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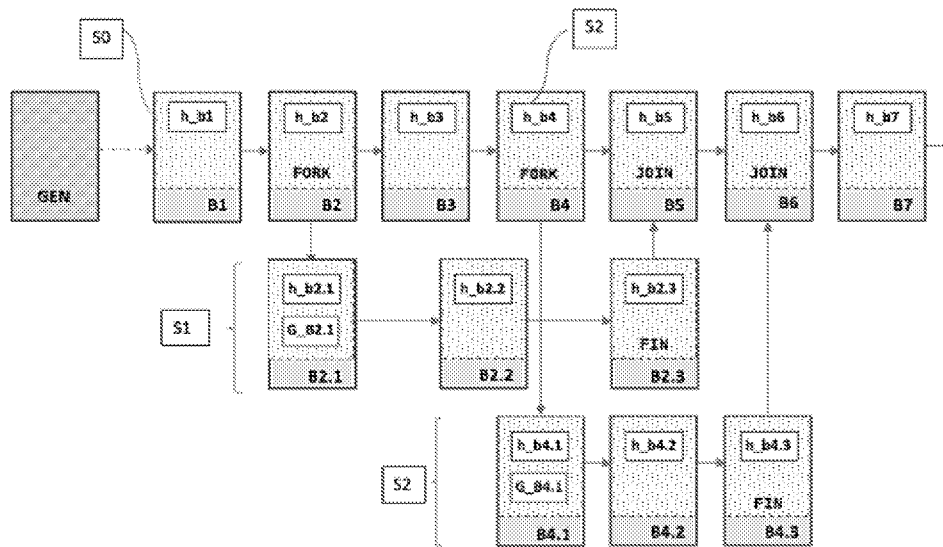


FIG. 6A

(57) Abstract: A system and method of recording data from a number of devices in a distributed network system in a manner adaptable for auditing the device output. The devices may include one or more control, sensor, edge, or peripheral computing devices physically separate in the distributed network system and in communication with a control server. Such distributed networks systems are common in SCADA or IoT applications. The content stream of data records output from the devices are recorded; a payload stripped stream of data records which are stripped of the payload are recorded and preferably retained by an escrow service. The metadata of the data records includes the hash value of one or more predecessor data records. The hash values are calculated based on the payload and a linkage function, preferably a cryptographic function. A comparison of hash values of the payload stripped stream and the content stream provides the audit ability.



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SYSTEM AND METHOD FOR DATA MANAGEMENT STRUCTURE USING AUDITABLE DELTA RECORDS IN A DISTRIBUTED ENVIRONMENT

CROSS-REFERENCE

[0001] This application claims the benefit of U.S. Non-Provisional Application No. 15/367,873, filed 12/2/2016, which application is incorporated herein by reference.

INCORPORATION BY REFERENCE

[0002] All publications, patents, and patent applications mentioned in this specification are herein incorporated by reference to the same extent as if each individual publication, patent, or patent application was specifically and individually indicated to be incorporated by reference.

BACKGROUND OF THE INVENTION

[0003] The present invention relates to systems and methods for generating audit data for distributed systems of sensor and control devices such as industrial and IoT systems. In preferred forms, the systems and methods store audit data as the payload of a series of data records linked by a hash function such as a cryptographic hash function.

SUMMARY OF THE INVENTION

[0004] During the last decade, installations in the Internet of Things ("IoT") realm have been multiplying. In urban infrastructure, electronic devices to control technical equipment and sensor devices for data collections are ubiquitous. Examples are devices in traffic regulation systems or for the collection and transmission of environmental data, such as water level indicators, or sensor devices to measure temperature, humidity, or air quality parameters. Electronic sensor or control devices also are used in industrial installations, agriculture, transportation, pipe infrastructures, and outdoor installations, such as mining or construction sites.

[0005] The sensor and control devices generate vast amounts of data that constitute significant value and typically the ability to audit such data is desirable. However, since such devices are usually deployed in insecure or remote locations, outside the perimeter of a secure datacenter, the generation and processing of audit data in a manner that is compliant with regulatory standards may be challenging. For instance, the operator of a technical installation may be under the obligation to prove the identity of a given device (e.g. authenticated) that generated a stream of audit data, i.e. demonstrate that present audit data indeed stem from that device, and not from another device that spoofed the identity of the former device. The operator also may need to prove the completeness of

the set of audit data, that no data sent to the device have been lost, for instance due to a network failure or been erased from the audit data store in an attempt to tamper.

[0006] A few examples of the use of audit data for forensic evidence or to prove fulfillment of contractual obligations are:

[0007] A traffic control system at an intersection generates photographic images of cars that pass the intersection during a red light. The operator of the traffic control system is under obligation to prove that the traffic light indeed had been red when the photo of the car had been taken, and may be legally challenged to do so.

[0008] In complex industrial installations, typically multiple independent entities own and operate equipment. An operator of a machinery may need to prove correctness of its operation and fulfillment of contractual obligations. For instance, in a pipe infrastructure this may entail keeping the pressure in a pipe within prescribed limits and take corrective actions otherwise. In the investigation of an incident, the veracity of logging data generated by the sensor and control devices of the machinery may be challenged, since the devices are deployed in an insecure location.

[0009] In many cases devices in outdoor IoT installations are not connected to the electrical grid, but work with electrical energy supplied by batteries or solar cells. Resource management is a concern. A device may not be able to at all times process all audit data intended to be generated; it may not have sufficient energy reserves to do so. Thus, another challenge in the design of an audit method for IoT devices in outdoor locations is tolerance of intermittent outages of energy or network connectivity. Assuming that a device may not be able to send all data intended for an audit at all times and do so in a manner of best effort, the data that are transmitted need to satisfy audit requirements, proof of the identity of the device from which they originate and completeness.

[0010] Data recording and auditing capabilities are a standard requirement in many industrial processes, computing systems and technical processes. Application software, operating systems, or components in industrial installation typically are required to log events and keep logs of the history of their operation. The log data that are generated alongside the manufacturing of a product nowadays constitute significant value. For instance, in a fab, if the stream of quality control data logged in the course of the production of a microchip is incomplete, the quality of the chip cannot be assessed and the chip is deemed to be unusable or not of first grade quality.

[0011] With increasing complexity of technical installations, tighter environmental standards and other regulations, the audit data collected alongside a technical process constitute a part of the value add achieved by a technical infrastructure. Examples are industrial production processes, or installations to guarantee environmental standards, such as emission control, or installations for

data collections used by law enforcement, such as traffic monitoring and control. Audit data as well are relevant for a forensic investigation after an accident.

[0012] For instance, a sensor device of an Internet of Things, IoT, installation might measure environmental properties or signals, such as air temperature or sonic signals. A controller in an industrial installation may be a pressure regulator that also needs to generate a data log about its operation. Such data need to be saved for a possible later inspection, for various purposes, for general auditing and for example to prove an environmental parameter within limits

[0013] Stakes might be high in terms of the value of the objects of auditing, which raises requirements towards the quality of audit data and security of the audit process. In addition, audit data often need to be used by multiple parties, and thus require access privileges and filters. An auditing infrastructure often needs to be designed for operational convenience for random audits as well as on demand audit access, such as after an incident.

[0014] Logging and auditing of the operation of peripheral computing devices that are typically used to achieve the tasks in industrial and IoT environments, such as sensor devices, or controllers, may pose specific challenges. Such computing devices often are installed in insecure locations, outdoors or in large and complex technical infrastructures, where a device may be damaged, -- by chance or as a result of an incident for whose analysis its data collections were relevant. A device may be interchanged, lost, stolen, or replaced with malicious intent, to spoof its identity. Moreover, such peripheral computing device typically has insufficient computational capacity, CPU power and memory, to run powerful security algorithms. The computational strength of a device for generating true randomness is limited, and this in turn affects the strength of a key based algorithm that requires the generation of random numbers, making the device vulnerable for spoofing.

[0015] Additionally, in industrial and IoT environments components are often located outdoors and frequently are not connected to the electric grid, but run on batteries or battery backed solar power. Such devices might intermittently go into hibernation mode or shut off once battery resources are exhausted.

[0016] Designing for reliability of operations under the condition of limited computing capacity, and storage, and limited power, potentially with intermittent outages, is a difficult task. The problems described above pose challenges for implementing security and creating reliable audit traces for most devices, but in particular industrial and IoT installations in insecure locations.

[0017] Various patents and applications have addressed different aspects of the problems described above, e.g., US 20160028552A1; US 6868406B1; US 20160217436A1; US 20160299918A1; US 20160275461A1; and W02015173434A1.

[0018] The problems outlined above are addressed by the systems and methods for recording

data from devices in a distributed network system adaptable for audit and methods for auditing a stream of data records in accordance with the present invention. Broadly speaking, a method of recording data from a number of devices in a distributed network system in a manner adaptable for audit includes recording a content stream of data records output from a number of devices where each record has a payload segment including content from the devices and a metadata segment. Preferably the metadata segment includes the hash value of a predecessor record in the stream. A payload stripped stream of said data records is recorded where the payload stripped stream does not include the payload segments and the payload stripped stream is stored as an escrow file.

[0019] In a broad form, one system for collecting audit records from a number of devices in accordance with the present invention includes a number of devices in a distributed network system which communicate with a data repository. Such devices, may, for example, be control, sensor, edge, or peripheral computing devices in an industrial process such as SCADA or an IoT network. The devices generate a content stream of data records, each data record in the content stream having a payload segment and a metadata segment, where the devices and central repository operate to generate a stream of data records stripped of the payload segment and the metadata segment includes the hash value of a predecessor data record. The system includes a communication network (wired or wireless) between the devices and the central repository. Additionally, the system includes a content database connected to the central repository for recording the content stream from the devices and an audit database which records the payload stripped stream.

