the document itself. The IRM engine **140** can apply IRM policies **126** set at the management server **120**. In a scenario where the requested document already has IRM protection, the IRM engine **140** can compare the current IRM protection to the desired IRM protection specified by relevant IRM policies **126**, and if the IRM policies **126** require any additional protections, the IRM engine **140** can apply those additional protections to the document.

(49) After applying the appropriate IRM to the document, the IRM engine **140** can send the protected document to the proxy server **130** at stage **350**. The file extension of the protected document can be modified to indicate that the document is protected. For example, a “p” can be added at the beginning of the file extension, such that a document with a “.doc” extension becomes “.pdoc,” a document with a “.pdf” extension becomes “.ppdf,” and so on.

(50) At stage **360**, the proxy server **130** can deliver the protected document to the user device **110**. This can include, for example, delivering the document through a management agent **132** installed on the user device **110**. The protected document can be delivered through a cloud-based distribution system, in one example. The document can also be delivered through a LAN or by using a physical storage device.

(51) FIG. **4** provides a flowchart for an example method of dynamically applying IRM policies to documents. Stage **410** of the method can include receiving, at a proxy server **130**, a request from a user to retrieve a document stored at a document repository **150**. This stage can occur when a user attempts to download a document on the user device **110**, for example. The proxy server **130** can receive the request through a cloud-based network accessed remotely by the user device **110**.

(52) Stage **420** can include retrieving the requested document from the document repository **150**. This stage can be initiated by the proxy server **130** providing a request to the document repository **150** that includes identifying information for the requested document. The document repository **150** can utilize the identifying information to retrieve the document. In this stage, “retrieving the document” can include receiving the requested document at the proxy server **130**, or alternatively, can include causing the proxy server **130** to send the requested document to the IRM engine **140**.

(53) In either case, at stage **430**, the requested document can be provided to a dynamic IRM wrapping service, such as the IRM engine **140** discussed above. In some examples, the document repository **150** attempts to send the requested document to the proxy server **130**, and the IRM engine **140** intercepts the document. In other examples, the document repository **150** sends the requested document directly to the proxy server **130**.

(54) Stage **440** can include applying, by the dynamic IRM wrapping service, at least one IRM policy to the document. For example, the IRM engine **140** can modify the header of the document file to include one or more IRM policies **126** or restrictions. The IRM policies **126** or restrictions can be determined by the IRM engine **140** based on information made available by the management server **120**, proxy server **130**, or information associated with the document itself. The IRM engine **140** can apply IRM policies **126** set at the management server **120**. In a scenario where the requested document already has IRM protection, the IRM engine **140** can compare the current IRM protection to the desired IRM protection specified by relevant IRM policies **126**, and if the IRM policies **126** require any additional protections, the IRM engine **140** can apply those additional protections to the document.

(55) Stage **450** can include sending the IRM-protected document to the requesting user from the proxy server **130**. This stage can also include sending the document from the IRM engine **140** to the proxy server **130**, which then sends the document to the user device **110**. This can include, for example, delivering the document from the proxy server **130** to a management agent **132** installed on the user device **110**.

(56) Compliance Rules Examples

(57) In one example, a compliance rule **124** requires that the operating system of the user device

**110** not be modified, such as being “rooted” or “jailbroken.” In that example, the triggering condition for the compliance rule **124** is a determination that the operating system of the user device **110** is modified. The management server **120** can make this determination by analyzing a data object generated by the management agent **132** on the user device **110**. If the triggering condition exists, then multiple remedial actions can be taken: (1) the management server **120** can notify the user that their user device **110** is noncompliant, and optionally provide a timeframe indicating when further remedial action will be taken; (2) the management server **120** can provide an “enterprise wipe” of the user device **110**, which can include uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**; (3) the management server **120** can lock or block certain services or functionality on the user device **110**—for example, by uninstalling a profile or token on the device that allows access to those services or functionality, by instructing the relevant gateway or server to block traffic from the device, or by instructing remote services to stop serving the device; (4) the management server **120** can initiate a full device wipe, which can include removing all enterprise and personal data from the user device **110**; and (5) the management server **120** can un-enroll the user device **110**, either by removing the management agent **132** from the user device **110** or by deleting the relevant device record from the management server **120**.