[0020] One aspect provided herein is a computer-implemented method of securely providing access for a plurality of tenants to a plurality of audit records in a blockchain format, the method comprising: receiving, by a management infrastructure, a content stream comprising a plurality of audit records in the blockchain format from a plurality of peripheral devices, wherein the audit record in the blockchain format comprises a metadata comprising a cryptographic hash which links the audit record to a successor audit record; receiving, by a tenant manager, the audit record in the blockchain format; decrypting, by the tenant manager, the cryptographic hash of at least a portion of the plurality of audit records; and providing access for a plurality of tenants, by the tenant manager, to at least a portion of the plurality of audit records.

[0021] In some embodiments, at least one of the plurality of peripheral devices comprises a water level meter, a temperature sensor, a pressure sensor, a flow meter, a valve, a humidity sensor, a magnetic sensor, a vibration sensor, a chemical sensor, an air quality sensor, a camera, a microphone. In some embodiments, the audit record comprises a water level, a temperature, a pressure, a flow rate, a valve position, a humidity, a magnetic field, a vibration force, a vibration

acceleration, a chemical concentration, an air quality measurement, an image, a video, a sound, or any combination thereof. In some embodiments, providing access for the plurality of tenants, by a tenant manager, to at least a portion of the plurality of audit records comprises: implementing an access privilege to at least a portion of the plurality of audit records; and determining at least one of a status and a statistic of at least a portion of the plurality of audit records. In some embodiments, implementing the access privilege to at least a portion of the plurality of audit records comprises implementing a role-based hierarchical access rule. Some embodiments further comprise displaying, by the audit infrastructure, at least one of the status, the statistic, and the audit record. In some embodiments, providing access for the plurality of tenants, by the tenant manager, to at least a portion of the plurality of audit records comprises providing an encryption key to the tenant, wherein the encryption key is configured to decrypt at least a portion of the plurality of audit records. In some embodiments, receiving, by the management infrastructure, the content stream comprising the plurality of audit records is performed via a shared network connection. Some embodiments further comprise sending, by the audit infrastructure, at least a portion of the plurality of audit records to a third party. Some embodiments further comprise initiating, by the tenant manager, an audit of at least a portion of the plurality of audit records. Some embodiments further comprise generating, by the audit infrastructure, a snapshot comprising at least a portion of the audit records. Some embodiments further comprise, appending, by the audit infrastructure, the snapshot to audit records in the blockchain format. In some embodiments, appending, by the audit infrastructure, the snapshot to the audit records comprises appending the cryptographic hash value of one audit record in the blockchain format to another audit record in the blockchain format by an algorithm configured to increase the cryptographic strength of the audit records in the blockchain format.

[0022] Another aspect provided herein is a blockchain managing platform configured to securely provide access for a plurality of tenants to a plurality of traceable audit records in a blockchain format, the platform comprising a plurality of peripheral devices, an audit infrastructure, and a tenant manager; wherein the audit record in the blockchain format comprises a metadata comprising a cryptographic hash value which links the audit record to a successor audit record; wherein the audit infrastructure is configured to receive the plurality of audit records in the blockchain format from the plurality of peripheral devices; and wherein the tenant manager is configured to decrypt at least a portion of the plurality of audit records and provide access for a plurality of tenants to at least a portion of the plurality of decrypted audit records.

[0023] In some embodiments, at least one of the plurality of peripheral devices comprises a water level meter, a temperature sensor, a pressure sensor, a flow meter, a valve, a humidity sensor, a

magnetic sensor, a vibration sensor, a chemical sensor, an air quality sensor, a camera, or a microphone. In some embodiments, the audit record comprises at least one of a water level, a temperature, a pressure, a flow rate, a valve position, a humidity, a magnetic field, a vibration force, a vibration acceleration, a chemical concentration, an air quality measurement, an image, a video, or a sound. In some embodiments, the tenant manager is configured to provide access for the plurality of tenants to at least the portion of the plurality of decrypted audit records by: implementing an access privilege to at least a portion of the plurality of audit records; and determining at least one of a status and a statistic of at least a portion of the plurality of audit records. In some embodiments, the access privilege comprises a role-based hierarchical access rule. In some embodiments, the audit infrastructure further comprises a display configured to display at least one of the status, the statistic, and the audit record. In some embodiments, the tenant manager is configured to provide access for the plurality of tenants, to at least a portion of the plurality of audit records by providing an encryption key to a tenant wherein the encryption key is configured to decrypt at least a portion of the plurality of audit records. In some embodiments, the audit infrastructure is configured to receive the plurality of audit records in the blockchain format from the plurality of peripheral devices via a shared network connection. In some embodiments, the audit infrastructure component is further configured to send at least a portion of the plurality of audit records to a third party. In some embodiments, the tenant manager is further configured to initiate an audit of at least a portion of the plurality of audit records. In some embodiments, the audit infrastructure is further configured to generate a snapshot comprising at least a portion of the audit records. In some embodiments, the audit infrastructure is further configured to append the snapshot to audit records in the blockchain format. In some embodiments, the audit infrastructure is configured to append the snapshot to audit records in the blockchain format by appending the cryptographic hash value of one audit record in the blockchain format to another audit record in the blockchain format by an algorithm configured to increase the cryptographic strength of the audit records in the blockchain format.

BRIEF DESCRIPTION OF THE DRAWINGS

[0024] The novel features of the disclosure are set forth with particularity in the appended claims. A better understanding of the features and advantages of the present disclosure will be obtained by reference to the following detailed description that sets forth illustrative embodiments, in which the principles of the disclosure are utilized, and the accompanying drawings of which:

[0025] Figure 1 is a block diagram of a blockchain or content stream of records;

[0026] Figure 2 is a block diagram of a payload stripped stream of records;

- [0027] **Figure 3** is a block diagram of a blockchain showing an exemplary relationship of a primary chain and secondary chains;
- [0028] **Figure 4** is a block diagram of a computing infrastructure;
- [0029] **Figure 5** is a block diagram showing the interaction of devices;
- [0030] **Figure 6a** is a block diagram of an example of primary and secondary subchains;
- [0031] **Figure 6b** is a block diagram of an example payload stripped stream corresponding to the subchains of Fig. **6a**;
- [0032] **Figure 7a** is a block diagram of a blockchain with a local synchronization record;
- [0033] **Figure 7b** is a block diagram of an example payload stripped stream of the blockchain of Fig. **7a**;
- [0034] **Figure 8a** is a block diagram of a blockchain similar to **Figure 7a** and includes a remote synchronization record;
- [0035] **Figure 8b** is a block diagram of an example payload stripped stream of the blockchain of **Figure 8a**;
- [0036] **Figure 9** is a block diagram of a subset of a blockchain having a content stream of records showing primary and secondary chains;
- [0037] **Figure 10** is a block diagram of the interaction of components in transferring records from a peripheral device to a management infrastructure;
- [0038] **Figure 11** is a block diagram of a subset of a blockchain showing primary and secondary chains and a snapshot of secondary chains in the metadata of the records of the primary chain;
- [0039] **Figure 12** is a block diagram of a computing infrastructure in a multi-tenant configuration;
- [0040] **Figure 13** is a block diagram of the interaction of components in transferring records from a peripheral device to a management infrastructure in a multi-tenant configuration;
- [0041] **Figure 14** is a block diagram of a system including peripheral devices and a management infrastructure; and
- [0042] **Figure 15** is a block diagram showing the interaction of components in a multi-tenant configuration.

DETAILED DESCRIPTION OF THE INVENTION

[0043] As a simple example, assume in Figure 1 that the payload 14 of each record contains data pertaining to a configuration of sensor devices that measures the concentration of chemicals emitted by an industrial installation. Assume that record B2 contains the result of a measurement that the operator of the installation wishes to conceal or otherwise hide from inspection. The operator might change the payload 14 of record B2 in his data store, but now also would need to

change the hash values contained in the following record, hash B2 in record B3. If hash B2 has already been received and stored by an audit service provider or other trusted entity, tamper would be detected. The operator might attempt to replace the payload of B2 with one that: syntactically fits the format of data representation used so far; has the modified value for the measurement; and has the same hash value like the original record, hash B2. In most cases of interest this attempt is impossible or computationally too complex to achieve.

[0044] Since the genesis record B1 it is the base of all hash calculations, its strengths in terms of randomness, determined by its size and the quality of the random number generator used to produce it, also determine the difficulty of the challenge to modify a record while preserving its hash value.

[0045] A device (e.g. a sensor or control device) that generates an audit blockchain may not have the computational capacity to generate a sufficiently large block of random data. Instead, the device might be equipped with a repository of genesis records, supplied during software install on the device or during manufacturing.

[0046] In a preferred method of data audit described in this application, the operator of an installation that produces the content stream 12 in audit blockchain format, as shown in Figure 1, also forwards the inner metadata of each record to an audit service provider or trusted entity. The inner metadata 18 for a record is also referred to as the payload stripped record associated with that record.

[0047] The inner metadata 18 contain at least the hash value of the predecessor record. The inner metadata 18 may contain further information, such as user identifiers in a multi-tenant implementation of the audit system, and information about the topology of an audit blockchain.

[0048] A payload stripped representation of a subset of an audit blockchain is the set of data structures made up by the entirety of payload stripped records of the subset. Thus, the topology of the audit blockchain can be reconstructed from it. A payload stripped representation of an audit blockchain is the payload stripped representation of the subset of the audit blockchain that makes up the entire audit blockchain.

[0049] Figure 2 shows the payload stripped representation of the audit blockchain (22) of Figure 1. Per naming convention, the payload stripped record of a record, B, is denoted with B. The payload stripped record corresponding to the genesis block at least contains its block of random data and also may contain the inner metadata segment or metadata. In the present application, the audit blockchain of Fig. 1 is referred to as a content stream 12 because it includes a payload 14. The payload stripped representation of an audit blockchain of Fig. 2 is referred to as a payload stripped stream 14 because the payload 14 is not included, but at least a portion of the metadata 16 is included.

[0050] To perform an audit for an audit blockchain (e.g. Fig. 1) that is maintained by the operator of an installation, the audit service provider simply compares the hash value of each record of the content stream 12 with the hash value in its corresponding record in the payload stripped representation, payload stripped stream 22 of Fig. 2. If the hash values coincide, the correctness of a given hash value is verified by redoing the hash calculation for the preceding record in the audit blockchain stored by the operator, which should lead to present hash value.

[0051] Comparing the content stream 12 shown in Figure 1 and its payload stripped representation, payload stripped stream 22 in Figure 2, the audit process would entail to first compare all hash values of corresponding records. For instance, the value hash B1 in the payload stripped stream 22 needs to coincide with the value hash B1 stored in record B2 of the content stream 12 in Figure 1, and so on. If the test for equality of all pairs of corresponding hash values has been successful, the calculation of hash values is repeated on the content stream 12 maintained by the operator in Figure 1. I.e., the hash value of the GEN record is calculated by the audit service provider and needs to coincide with the value hash B1 in record B2, the hash value of record B2 is calculated and needs to coincide with hash B2 stored in record B3.

[0052] This audit mechanism is tamper proof and for the operator of an audited infrastructure incurs little overhead in managing the data that are subject of auditing. The audit service provider is isolated from the payload of records of the data stream made up by them; all obligations to maintain data security remain with the operator. Moreover, the method is suited for use in a distributed environment, which includes devices with low computational power in insecure locations.

[0053] A subchain of an audit blockchain is an ordered set of records linked by hash, i.e., where the hash value of a record stored in the metadata of a given record, is the hash value of an immediate predecessor of that record that may not necessarily be part of the subchain. A subchain doesn't allow for a record to have multiple predecessors or successors that belong to the subchain. For instance, in Figure 1, (B1, B2, B3), or (B1, B2, S1, S2, S3) are subchains, whereas records B1, B2, B3, S1, S2, S3 cannot be arranged to constitute a subchain. A subchain is said to have the linkage by hash property, if for each record, B, of it, there exists a series of records $GEN = B_1 \dots B_n$, with $B_1 = GEN$, $B_n = B$, such that B_i is the immediate predecessor of $B_{(i+1)}$, and $B_{(i+1)}$ is linked by hash to B_i .

[0054] Each subchain of an audit blockchain, establishes a subset of the data stream of the audit blockchain, which is a set of data structures presented as payload of the subchain, for which the audit blockchain, by means of its properties, defines an ordering. A subset of an audit blockchain consists of one or more subchains that may have records in common. In particular, a subchain of an

audit blockchain is a subset. For instance, the records of the two subchains (B1, B2, B3) and (S1, S2, S3) together constitute a subset, (B1, B2, B3, S1, S2, S3).

[0055] A payload stripped representation of a subset of an audit blockchain consists of the set of payload stripped records corresponding to records of the subset, preserving information about the linkage by hash relationship of records of the subset. I.e. in the example of Figure 1, the payload stripped representation of subchain (B2, B3) is (B2, B3). If a subchain contains the genesis record, its payload stripped representation contains it as well. For instance, the payload stripped representation of (B1=GEN, B2, S1) is (GEN, B2, S1). The payload stripped representation of a subset of an audit blockchain also is referred to as a payload stripped stream of a subset of an audit blockchain.

[0056] A primary blockchain of an audit blockchain is a distinguished subchain that has as first record the origin the genesis block, GEN, and its records, by definition, are declared to belong to the primary chain. A secondary blockchain, S, of a subchain, C, is a subchain whose first record, S1, has as successor a record of C and S1 does not belong to C. C is called the parent chain of the secondary blockchain. A subchain C is a distant parent of S if there is a set of subchains C₁, ..., C_n such that C₁ is a parent of S, C_(i+1) is a parent of C_i and C is a parent of C_n. Further records of S may also belong to C, to secondary blockchains of S, or to parent chains of S, but to no other chain. A secondary subchain, S, of a subchain, C, is called a child of C if C contains a record, C1, that is the immediate predecessor of the first record of S. A subchain, S, is called a remote child of C, if there is a set of subchains C₁, ..., C_n such that C₁ is a child of C, C_(i+1) is a child of C_i and S is a child of C_n.

[0057] A primary or secondary blockchain in its payload typically contains a subset of the data stream of the audit blockchain, chosen towards assembling data for a specific purpose. For instance, a primary or secondary blockchain may be designated to contain in its payload the content of log files of a set of daemons, to inform about that set of daemons, or in addition to the former, also the output of periodically run commands that display the status of components of the operating system, to gather further information that affect the performance of that set of daemons.

[0058] In the present application, the term "device" is used to denote any hardware or software component capable of producing a content stream. Sometimes, "edge, peripheral, control and sensor" devices are specifically referred to as examples — all are types of devices and their categorization overlap. Peripheral devices, management infrastructures, escrow services, and optionally network edge devices participate in a distributed implementation of a blockchain based audit mechanism. For instance, a peripheral computing device will send data that are designated for a possible later audit in blockchain format, and the management infrastructure will store them

preserving the blockchain format. The distributed implementation of a blockchain based audit mechanism may include firmware functions, kernel threads, and middleware and application processes.

[0059] Many devices, such as a peripheral device typically operates under resource constraints, i.e. limited energy, network bandwidth, and storage capacity, and may not be able to send all data it generated, or cache them for later transmission. An example would be sensor devices that generate environmental data in response of an event, causing burst like data collections and network traffic. If buffering capacities for a given device are exceeded, a subset of the data stream needs to be discarded and thus records of the blockchain that contain this subset of data stream need to be dropped.

[0060] A secondary blockchain may be terminated for several reasons, such as no further data are generated for the subset of the data stream associated with it, data in its subset of the data stream have gone stale and are no longer required, or the resources used by it, such as buffer space, need to be released.

[0061] By design, a primary blockchain will never be terminated to ensure continuity of linkage by hash to the GEN record. This allows for starting a new secondary blockchain at any point, and ensures validity of its associated data stream. Since the predecessor of the first record of a secondary chain is linked by hash to the GEN record, all further records of the secondary chain are. The purpose of secondary blockchains is to enable processing subsets of the data stream of an audit blockchain concurrently, with little or no coordination between them, and the ability to terminate the processing a subset, if needed. A secondary blockchain may be associated with a data collection for a specific component, task, or user, the data stream typically having its own encryption. A secondary blockchain may go on indefinitely.

[0062] Figure 3 shows an example of a subset of an audit blockchain. The primary blockchain is $P = (\text{GEN}, \dots, B1, \dots, B10, \dots)$. It has two secondary chains, $S1 = (B1.1, B1.2, B1.3, B4, B1.4, B1.5, B1.6, B8, B1.7, B1.8, \dots)$ and $S2 = (B2.1, \dots, B2.9, \dots)$. $S1$ has secondary blockchain $S3 = (B1.5.1, \dots, B1.5.4)$ and $S4 = (B1.5.2.1, \dots, B1.5.2.3, \dots)$. $S2$ has secondary blockchain $S5 = (B2.1.1, B2.1.2, B2.1.3, B2.4, B2.1.4, B2.1.5, B2.1.6, \text{ and } B2.1.7)$. The predecessor of record $B1.1$ is $B1$, and $B1.1$ and $B1$ are linked by hash, which ensures linkage by hash for all records of $S1$, analogously for the other secondary blockchains. The predecessor of $B2.1.1$ is $B2.1$, and the two are linked by hash. Since linkage by hash is guaranteed for $B2.1$, it is as well guaranteed for $S5$. Records $B1, B1.5, B1.5.2, B2,$ and $B2.1$ are fork records, as discussed infra.

[0063] A secondary chain may for instance be produced by any hardware or software component of a device. A purpose of the primary chain, as explained in conjunction with Fig. 1, is to maintain

blockchain continuity; it cannot be abandoned due to resource shortages. The payload may contain general health and status data about the device. Consider, for example, a sensor device, such as a magnetic sensor in conjunction with Figure 3. Secondary chain S2 may contain the data stream generated by the magnetic sensor, which for instance registers movements of mechanical parts. The magnetic sensor may fulfill its task in conjunction with a pressure sensor, whose data stream is represented by subchain S5. When the latter sensor measures a value that is outside a given range, a time wise correlation of the data streams represented by S2 and S5 may be forced by generating a record that is common to S2 and S5.

[0064] In more detail, the pressure sensor may detect a value outside a given range and adds logging data to record B2.1.3. Afterwards record B2.4 is generated on chain S2, which has as predecessors both B2.3 and B2.1.3. I.e. B2.4 contains the hash values of both, B2.3 and B2.1.3. B2.4 is called a synchronization record for subchain S5. The payload of record B2.1.4 contains further measurements by the pressure sensor. The established time wise correlation is that measurements represented by record B2.1.3 occurred before the ones represented by B2.5. and likewise the ones represented by B2.3 before B2.1.4. Linkage of records by hash ensures that this time wise correlation cannot be changed afterwards. Secondary chain S5 ends with record B2.1.7, and the termination of this subchain is explicitly noted by including the hash value of B2.1.7 into B2.8. B2.8 is called a join record (discussed infra). Later on, a new subchain of S2 may be generated. Another secondary chain of the primary chain is S1, which may correspond to the measurements of another sensor. It contains synchronization records B4 and B8. A measurement or state recorded by B1.5 may trigger another action, such as diagnostic data collection, that is captured by secondary chain S3, whose termination is logged by join record B1.7. The diagnostics data collection may entail capturing a binary dump, to be sent as payload of secondary chain S4. Sending the binary dump may a best effort, depending on resource availability. No time wise correlation of records of S4 with another chain is required and processing of records of it may be abandoned. In the example of audit blockchain given in Fig. 3, S4 has not been terminated by the time its parent chain has. S4 later on may be explicitly terminated by linking its last element to a join record on subchain S1 or on the primary chain. In another example, S5 may represent a data stream for which it is desirable to establish synchronization with subchains other than S2. In this case, S5 may contain a synchronization record that belongs to S1 or the primary chain.