(58) In another example, a compliance rule **124** can specify particular applications that are not authorized to be installed on the user device **110**. This can be useful for preventing blacklisted or malicious applications from being installed on the user device **110**. The management server **120** can make this determination by analyzing a data object generated by the management agent **132** on the user device **110**. If this compliance rule **124** is broken, then several remedial actions can be taken: (1) the management server **120** can notify the user that their user device **110** is noncompliant, identify a compliant version of the unauthorized application, if one exists, and optionally provide a timeframe indicating when further remedial action will be taken; (2) the management server **120** can remove the noncompliant application from the user device **110**, using the management agent **132** for example; (3) the management server **120** can install a compliant version of the application on the user device **110**, using the management agent **132** from example; and (4) the management server **120** can execute an enterprise wipe of the user device **110**, uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**.

(59) In yet another example, a compliance rule **124** can require that an MDM profile or management agent application (“agent”) be currently installed and operational on the user device **110**. The MDM profile or agent can correspond to the management agent **132** of FIG. 1B, or portions thereof. The MDM profile can be a data object including information regarding the user and user device **110**, such as enterprise privileges, access to various applications and functionalities, device type, organizational groups **123**, and other information. If the management server **120** determines that compliance is broken because the MDM profile or agent are removed from the device, then several remedial actions can be taken: (1) the management server **120** can notify the user that their user device **110** is noncompliant, and optionally provide information regarding re-enrollment; (2) if no management software remains on the user device **110**, the management server **120** can notify the user that their user device **110** has been un-enrolled; (3) if the MDM profile remains installed on the user device **110** but the agent is removed, the management server **120** can cause the user device **110** to reinstall the agent (for example, by reinstalling management agent **132**); and (4) the management server **120** can execute an enterprise wipe of the user device **110**, uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**.

(60) In another example, a compliance rule **124** can specify that an MDM container be currently installed and operational on the user device **110**. An MDM container can be any application, or group of applications, that is “containerized” on the user device **110** by segregating data associated

with the applications in the container from those outside the container. The containerized data can be encrypted to provide additional security. An MDM container can be a single containerized application, such as an e-mail container, a content container, a browsing container, or an application container for secure applications. In some examples, an MDM container can include a group of applications, such as email, content, and browsing applications, within a single encrypted container. (61) If the management server **120** determines that an MDM container required by a compliance rule **124** has been removed from the user device **110**, remedial actions can be taken: (1) the management server **120** can notify the user that their user device **110** is noncompliant, and can provide instructions for reinstalling the removed MDM container; (2) if no management software remains on the user device **110**, the management server **120** can notify the user that their user device **110** has been un-enrolled; and (3) the management server **120** can cause the user device **110** to reinstall the MDM container.

(62) In another example, a compliance rule **124** can specify that a particular application profile or service profile be currently installed and operational on the user device **110**. An application profile can include settings for applications, such as “wrapped” applications that include a security layer around the application. The compliance rule **124** can specify that particular settings associated with the application profile are prohibited. For example, the compliance rule **124** can require device-wide settings, such as preventing cloud backup or external storage or requiring connecting through a tunnel or Virtual Private Network (VPN); browser settings, such as requiring an HTTPS connection or blocking certain websites; and other security settings, such as preventing copying and pasting, requiring credentials for certain actions, and specifying authorized virtual machines that can be utilized by the device.

(63) Similarly, a service profile can include settings for particular services associated with the user device **110**. Example settings associated with a service profile can include disk encryption settings, VPN settings, e-mail settings, cellular data settings, WIFI settings, BLUETOOTH settings, tethering settings, and firewall settings. If any of these settings are changed in a manner contrary to the compliance rule **124**, the management server **120** can determine that device compliance is broken.

(64) If device compliance is broken with respect to either an application profile or service profile, as explained above, a variety of options are available: (1) the management server **120** can cause the user device **110** to reinstall a profile with the required settings, or otherwise revert the settings as appropriate; (2) the management server **120** can notify the user that their user device **110** is noncompliant; (3) the management server **120** can execute an enterprise wipe of the user device **110**, uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**; (4) the management server **120** can block certain remote services by, for example, uninstalling profiles on the user device **110** that allow the device to access to the remote services, instructing a gateway service to block traffic to or from the user device **110**, or instructing the remote services to stop serving the user device **110**; (5) the management server **120** can initiate a full device wipe, which can include removing all enterprise and personal data from the user device **110**; and (6) the management server **120** can un-enroll the user device **110**, either by removing the management agent **132** from the user device **110** or by deleting the relevant device record from the management server **120**.