[0065] An audit blockchain may coordinate the actions of devices (e.g. peripheral devices) to establish an order between them. For instance, a distributed protocol that is run by multiple devices connected by a network, may establish a global order of events or actions performed by the set of

devices by adding communication performed in the course of executing a given protocol to an audit blockchain.

[0066] Figure 4 shows as an example of a computing infrastructure implementing one method of blockchain based auditing in accordance with the present invention. Seven peripheral computing devices 30 (P1, .. , P7) are shown. The devices 30 communicate by means of a network that typically include edge devices and gateways 32 (E1, .., E3) with one or more management infrastructures, M1, M2. In addition, one or more escrow services 36 exist, which, to provide an auditing service, communicate with the management infrastructure and possibly with peripheral computing devices 30.

[0067] Peripheral devices 30, management infrastructures M1, M2, escrow services 36, and optionally network edge devices 32 participate in a distributed implementation of a blockchain based audit mechanism. For instance, a peripheral computing device 30 will send data that are designated for a possible later audit in blockchain format, and the management infrastructure M1, M2 will store them preserving the blockchain format. The distributed implementation of a blockchain based audit mechanism may include firmware functions, kernel threads, and middleware and application processes.

[0068] Examples of devices generally, and in particular peripheral devices are sensor devices in Internet of Things, IoT, installations, controllers in industrial equipment, such as robotics components, smartphones, tablets, wearable devices, controllers of medical equipment, controllers or devices for communication in cars, or servers, or virtualizations of all aforementioned. A peripheral device is capable of network communication, and typically equipped with at least one network device, such as for Wi-Fi, LTE, Ethernet, ZigBee, ATM, ISDN, USB, Bluetooth or others. The edge devices in their entirety may support multiple protocols. For instance, in Figure 4 edge devices E1 and E2 may be LTE routers or gateways, whereas E3 is a gateway that supports LTE and ZigBee. Devices P1, .., P4 have an LTE module and communicate with E1 or E2, whereas device P5 has two network modules, one for LTE and one for ZigBee, and thus is capable to communicate with E2 and E3. Devices P6 and P7 have a ZigBee module and are capable of communicating with E3.

[0069] The management infrastructure (M1, M2 in Fig. 4) is a computing system, consisting of one or more programs that run on a set or servers, to administer and record the actions of the peripheral computing devices 30. Management infrastructure implements the administration of such devices 30, which may include role based access in a multi-tenant setup, coordinated actions of multiple devices to perform tasks they were designed for and to perform diagnostics and maintenance, such as monitoring device health and software or firmware upgrades. The

management infrastructure is capable of producing content streams, for the purpose of generating audit data pertaining to the interaction of it with the devices it manages.

[0070] A set of peripheral computing devices may be administered by multiple management infrastructures. It is up to the design of such setup to ensure that no conflicts exist in access and management of the peripheral computing devices.

[0071] A management infrastructure may also include a history service, a component that provides for the management of logging data that were sent by the peripheral computing devices under its management, or data that were generated by the management infrastructure in the course of its operation. Examples of such data include:

[0072] 1. Data generated by a peripheral computing device in the course of its designed operation, such as measurement data collected by sensors, logging information about movements a robotics component takes, or state information generated by a controller associated with a sensor (e.g. pressure valve).

[0073] 2. Information about the operational state of the peripheral computing device, such as logging information generated by its firmware, operating system or applications. Examples are error logs, device state information, such as network statistics or battery state, or information about transitions between boot, shutdown and hibernate states of the device.

[0074] 3. Information generated by the management infrastructure in the course of the administration of the peripheral sensor devices, such as scheduled coordinated actions of the former, or requests for data transmission.

[0075] 4. Information observed about the state of the computing infrastructure, such as diagnostics information for the network infrastructure, or the state of peripheral computing devices as observable by the management infrastructure.

[0076] The history service provides for the management of above data in blockchain format, most importantly the following functions:

[0077] 1. Storing blockchains in a database, the Blockchain Store, which is a database that provides for persistent storage, including backups, and query functions.

[0078] 2. Management of blockchains, including storing them in a format that preserves topology and hash values, query functions to retrieve chains or subchains, and functions to extract their payload from records and reassemble it. Management functions support multi-tenancy and role based access.

[0079] An escrow service (sometimes a trusted entity is referred to as an escrow service) is a computing infrastructure that implements the functions of the audit scheme described by this

invention that are performed by the audit service provider. An escrow service has two main functions:

[0080] 1. Store payload stripped representations of blockchains, forwarded to it by peripheral devices and management infrastructures, in a database, the Hash Value Store—it provides for persistent storage, data backup, and query functions.

[0081] 2. Service audit requests for data generated in the course of the operation of the peripheral devices and management infrastructures. This entails validating blockchains stored by the management infrastructure for correctness and verifying that the metadata

[0082] of a given such blockchain coincide with the ones in the corresponding blockchain stored in the Hash Value Store.

[0083] Fig. 4 shows two escrow services, Escrow Service 1 and Escrow Service 2. Each escrow service may provide audit services on behalf of its own set of one or more audit service providers, for a content stream that is stored in the Blockchain Store of management infrastructure M1 or M2.

[0084] The management infrastructure and escrow service both contain components for their databases, Blockchain Store and Hash Value Store respectively, and access to them to be continuously available, for instance by means of clustering and scalable proxies. For instance, in Fig 4, each management service, M1 and M2, and likewise each escrow service, Escrow Service 1 and Escrow Service 2, may be clustered, i.e. be active on multiple servers, that run the processes and threads required to perform its services in coordination.

[0085] Figure 5 shows a minimal configuration to illustrate the cooperation of components described above and in conjunction with Fig. 4 to implement one proposed method for auditing in accordance with the present invention. Fig. 5 shows one management infrastructure (number), which may be either M1 or M2 in Fig.4, and one escrow service, which may be either Escrow Service 1 or Escrow Service 2 in Fig 4.

[0086] In Fig. 5, the peripheral device 30 creates an audit blockchain that contains the data stream generated by processes and threads active on the peripheral device to be saved for auditing, by chunking the data stream and adding each chunk as a payload to a blockchain record. In parallel, sets of records of the blockchain are forwarded to the management infrastructure (32). Figure 4 shows a subset of a blockchain (40), consisting of records B1, ..., B5, S1, ..., S3 being forwarded to the management infrastructure. In case the peripheral device 30 cannot establish a network connection with the management infrastructure 40, subsets of the blockchain are buffered on the peripheral device. Records of the primary blockchain (subset of blockchain 40, here B1, ..., B5), always have precedence in transmission. The inner metadata segment of a record is shown. For instance, for record S3, the inner metadata segment is 34.

[0087] In Fig. 5 the management infrastructure 32, upon receipt of records of the blockchain sent by the peripheral computing device 30, possibly out of order due to network latencies and thus buffered on the management infrastructure 32, adds them to the copy of the blockchain 42 in its Blockchain Store 46, preserving the topology given by linkage by hash.

[0088] As subsets of the blockchain are forwarded from the peripheral computing devices 30 to the management infrastructure 32, in parallel payload stripped representations of these subsets (often referred to herein as subsets of payload stripped stream of data records) are forwarded to the escrow service 36, by the peripheral computing device 30, the management infrastructure 32, or both. 45 is the payload stripped representation of the subset of the blockchain 40 forwarded by the peripheral computing device 30 and 44 the payload stripped representation of the subset of the blockchain 40 forwarded by the management infrastructure 32.

[0089] The escrow service 36, upon receipt of the subset of the payload stripped stream 44 or 45 adds them to the payload stripped stream 49 that is maintains for the audit blockchain, in its Hash Value store 48, preserving the topology given by the linkage of records. Thus, a blockchain constructed by a peripheral device 30 has information about it stored in two locations, a copy of it (content stream 42) in the Blockchain Store 44 and a payload stripped representation of it (payload stripped stream 46) in the Hash Value Store 48.

[0090] An audit of a data stream stored as payload of records of an audit blockchain in one form entails the following steps:

[0091] 1. An escrow service 36 receives the audit request for the blockchain (content stream 42 in the Blockchain Store 44) and retrieves its payload stripped representation of it (payload stripped stream 49) from the Hash Value Store 48.

2. The escrow service 36 sends a request to the management infrastructure 32 for a copy of the blockchain that is subject of the audit and creates a payload stripped representation of it, as at 48.

[0092] 3. The escrow service 36 performs a comparison of the two payload stripped representations of the blockchain, the payload stripped stream 42 retrieved from the Hash Value Store (step 1) and the one created from the audit blockchain stored in the Blockchain Store 46. They need to match with regards to record content and topology of the subset.

[0093] 4. If the test performed in step 3. passed, or at least for a set of maximal subchain of the payload stripped streams, starting at the genesis record, a verification of hash values will be performed for the corresponding subchains of the copy of the blockchain 42 in the Blockchain Store 44. I.e., for each such subchain of the set of maximal subchains that passed verification, starting with the genesis block (not shown in 42), hash values of records are recalculated

consecutively. For instance, for records B2 and B3 stored in 42, B2 being the predecessor of B3, it is verified that the calculated hash value of B2, coincides with the one stored in the metadata of B3.

[0094] A subchain is considered correct, if linkage by hash can be proven. I.e., for each record of it, B, there exists a subchain $GEN = B_1, \dots, B_n = B$, whereby B_i is a predecessor of $B_{(i+1)}$ and the hash value of the predecessor record, stored in the inner metadata segment of $B_{(i+1)}$, coincides with the hash value calculated of B_i .

[0095] The design for data collection and the method of audit have the following advantages:

[0096] 1. The Escrow Service 36 does not need to store a copy of the blockchain, which includes the payload of each record of it (payload 14 in Fig. 1). Obligations for data security fall to the operator of the management infrastructure alone.

[0097] 2. The Escrow Service 36 can be isolated from accessing the payload during processing the audit process. An implementation of this may include a Trusted Platform Module, TPM, or other hardware based encryption.

[0098] 3. The metadata (16 and 18 in Fig. 1) may contain further information to enable audit services for clients that have access privileges for subsets of data of a blockchain. For instance, metadata may contain client IDs or encryption keys, to read the payload.

[0099] An audit blockchain, aside being stored in the Blockchain Store 48, may also be inserted into a public blockchain, similar to Bitcoin, or other trusted escrow methods, included a printed copy in a bank vault.

[0100] The architecture for an audit system described above can be used for any computing setup, including at least two machines (such as the examples of "devices" above), assuming sufficient computational capacity. One machine would assume the role of an escrow server. A second machine may do both, produce the data stream and perform the functions of the management infrastructure, or further machines may exist for every of the two aforementioned functions.

[0101] Generally speaking, "Linkage by hash" refers to the protection of a subset of an audit blockchain that starts with the GEN record, its set of records, their content and topological relationship, from modification as provided by the linkage function. The linkage function may be simple or complex, but would usually be more complex than a simple calculation of a cryptographic hash of a predecessor record. The hash value stored in a record would often be a value calculated by means of a linkage function.

[0102] The linkage function needs to be such that a given value, X, which is the result of its application to a set of argument records, B_1, \dots, B_n , cannot be arrived at for another set of records, C_1, \dots, C_n , which differ from former set, B_1, \dots, B_n , or determining such set of records for which the linkage function calculates the same result is of such computational difficulty, that it cannot be

achieved within a time frame that would be practical or relevant in an attempt to tamper with the data presented by the subset of the audit chain. The value a linkage function calculates may be any number, such as a hexadecimal number, of any length, or more generally any data structure of fixed or variable size that may contain any value, given in binary or other representation.

[0103] The linkage function may take as arguments multiple immediate or distant predecessor records. It may perform a combination of operations on that set of argument records, including cryptographic hash calculations, bitwise logical operations, or the calculation of nonces.

[0104] The linkage function may change throughout the lifetime of the blockchain, in an agreed upon manner by at least the entities that cooperatively manage an audit blockchain, as described in Figure 4 and accompanying text, have knowledge; for example, at least the producer and the Escrow Service. The purpose of changing the linkage function is to increase the cryptographic strength of linkage by hash. With repeating traffic pattern, the randomness of hash values stored in records may decline, lowering the computational challenge that needs to be overcome to modify records in a chain while maintaining linkage by hash.

[0105] The linkage function may be changed periodically according to a protocol that is at least known to the producer of the audit blockchain and the Escrow Service. For instance, the linkage function may change in an agreed upon manner, known to the producer and the Escrow Service, if the timestamp in a record has passed a given date, if the serial number of a record is larger than a given number, or if a set of consecutive records of an audit blockchain fulfills a certain property. The linkage function may be changed, taking into account the state of multiple payload stripped streams. For instance, consider Figure 4, showing devices P1, .., P7, that all are managed by the same Escrow Service. The Escrow Service may calculate a data segment based on sets of payload stripped records, each set obtained from the payload stripped stream of a device in P1,.., P7. The data segment may be built for example by concatenating all hash values extracted from records belonging to aforementioned sets. The Escrow Service then may broadcast that data segment to all devices, P1,.., P7, together with instructions how to incorporate it into the calculations of hash values on a given device. For instance, a device may be instructed to build the hash value of a record by performing a bitwise operation taking as arguments that record and the data segment sent by the Escrow Server, and apply a linkage function to the record resulting from that bitwise operation.

[0106] A record of a payload stripped stream may contain information to identify the linkage function used to generate the hash value contained in that record. For instance, the device may add information about how the hash contained in given record has been calculated to the inner metadata of that record, which will be preserved in payload stripped record. During audit, to perform the

steps in 5.5, the Escrow Service would use that information to identify the linkage function to use to calculate the hash value in a record.

[0107] Each primary or secondary subchain may have its own linkage function defined. To implement independent data streams, for instance in a multi-tenancy configuration, a device might maintain multiple, independent audit blockchains, each starting with its own GEN record. For each independent data stream a dedicated encryption, hashing algorithms, Blockchain Store, or escrow services may exist.

[0108] Figure 6a shows an example of a primary subchain $P = (\text{GEN}, \dots, B1, \dots, B7)$ and two secondary subchains, $S1 = (B2.1, B2.2, B2.3)$ and $S2 = (B4.1, B4.2, B4.3)$. For each record, the inner metadata segment is marked by the dotted area as at 50. The hash value result of a calculation by means of a linkage function is shown as at 52. For instance, the hash value 52 stored in record B4 is h_{b4} , which has been calculated by means of a linkage function that takes as argument records that precede B4, for instance B3, B2, and GEN. Further, the inner metadata segment 50 shows markers for blockchain control, for example FORK or JOIN in records B4 or B5 respectively.

[0109] A fork record is a record (e.g. records B2 and B4 in Fig. 6a) that contains the FORK marker in its metadata. The FORK marker denotes the start of a secondary chain. In addition to the FORK marker, the metadata of a fork record also contains an identifier for the secondary chain. This may be for instance a unique identifier for the secondary chain, or its first record. In Figure 6a, record B2 has a FORK marker for secondary chain S1. It may contain record ID B2.1 associated with the FORK marker, or another unique ID for S1. Similarly, B4 is a fork record for S2. A FORK marker in conjunction with an identifier for a secondary chain establishes an additional successor for that record. For instance, B2 has successors B3 and B2.1.

[0110] A join record is a record (e.g. records B5 and B6 in Fig. 6a) that contains the JOIN marker in its metadata. The join marker denotes the end of a secondary chain. In addition to the JOIN marker, the metadata of a join record also contain an identifier for the secondary chain. This may be for instance a unique identifier for the secondary chain, or its first record. In Figure 6a, record B5 has a JOIN marker for secondary chain S1. It may contain record ID B2.1 associated with the JOIN marker, or another unique ID for S1. Similarly, B6 is a join record for S2. A JOIN marker in conjunction with an identifier for a secondary chain establishes an additional predecessor for that record. For instance, B5 has predecessors B4 and B2.3.

[0111] As already described and illustrated in Figure 3, a secondary chain can start a further secondary chain, i.e. a record of secondary chain may be a fork or join record. A record can have

multiple markers, each of type FORK or JOIN, and each associated with an ID of a secondary chain.

[0112] For a given join record, the hash value is built using the predecessor record that belongs to the same chain like the join record. For instance, in record B5, $h_{b5} = \text{hash B4}$. In Figure 3, the hash value stored in record B2.8 is calculated from record B2.7.

[0113] The linkage function that calculates the hash value for a given record, may take as arguments any set of records that are predecessors. For instance, in Figure 6a, the hash value of the first record in subchain S2, $h_{b4.1}$, may be calculated using a linkage function applied to arguments B4, B3, B1, GEN.

[0114] To reduce the complexity of auditing, the management of audit blockchains, and functions such as multi-tenancy, a secondary blockchain may start with its own genesis record, the secondary genesis record. It is assumed to be of sufficient cryptographic strength, i.e., of sufficient size and randomness. It may be arrived at by applying a linkage function to the GEN record and a set of predecessor records of a given record. In Figure 6a, the first record of secondary chain S2, record B4.1, contains secondary genesis record $G_{B4.1}$ in its metadata, which may for instance be calculated by means of a linkage function, taking as arguments the predecessor records B4, B2, B1, and GEN. Alternatively, a secondary genesis record may come from a repository of genesis records.

[0115] To establish linkage by hash with its predecessor record, the metadata of the first record of a secondary chain may as well contain the hash value arrived at as a result of a linkage function applied to a set of predecessor records. For instance, in Figure 6a, the secondary genesis record of secondary chain S1, $G_{B2.1}$, may be a genesis record from the genesis record repository of the device. To establish linkage by hash for S1, the metadata of its first record in addition contain hash value $b_{b2.1}$, which has been calculated by means of a linkage function taking as argument record B2. Record B4.1 contains, in addition to secondary genesis record $G_{B4.1}$, hash value $h_{b4.1}$. It is not strictly required to establish linkage by hash for B4.1, since $G_{B4.1}$ already has been obtained by means of a linkage function. The second hash value, $h_{b4.1}$, may be used for convenience, in the implementation of management functions for the audit blockchain.

[0116] A secondary chain may as well contain a finalization record, having the marker FIN in its metadata. Such record may be used to mark the end of a secondary chain, such as when the data stream, for which the secondary chain had been created, has terminated, and thus the secondary chain is no longer required to maintain. In Figure 6a, records B2.3 and B4.3 and finalization records.

[0117] Figure 6b shows the payload stripped stream of the blockchain of Figure 6a, as it may be stored in the Hash Value Store of an Escrow Service. The payload stripped stream of data records 60 is made up of records corresponding inner metadata segments and their topological relationship. The inner metadata of the primary chain may contain identifiers of secondary chains associated with a FORK or JOIN marker or the attachment of a secondary chain may be reconstructed from that information. Alternatively, the blockchain control data of a record, segment BC Control in Figure 1, may contain information to reconstruct the blockchain topology. The BC Control may be used by the Escrow Service to augment the payload stripped representation of the audit blockchain with topological information. As explained, segment BC Control contains helper data to facilitate the efficient processing of audit blockchains, as subsets of it are forwarded between components. They are not essential in the data model of an audit blockchain to provide its crucial properties; they do not need to be preserved in a copy of a blockchain in the Blockchain Store, or its corresponding payload stripped stream in a Hash Value store.