(65) In yet another example, a compliance rule **124** can require valid credentials from the user, such as a valid, unexpired certificate on the user device **110**. If compliance is broken with respect to the device credentials, several options are available: (1) the user device **110** can be permitted a threshold number of authentication attempts; (2) the user device **110** can be locked; (3) the management server **120** can block certain remote services by, for example, uninstalling profiles on the user device **110** that allow the device to access to the remote services, instructing a gateway service to block traffic to or from the user device **110**, or instructing the remote services to stop serving the user device **110**; (4) the management server **120** can execute an enterprise wipe of the

user device **110**, uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**; (5) the management server **120** can initiate a full device wipe, which can include removing all enterprise and personal data from the user device **110**; and (6) the management server **120** can un-enroll the user device **110**, either by removing the management agent **132** from the user device **110** or by deleting the relevant device record from the management server **120**.

(66) In a related example, a compliance rule **124** can require that user-created credentials meet certain security requirements. For example, the compliance rule **124** can require that user-created credentials include a threshold number of characters, not include the user's name, not match a previous password, or be reset after a certain period of time. If compliance is broken with respect to any aspects of the user-created credentials, several options are available: (1) the management server **120** can notify the user that their user device **110** is noncompliant, and optionally provide a timeframe indicating when further remedial action will be taken; (2) the user device **110** can be locked; (3) the management server **120** can block certain remote services by, for example, uninstalling profiles on the user device **110** that allow the device to access to the remote services, instructing a gateway service to block traffic to or from the user device **110**, or instructing the remote services to stop serving the user device **110**; (4) the management server **120** can execute an enterprise wipe of the user device **110**, uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**; (5) the management server **120** can initiate a full device wipe, which can include removing all enterprise and personal data from the user device **110**; and (6) the management server **120** can un-enroll the user device **110**, either by removing the management agent **132** from the user device **110** or by deleting the relevant device record from the management server **120**.

(67) In another example, a compliance rule **124** can specify that compliance is contingent a time or location aspect associated with the user device **110**. For example, a compliance rule **124** can specify that a request for access to a remote server is only compliant when made within a certain timeframe, or while the user device **110** is located within a particular geographical location. If compliance is broken with respect to the time or geographic requirements, several options are available: (1) the management server **120** can block certain remote services by, for example, uninstalling profiles on the user device **110** that allow the device to access to the remote services, instructing a gateway service to block traffic to or from the user device **110**, or instructing the remote services to stop serving the user device **110**; (2) the management server **120** can notify the user that their user device **110** is noncompliant, and optionally provide a timeframe indicating when further remedial action will be taken; and (3) the user device **110** can be locked.

(68) In yet another example, a compliance rule **124** can specify certain types of communication channels for the user device **110** in particular situations. For example, compliance can be broken if the user device **110** uses an unsecure communication channel to access a service that requires a secure communication channel. Additionally, compliance can be broken if the user device **110** activates cellular roaming when it is prohibited, or uses cellular service when WIFI is required. If compliance is broken, a number of remedial options are available: (1) the management server **120** can notify the user that their user device **110** is noncompliant, and optionally provide a timeframe indicating when further remedial action will be taken; (2) the management server **120** can block certain remote services by, for example, uninstalling profiles on the user device **110** that allow the device to access to the remote services, instructing a gateway service to block traffic to or from the user device **110**, or instructing the remote services to stop serving the user device **110**; (3) the management server **120** can execute an enterprise wipe of the user device **110**, uninstalling the management agent **132** and any enterprise-related applications or other information from the user device **110**; (4) the management server **120** can initiate a full device wipe, which can include removing all enterprise and personal data from the user device **110**; and (5) the management server **120** can un-enroll the user device **110**, either by removing the management agent **132** from the user

device **110** or by deleting the relevant device record from the management server **120**.

(69) As part of the enrollment or management of a user device **110**, an administrator **110** can create a device record for the user device **110**. The device record can be stored on the management server **120**, and can include data related to the management of the user device **110**. For example, the device record can include data describing one or more of: the identity and type of the user device **110**; components of the user device **110**; the state of the user device **110**; organizational groups **123** to which the user device **110** belongs; compliance rules **124** with which the user device **110** must comply; and management policies **125** that specify if, when, and how the user device **110** is permitted to function.