[0118] In the depiction of the payload stripped stream 60 (payload stripped representation of a blockchain in Figure 6b), the topological relationship between the primary chain P and secondary chains is represented by arrows that connect secondary chains S1, and S2 to primary chain. In the implementation of a Hash Value Store, topological relationships would be represented by linked lists or similar

[0119] A secondary chain of a subchain may be linked to that subchain to establish a 'happened before' relationship between two sets of records, each belonging to one subchain, by means of a synchronization record, as shown in figures 7a and 7b. A 'happens before' relationship for a pair of subchains, [S1, S2], exists, if every record in S1 has been created before a record in S2. Subchains S1 and S2 do not belong to the same secondary chain. A synchronization record is a mean to establish a time wise correlation between records belonging to subchains that would not have a time wise correlation otherwise. Figure 7a shows a subchain of a primary blockchain P (B1, ..., B7), and a subchain of a secondary chain, S1 = (B2.1, B2.2, B2.3, B5, ..., B2.4, B2.5), having B2 as fork record. The secondary chain may terminate at a later point or go on indefinitely. It contains record B5, a local synchronization record, which establishes a 'happens before' relationship between sets of records that belong to the same audit blockchain, i.e. have linkage by hash to the same GEN record. A local synchronization record has a SYN_L marker. A SYN_L marker of a record, B, has identifiers of two records associated with it that belong to a secondary blockchain of a subchain to which B belongs. Record B then as well belongs to that secondary subchain. In the example of Figure 7a, B corresponds to B5, and the secondary chain to S1. Synchronization record B5

establishes 'happens before' relationship between two pairs of subchains, [(B1, ... , B4), (B2.4, B2.5)] and [(B2.1, ..., B2.3) and (B6, B7)].

[0120] Figure 7b shows the payload stripped stream of data records (payload stripped representation of the subset of the blockchain of Figure 7a), as it may be stored in the Hash Value Store of an Escrow Service. The payload stripped stream of data records is made up of records corresponding inner metadata segments and their topological relationship.

[0121] A "happens before" relationship can as well be defined between subchains that do not belong to the same audit blockchain. I.e., the genesis record to which records of the first subchain are linked by hash is different from the genesis record, to which records belonging to the second subchain are linked by hash.

[0122] Figure 8a shows the same two subchains like Figure 7a. In Fig. 7a record B5, in addition to being a local synchronization record, is also a remote synchronization record, which establishes a 'happens before' relationship between sets of records that do not belong to the same audit blockchain. That second blockchain is not shown. A record may have the SYN_R marker added on it on the device that produces the blockchain. For instance, multiple blockchains may be produced on a peripheral device, as shown on Figure 4, for instance peripheral device P1. One blockchain is generated by program P1, another one by program P2. P1, upon receiving an event in its data stream, captured by secondary chain PS1, communicates with P2 to establish a 'happens before' relationship between records of PS1 and a secondary chain, PS2, managed by P2. Program P2, upon notification from P1, generates a remote synchronization record, here B5, and forwards a unique identifier of that record to device P1, which includes it into secondary chain PS1.

[0123] A record may be concurrently a fork, join, local and remote synchronization record. I.e., a record may contain multiple markers of the following type: FORK, JOIN, SYN_L, and SYN_R. A fork or join record as well establish a 'happens before' relationships. For instance, in Figure 6a fork record B4 establishes a 'happens before' relationship between subchains (GEN, ..., B1, B2, B3, B4) and (B4.1, B4.2, B4.3). Likewise, join record B5 establishes a 'happens before' relationship between subchains (B2.1, B2.2, B2.3) and (B6, B7).

[0124] Figure 9 shows a subset of a content stream of records consisting of primary chain P = (GEN, B1, ..., B7) and secondary chains S1 = (B2.1, B2.2, B2.3, B5, B2.4, B2.5), S2 = (B1.1, B1.2, B1.3, B1.4, B1.5), S3 = (B1.3.1, B1.3.2, B1.3.3, B1.3.4, ...) and S4 = (B5.1, B5.2, B5.3, ...). Record B2 has a FORK marker for S1, B1 for S2, B1.3 for S3 and B5 for S4. Record B5 also has a JOIN marker for secondary chain S2. Record B5 establishes a 'happens before' relationship for multiple pairs of subchains, among others between (GEN, ..., B4) and (B5.1, B5.2, B5.3), between (B2.1, B2.2, B2.3) and (B5.1, B5.2, B5.3), and between (B1.1, ..., B1.5) and (B6, B7).

[0125] Figure 10 shows a configuration consisting of a peripheral device P1, and a management infrastructure, MI. The Blockchain Manager 70 is a distributed infrastructure for the management of content streams of records. Blockchain Manager 70 consists of two components, BM_MI, active on management infrastructure MI, and PM_P1, active on peripheral device P1. In addition, a Blockchain Manager component on a peripheral device may communicate with the Blockchain Manager component on another peripheral device. For instance, if there exists a second peripheral device, P2, with Blockchain Manager component BM_P2 (not shown in Figure 10), then BM_P1 and BM_P2 may communicate, for instance to coordinate the creation of remote synchronization records.

[0126] PM_P1 maintains one blockchain, of which a subset is shown, consisting of subchain (N_1, ..., N_8) of the primary chain and multiple subchains of secondary chains, S1 = (S1, ..., S_4, N_5, S_5, ..., S_7), S2 = (T_1, ..., T_3), and S3 = (U_1, U_2, N_4, U_3, U_4), S4 = (V_1, V_2, U_2, V_3, V_4, V_5), and S5 = (X_1, X_2, X_3, X_4). N_1 is a fork record for S2 and S3, S_2 is a fork record for S2, U_1 is a fork record for S3, and V_2 is a fork record for S5. N_4 is a synchronization record for S3, N_5 for S2, and U_2 for S4. N_6 is a join record for S3, U_4 for S4, and V_4 for S5. PM_P1 may as well maintain more than one content stream of records.

[0127] Threads, in Figure 10 thread1, thread2, and thread3, communicate with BM_P1 by means of inter-process communication, such as sockets, shared memory or semaphores, to supply content for the audit blockchain that is maintained by BM_P1. In Figure 10, it is shown that PM_P1 maintains one audit blockchain. In general, BM_P1 may maintain more than one audit blockchain.

[0128] The two components of the Blockchain Manager 70 in Fig. 10, BM_MI and BM_P1, act cooperatively to enable the transfer of subsets of the blockchains that BM_P1 maintains, to BM_MI. The two components communicate by means of a shared network connection, by shared memory or shared storage and implement functions typically required in a reliable transfer of data between two components, such as flow control. The transfer of data between BM_P1 and BM_MI may use any network protocol, such as serial, UDP, TCP/IP or a proprietary implementation. In any case, the implementation of the Blockchain Manager ensures that component BM_MI can reconstruct the audit blockchain from subsets sent by BM_P1 in presence of various network conditions, such as out of order receipt of subsets sent by BM_P1, and a failure of BM_MI to receive subsets sent by BM_P1, for instance because of failures of records in the network transmission path between BM_P1 and BM_MI, such as gateways or routers.

[0129] In Figure 10, both components of the Blockchain Manager 70, BM_P1 and BM_MI, have an interface, denoted IF_PI and IF_MI, to access BM_P1 and BM_MI respectively. Each interface, IF_PI or IF_MI, may provide access to BM_P1 or BM_MI respectively in one or more ways, such

as by means of a command line interface, a socket, or an Application Programming Interface (API). The interface enables access to the component of the Blockchain Manager 70, to perform administrative functions, such as status queries and retrieval of cached subsets of blockchains. In the example of Figure 10, one user, user 1, exists, who has access privileges to use the functions of interfaces IF_PI or IF_MI.

[0130] As explained in Fig. 3 and accompanying text, blockchain continuity entails to guarantee linkage by hash for any newly created record. i.e. in can be added to a subchain starting with the GEN record. This is achieved by giving precedence to the processing of records in the primary chain. If the reliable transmission of records between BM_P1 and BM_MI fails, for instance because of a loss of network connection, BM_P1 will cache unsent records, up to the exhaustion of available memory or persistent storage that is used as buffer space. BM_P1 may then start discarding records of secondary chains, possibly in an order following a configured priority for subchains. It will however not discard records of the primary chain.

[0131] In addition to the 'happens before' relationship of two records defined by one being the predecessor of the other, and FORK, JOIN, SYN_L, and SYN_R markers, 'happens before' relationships may be established by taking a snapshot of the audit blockchain and including it into the payload or metadata of a record. A snapshot of an audit blockchain is a set of data structures, whereby each data structure is associated with a record of the blockchain and contains at minimum the hash value of that record. Such data structure is referred to as augmented hash of a record. For instance, the augmented hash of a record may just contain the hash value of that record, or in addition to the hash value further data. If a snapshot is included into a record of a blockchain, a 'happens before' relationship is established between each record in the set of records corresponding to the set of augmented hashes in the snapshot and the record that contains the snapshot. I.e. a record whose augmented hash is contained in a snapshot has been created before the record that contains that snapshot in its metadata.

[0132] The set of records whose augmented hashes are stored in a snapshot may be chosen according to various criteria. For instance, a snapshot of the blockchain that is added to a record belonging to the primary chain may contain the augmented hash of each record that has been most recently added to a secondary chain, or to a secondary chain belonging to a specified subset of secondary chains. A snapshot contained in a record of a secondary chain may contain the augmented hashes of records of secondary chains that are children of it, or a subset thereof.

[0133] Figure 11 shows a subset of a blockchain 80, with primary chain (N_1, ..., N_5) and secondary chains S1 = (T_1, ..., T_3), S2 = (S_1, ..., S_4, N_4, S_5), S3 = (U_1, U_2, N_3, U_3), S4 = (V_1, V_2, U_2, V_3, V_4), and S5 = (X_1, ..., X_4). Records are shown horizontally aligned,

and the horizontal alignment is assumed to indicate a time wise partial order of their creation. For a given record, B, all records that are depicted above a horizontal line that intersects with B, have been created, i.e. written to memory or persistent storage, before B. For instance, records S₁, U₁, and V₁ have been created before N₂, and a snapshot of the blockchain contained in record N₂ may contain the augmented hash of these records. Records S₁, S₂, S₃, T₁, T₂, U₁, U₂, V₁, V₂, X₁, and X₂ have been created before N₃. A snapshot of N₃ may contain the augmented hash of S₃, T₂, U₂, and X₂, to establish a 'happens before' relationship between these records and N₃. N₃ may contain the augmented hashes of further records which are predecessors of S₃, T₂, U₂, and X₂. For instance, the snapshot stored in N₃ may contain the augmented hashes of records S₁, S₂, S₃, T₁, T₂, U₁, U₂, V₁, V₂, X₁, and X₂.

[0134] Records 82, N₂, ..., N₄, are depicted in more detail. For these records 82, the metadata and payload section are shown. For instance, for record N₄, 84 is the metadata and 86 is the payload. The metadata of each record contain the hash of its predecessor in the primary chain. For instance, the metadata of record N₃ contain the hash of record N₂. This hash value is not shown in the depiction of metadata in Figure 11. The metadata of each record N₂, ..., N₄ contain a snapshot of the blockchain. For instance, the snapshot stored in the metadata of record N₂ is made up of h_{s1}, h_{u1}, and h_{v1}, which are the augmented hashes of records S₁, U₁, and V₁ respectively. Since N₂ has been created after S₁, U₁, and V₁, the snapshot contained in N₂ establishes a 'happens before' relationship between S₁ and N₂, U₁ and N₂, and V₁ and N₂.

[0135] A snapshot may contain sufficient information to reconstruct the payload stripped stream of a blockchain or subchain thereof from a set of snapshots. In Figure 11, the metadata of record N₃, in addition to the augmented hashes of the corresponding last record of each secondary chain, that had been created before N₃, augmented hashes h_{S3}, h_{T2}, h_{U2}, h_{V2}, and h_{X2}, for records S₃, T₂, U₁, V₂, and X₂ respectively, contain the augmented hashes of all records that have been added to secondary chains, but had not been included into a previous snapshot. These are the augmented hashes h_{S2}, h_{T1}, and h_{X1} of records S₂, T₁, and X₁, assuming that these records did not exist at the time N₂ had been created. Record N₄ contains the augmented hashes h_{S4}, h_{T2}, h_{U2}, h_{V2}, and h_{X2}, corresponding to the most recently added records to secondary chains, S₄, T₂, U₂, V₂, and X₂. If every record of the primary chain contains a snapshot that includes augmented hashes of the most recently added records of secondary chains, whereby each such record had not been added to a previous snapshot, N₄ at minimum would need to contain augmented hashes h_{S4} and h_{v3}, of records S₄ and V₃ respectively. In described way, each augmented hash of a records added to a secondary chain is contained in a snapshot that is included into a record of the primary chain. Thus, as records are added to the blockchain, the

snapshots contained in records of the primary chain successively include the augmented hashes of all records of secondary chains S1, ..., S5.

[0136] The augmented hash may contain information that supports reconstructing the topology of a subset of a blockchain from the augmented hashes of records belonging to that subset. The augmented hash of a record, aside the hash value of that record may contain information contained in the metadata of that record, including FORK, JOIN, SYN_L, and SYN_R markers. The augmented hash may further contain an identifier for the record, such as a serial number, and identifiers of records that are predecessors of it. Such record identifiers may be contained in the metadata of a record or in section BC Control in Figure 1.

[0137] Figure 11 illustrates reconstructing the topology of a subset of a blockchain. Assume each augmented hash of a record contained in the snapshot that is stored in a record of the set of records 82 N₂, ..., N₅ includes information that supports reconstructing the topology of a subset of a blockchain. The subset of a payload stripped stream of data records 88 is the payload stripped stream that is constructed of the subset of a blockchain given by the set of records made up by N₂, ..., N₅ and all records whose augmented hashes are contained in snapshots stored in the metadata of records 82 N₂, ..., N₅, and further of using the topology information given by the entirety of aforementioned augmented hashes. For example, the augmented hash h_{S2}, in addition to the hash value of record S2, contains the FORK marker associated with an identifier for record T1 of secondary chain S1, allowing to reconstruct S2 as predecessor of T1, and T1 as first element of a secondary chain for which S2 is the fork record. Thus, a payload stripped record, S2, corresponding to S2, and its predecessor relationships with other payload stripped records can be established. h_{S2} further contains an identifier for S1, the predecessor record of S2. h_{S1} contains the hash value of record S1, hash S1, which is going to be included into S2. A payload stripped record, Sx, that is contained in the payload stripped stream 88, constructed from a set of augmented hashes, may only contain a subset of the inner metadata of its corresponding record, Sx, in subset 80 of a blockchain. Nevertheless, the subset of metadata contained in Sx is designed to be sufficient to integrate 88 into the payload stripped stream of the audit blockchain to which 80 belongs, 49 in Fig. 5, and to support the functions of the audit method described for Fig 4 and Fig 5.

[0138] Figure 11 illustrates reconstructing the payload stripped stream of a blockchain from a set of snapshots that are successively added to records of the primary chain, and these snapshots in their entirety contain the augmented hashes of all records of all secondary chains. More general, the payload stripped stream corresponding to a subset of records of a blockchain can be reconstructed from a set of snapshots that is included into any set of records. For instance, in the

example illustrated by Figure 11, the entirety of augmented hash values contained in the snapshots that are stored in records 82 N₂, ..., N₅ may correspond to the augmented hash values taken of the set of records that make up subchains of secondary chains belonging to a subset of S₁, ..., S₅.

[0139] Snapshots may be stored in a secondary chain, or a set of snapshots may be stored in a set of records that do not all belong to the same subchain. For instance, consider the example of a blockchain given in Figure 9. The records of secondary chain S₂ = (B_{1.1}, B_{1.2}, B_{1.3}, B_{1.4}, B_{1.5}) may contain snapshots to reconstruct the payload stripped stream of a subset of the blockchain made up by secondary chains S₂, S₃ = (B_{1.3.1}, B_{1.3.2}, B_{1.3.3}), and S₄ = (B_{5.1}, B_{5.2}, B_{5.3}). Both, S₃ and S₄, do not join S₂. Snapshots containing augmented hashes of records that are added to S₃ or S₄ after S₂ has terminated may be stored in records belonging to subchains other than S₂. For instance, assume record B_{1.3.4} of S₃ and record B_{5.2} of S₄ are generated after S₂ has terminated. A snapshot containing the hash values of these records may be stored in record B₇ of the primary chain.

[0140] An implementation of the Blockchain Manager 70 in Figure 10, made up of components BM_MI and BM_P1 may support selecting the record to which a snapshot is added in a random fashion or it may do so according to an algorithm that aims at increasing cryptographic strength by introducing randomness into records. For instance, assume that records of a secondary chain contain a payload that has a repeating pattern, which makes it more vulnerable to a cryptographic attack. The Blockchain Manager may add select records of such subchain to forward snapshots, to increase cryptographic strength.

[0141] Subchains of a blockchain may be cached on a device that created the blockchain, here P₁, or another device, while preserving its essential properties for an audit. In Figure 10, BM_P1 may defer the transmission of records of secondary chains, due to shortages of resources, such as energy or network bandwidth. For instance, assume that the payload of secondary chain S₂ is a large binary data dump, and the subchain (T₂, T₃) cannot be transmitted, because of limited energy resources or network bandwidth, or no acknowledgement by BM_MI is received for the transmission of records T₂ and T₃ (it is possible, that network transmission errors only affect certain traffic patterns, for instance network packets of certain lengths). However, (T₂, T₃) can be permanently stored on device P₁, for instance in SDRAM, and retrieval by physically accessing the device and copying data is possible.

[0142] A data stream, presented as payload of a subchain of records that are cached by the Blockchain Manager component on a peripheral device, satisfies criteria for auditability if the payload stripped stream of that subchain is stored on an escrow service, as part of a payload

stripped audit blockchain. This can be achieved by means of snapshots, described in Figs. 10 and 11, as follows:

[0143] S' denotes the set of subchains S1, ..., S5 of secondary chains described in Figure 11, as subchains in the subset 80 of a blockchain. Assume that records of S' cannot be sent to the management infrastructure because of resource shortages. However, these records are cached or saved in storage of peripheral device P1 in Figure 10. The Blockchain Manager 70 component on device P1, BM_P1, upon determination that these subchains cannot be sent to the management infrastructure, generates records of the primary chain that each contain a snapshot. Examples of such records are N_2, ..., N_5 as described in Figure 11 and accompanying text. The metadata of N_2, ..., N_5 further contain information indicating that the records of these subchains are cached on the device where BM_P1 resides.

[0144] The management infrastructure (MI in Fig. 10), upon receipt of records N_2, ..., N_5, uses the snapshot information that is stored in their metadata to construct a payload stripped representation, _S', of the subset of the audit blockchain S'. _S' corresponds to 88 in Figure 11. The management infrastructure then forwards _S' to the escrow service, which integrates _S' into the payload stripped stream of records associated with the blockchain to which the subset of the blockchain, 80 in Figure 11, belongs. In the representation of the audit blockchain stored in the Blockchain Store, information about S' is present in the metadata of N2, ..., N5. The topology of S' can be reconstructed from that metadata, which as well contain an identifier for peripheral device P1.