(70) For example, data describing the identity and type of the user device **110**, as well as the components of the user device **110**, can include at least one or more of: a unique identifier associated with the user device **110**; a device type of the user device **110** (e.g., a smartphone, a tablet computing, a laptop computer, a desktop computer, a server computer, or a virtualized instance of any of such computer types); and various software and hardware components of the user device **110** (e.g., operating system (or kernel or bios) type and version, processor type and speed, memory type and size, network interface types, various I/O component types such as camera, touchscreen, keyboard, mouse, printer).

(71) With respect to data describing the state of the user device **110**, such data can include can specify, for instance, various settings that are applied to the user device **110**, various applications that are installed on or being executed by the user device **110**, and various files that are installed on or are accessible to the user device **110**. Additionally, the data describing the state of the user device **110** can specify information related to the management of the user device **110**, such as the last time the user device **110** provided data describing its state to the management server **120**. The data can also describe whether the user device **110** is in a state of compliance with any applicable compliance rules **124**, and whether any remedial actions have been (or are to be) taken as a result of a noncompliance with any applicable compliance rules **124**.

(72) The data describing organizational groups **123** to which the user device **110** belongs can, for example, include any organizational groups **123** of which the user device **110** is a member, either by virtue of a hard-coded relationship between the user device **110** and the organizational group **123**, or by virtue of a dynamic evaluation of a membership condition associated with the organizational group **123**.

(73) The data describing compliance rules **124** with which the user device **110** must comply can, for instance, specify one or more remedial actions that should be performed in the event that an associated rule condition occurs. Data describing management policies **125** can include permissions of the user device **110**, such as access rights, and settings that are being enforced upon the user device **110**. In some examples, the data describing compliance rules **124** and the data describing management policies **125** can be obtained from an organizational record associated with an organizational group **123** to which the user device **110** is a member.

(74) In some examples, an administrator **110** can manually input data into the administrator component **122** in order to generate a device record for a user device **110**. In other examples, the administrator component **122** can obtain a data object, such as an electronic spreadsheet, extensible markup language (“XML”) file, or comma separated values (“CSV”) file. The administrator component **122** can extract information describing the user device **110** from the data object to create a corresponding device record. The device record for each user device **110** can include information identifying each user device **110** and its respective device record.

(75) In some examples, after the administrator component **122** creates a device record for a user device **110**, the management server **120** can detect whether the user device **110** is enrolled. For example, the management server **120** can determine whether a flag is set, indicating that the user device **110** is enrolled.

(76) If the user device **110** is not yet enrolled, the management server **120** can automatically

transmit information identifying the user device **110** to the enrollment component **121**. For example, the user device **110** can transmit a device identifier, such as its media access control (“MAC”) address, to the enrollment component **121**. In some examples, when the enrollment component **121** receives the device identifier, the enrollment component **121** can determine whether a corresponding device record exists. If there is no corresponding device record, the enrollment component **121** can determine that the user device **110** is not authorized to enroll. (77) Other examples of the disclosure will be apparent to those skilled in the art from consideration of the specification and practice of the examples disclosed herein. Though some of the described methods have been presented as a series of steps, it should be appreciated that one or more steps can occur simultaneously, in an overlapping fashion, or in a different order. The orders of steps presented are only illustrative of the possibilities and those steps can be executed or performed in any suitable fashion. Moreover, the various features of the examples described here are not mutually exclusive. Rather any feature of any example described here can be incorporated into any other suitable example. It is intended that the specification and examples be considered as exemplary only, with a true scope and spirit of the disclosure being indicated by the following claims.

## Claims

1. A method for dynamically applying information rights management (IRM) policies to documents, comprising: receiving, at a proxy server, a request from a user to retrieve a document stored on a document repository; analyzing content information from the document, wherein the content information includes text contained within the document, wherein analyzing the content information includes parsing the text of the document and comparing the parsed text to a database of terms in order to detect one or more predetermined terms that trigger a restriction to be applied to the document; determining a relationship between the user and a creator of the document, including determining that the user and the creator both belong to a first organizational group and have previously shared different documents; and dynamically applying an IRM policy to the document based on the analysis of the content information and the determined relationship by including the restriction in a header of the document, wherein the restriction is enforced by a rights management service (RMS) based on the header of the document; and sending the document with the applied IRM policy to the user.
2. The method of claim 1, wherein determining the relationship includes determining how frequently the creator and the user have shared other documents.
3. The method of claim 1, wherein the first organizational group corresponds to at least one of a geographic work location and a team within an organization.
4. The method of claim 1, wherein dynamically applying the IRM policy includes selecting the IRM policy based on the first organizational group, wherein different organizational groups specify different combinations of IRM policies.
5. The method of claim 1, wherein the IRM policy is selected based on at least one of: a status of the user making the request, a compliance status of a device making the request on behalf of the user, and a geographic location of the user making the request.
6. The method of claim 1, wherein the IRM policy is selected based on contextual information of the document, including at least one of a storage location of the document and an existing IRM protection associated with the document.
7. The method of claim 1, wherein the IRM policy is applied to the document based on a management policy set by an administrator.
8. A system for dynamically applying information rights management (IRM) policies to documents, comprising: at least one physical non-transitory storage medium that contains instructions; and at least one processor that executes the instructions to perform stages comprising: receiving, at a



proxy server, a request from a user to retrieve a document stored on a document repository; analyzing content information from the document, wherein the content information includes text contained within the document, wherein analyzing the content information includes parsing the text of the document and comparing the parsed text to a database of terms in order to detect one or more predetermined terms that trigger a restriction to be applied to the document; determining a relationship between the user and a creator of the document, including determining that the user and the creator both belong to a first organizational group and have previously shared different documents; and dynamically applying an IRM policy to the document based on the analysis of the content information and the determined relationship by including the restriction in a header of the document, wherein a rights management service (RMS) enforces the restriction based on the header of the document; and sending the document with the applied IRM policy to the user.

9. The system of claim 8, wherein determining the relationship includes determining how frequently the creator and the user have shared other documents.

10. The system of claim 8, wherein the first organizational group corresponds to at least one of a geographic work location and a team within an organization.

11. The system of claim 8, wherein dynamically applying the IRM policy includes selecting the IRM policy based on the first organizational group, wherein different organizational groups specify different combinations of IRM policies.

12. The system of claim 8, wherein the IRM policy is selected based on at least one of: a status of the user making the request, a compliance status of a device making the request on behalf of the user, and a geographic location of the user making the request.

13. The system of claim 8, wherein the IRM policy is selected based on contextual information of the document, including at least one of a storage location of the document and an existing IRM protection associated with the document.

14. The system of claim 8, wherein the IRM policy is applied to the document based on a management policy set by an administrator.

15. A non-transitory, computer-readable medium comprising instructions that, when executed by a processor, causes the processor to carry out stages for dynamically applying information rights management (IRM) policies to documents, the stages comprising: receiving, at a proxy server, a request from a user to retrieve a document stored on a document repository; analyzing content information from the document, wherein the content information includes text contained within the document, wherein analyzing the content information includes parsing the text of the document and comparing the parsed text to a database of terms in order to detect one or more predetermined terms that trigger a restriction to be applied to the document; determining a relationship between the user and a creator of the document, including determining that the user and the creator both belong to a first organizational group and have previously shared different documents; and dynamically applying an IRM policy to the document based on the analysis of the content information and the determined relationship by including the restriction in a header of the document, wherein a rights management service (RMS) enforces the restriction based on the header of the document; and sending the document with the applied IRM policy to the user.

16. The non-transitory, computer-readable medium of claim 15, wherein determining the relationship includes determining how frequently the creator and the user have shared other documents.

17. The non-transitory, computer-readable medium of claim 15, wherein the first organizational group corresponds to at least one of a geographic work location and a team within an organization.

18. The non-transitory, computer-readable medium of claim 15, wherein dynamically applying the IRM policy includes selecting the IRM policy based on the first organizational group, wherein different organizational groups specify different combinations of IRM policies.

19. The non-transitory, computer-readable medium of claim 15, wherein the IRM policy is selected based on at least one of: a status of the user making the request, a compliance status of a device

making the request on behalf of the user, and a geographic location of the user making the request.

20. The non-transitory, computer-readable medium of claim 15, wherein the IRM policy is selected based on contextual information of the document, including at least one of a storage location of the document and an existing IRM protection associated with the document.

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