[0145] If resources later permit, BM_P1 70 in Figure 10 may forward these subchains and they are added to the audit blockchain stored in the Blockchain Store of the management infrastructure. If not, an audit of that blockchain entails the following steps:

[0146] 1. The escrow service receives the audit request for the blockchain and retrieves the payload stripped stream corresponding to it from the Hash Value Store.

[0147] 2. The escrow service sends a request to the management infrastructure MI for a copy of the blockchain that is subject of the audit and creates a payload stripped stream of records (payload stripped representation) of it.

[0148] 3. The management infrastructure MI retrieves the copy of that content stream of records from its Blockchain Store and makes it available to the escrow service. In that copy, records N_2, ..., N_5 contain information about S', in particular an identifier of the device where S' is stored, P1.

[0149] 4. The escrow service, upon detecting that subset S' needs to be retrieved from device P1, initiates retrieval of S' from P1. It may do so in an automated way, provided the escrow service can access P1, or it may issue a notification upon which these data are retrieved by an operator.

The operator may retrieve a copy of S' from P1 either by means of a remote command, issued on BM_MI 70 on management infrastructure, or he may access the device by means of interface IF_PI on BM_P1 in Figure 10.

[0150] 5. The management infrastructure MI may insert the subset S' into its copy of the audit blockchain or it may forward it to the escrow service, which will insert it into its copy of the audit blockchain, if the escrow service maintains it's a copy of the audit chain for the duration of the audit.

[0151] 6. Audit then proceeds as described in Figs. 4 and 5 and accompanying text, starting with step 3.

[0152] A snapshots of an audit blockchain fulfills multiple purposes. It establishes a time wise correlations between records of an audit chain with finer granularity and less computational overhead than a SYN_L record, or it can be used to increase cryptographic strength. Most importantly, a snapshot allows to the generation of data that are suited to be used for the audit scheme described by this invention under conditions of resource shortage. A subset of an audit blockchain satisfies the criteria for auditability of present audit scheme, even if it is not transmitted and stored in a Blockchain Store, but saved in memory or storage of a peripheral device, and as long as snapshot data of it can be sent.

[0153] Multi-tenancy is a common requirement in a setup as illustrated by Figure 3, used for instance to monitor a technical installation. Often multiple operators exist in the management of an industrial site, called "tenants" herein. Each tenant may need to access a set of peripheral devices for the latter to perform actions, and devices may need to allow concurrent access by multiple tenants. Each tenant may have its own requirements with regards to data collection, management, and access of them, such as to obtain data about technical performance, for billing, or audit. A tenant may be prescribed to use a given audit service. A tenant may need to prove that equipment operated by it to actions in response to events generated or observed by equipment of another tenant, and thus have a need to prove time wise correlation of its actions with the ones of other tenants. The audit system of this invention lends itself to be easily extensible to a multi-tenant setup.

[0154] Figure 12 shows the distributed infrastructure of Figure 4 in a multi-tenant setup. Each peripheral device 90 of the set P1, ..., P7 is accessible by one or more tenants 91, here T0, ..., T7. Each tenant 91 may use a given peripheral device 90 for various purposes in the functions that the set of peripheral devices provides, such as taking measurements or controlling equipment.

[0155] Subsystems on all components, management infrastructures M1 and M2, the two escrow services 96 and the peripheral devices 90 (P1, ..., P7), provide for a distributed implementation of

the services to support multi-tenancy in the use and management of an audit blockchain. Each component has a tenant manager, in Figure 12 not shown for peripheral devices. The tenant managers of all components make up the distributed tenant manager for audit blockchains. The tenant managers operate in a distributed fashion to provide the services required for multi-tenancy in the use and management of an audit blockchain.

[0156] The distributed tenant manager for audit blockchains implements the functions typically required for a distributed infrastructure to provide its services to multiple tenants, for the management of audit blockchains, including access control, data isolation, encryption and management of it. Functions provided by the distributed tenant manager for audit blockchains include access control and encryption management for tenants, role based access rules and hierarchies, the assignment of secondary chains to tenants, and the retrieval of them from the

[0157] Blockchain Manager on the peripheral device or the Blockchain Store on the management infrastructure. The distributed tenant manager for audit blockchains also implements privileges for the access to payload stripped streams of subsets of the audit blockchain in the hash value store on the escrow server.

[0158] For instance, the distributed tenant manager for audit blockchains provides for the access of secondary chains of a blockchain for tenants that have privileges to do so. Consider for example tenant T1 in Figure 13. T1 has access to peripheral devices P1, P3, and P4 (only P1 is shown in Fig. 13). Each of the three peripheral devices runs threads and processes on behalf of T1. Such threads and processes may have a user identity associated with T1 or another thread may perform services for T1, as specified by configuration parameters. On each aforementioned peripheral device T1 has access privileges for one or more secondary chains of an audit blockchain that is managed on the device. T1 might provide the audit data stream for such secondary chain, or provide encryption keys for its payload. Also T1 might retrieve secondary subchains for which it has access privileges, or query their status or statistic about it. On a component of the management infrastructure, MI 1 or MI 2, T1 has access to retrieve secondary chains, for which it has privileges, from the Blockchain Store, run queries, or retrieve statistics about it. T1 further has privileges to retrieve payload stripped representations of the secondary blockchains, for which it has privileges, and may have also authorization to initiate an audit for them, or confer authorization for an audit to another entity.

[0159] Sets of threads and processes, associated with tenant T1, each set active on one peripheral device, P1, P3, or P4, may act in coordination to implement a joint function on multiple peripheral devices. For instance, two sets of threads and processes, one active on P1, and the other on P3, may act in coordination to implement a remote synchronization of blockchains, (Figs. 8a and 8b). In more detail, the Blockchain Manager on P1 may communicate with the Blockchain Manager on

P3 to establish remote synchronization of secondary chains, both associated with T1. (The Blockchain Manager on a peripheral device has been described as component BM_P1 in Figure 10.) This might entail querying the Blockchain Manager of P1 or P3 to obtain information about secondary chains that are maintained to T1. The Blockchain Manager on P1, upon instruction by a thread or process associated with T1, may communicate with the Blockchain Manager on P3, to generate a remote synchronization record for a known secondary chain.

[0160] For instance, the set of processes and threads belonging to T1, that implement a joint action on P1 and P3, may coordinate their actions with a set of threads and processes of tenant T2, that are active on P1 and P6.

[0161] Communication functions that are typically required for multi-tenancy, such as protocols for data exchange and synchronization between sets of threads and processes that are active on distinct devices, may use audit blockchains to provide for the establishment of a 'happens before' relationship of events, and thus for their time wise correlation.

[0162] To prove fulfillment of contractual obligations, data streams generated by processes owned by tenant need to be time wise correlated. The design of audit blockchains, with its concept of secondary chains, (see Fig. 3 and accompanying text), is easily extensible to support functions typically required in a system that supports multi-tenancy.

[0163] 1. Multiple sets of threads, each set associated with one tenant, are active on the same device and generate data streams that will be represented by secondary chains of the same primary data stream.

[0164] 2. Multiple sets of thread, not all associated with the same tenant, are active on multiple devices. They generate data streams as secondary chains of the corresponding primary audit chain of a device. A 'happens before' relationship between them is established by a management infrastructure, to which the peripheral devices transmit their data streams.

[0165] 3. Sets of threads as described in 1. or 2. for which the management infrastructure in addition establishes a 'happens before' relationship with data streams generated external to the infrastructure, i.e. originating from components other than P1, .. , P7 and M1, M2 in Figure 12.

[0166] Figure 13 shows a configuration consisting of a peripheral device P1, and a management infrastructure, MI, as already described in Figure 10, in a multi-tenant configuration. On P1, two sets of processes and threads, threads_T1 and threads_T2, each generate a data stream that is forwarded to the Blockchain Manager, BM_P1.

[0167] In Fig. 13 (N_1, .., N_6) is the primary chain. Secondary chain (S_1, S_2, N_4, S_4, S_5) is the chain generated from the data stream provided by threads_T 1. Secondary chains (T_1, .., T_4) and (U_1, .., U_3) are generated from threads_T2. Records of the aforementioned

subchains of secondary chains may contain tenant IDs, or keys for authentication. Subsets of metadata or the payload of such record may be encrypted.

[0168] The Blockchain Manager 102 on the management infrastructure, BM_MI, upon receipt of a subchain inserts it into the corresponding blockchain.

[0169] Figure 14 shows a configuration consisting of two peripheral devices, P1, and P2, and a management infrastructure, MI. A set of threads, thread_T 1, associated with tenant T1 is active on P1, another set, thread_T2, associated with tenant T2, is active on P2. thread_T1 generates secondary chain S1 = (S_1, ..., S_3), which is linked to a subchain of the primary chain, (N_1, N_5, N_7), of blockchain 110. thread_T2 generates secondary chains S2 = (T_1, ..., T_4), and S3 = (U_1, ..., U_3), of which S3 is linked to S2 and S2 is linked to a subchain of the primary chain (N_2, N_3, N_4, N_6), belonging to blockchain 112 on P2. BM_P1 and BM_P2 send corresponding chains, 110 and 112, to BM_MI, which performs a join of the primary chains, to arrive at subchain (N_1, ..., N_7) of blockchain 114, which preserves the order of elements of each subchain of a primary chain, (N_1, N_5, N_7) and (N_2, N_3, N_4, N_6). The naming of the elements of the two subchains of primary chains has been chosen to illustrate the order of elements in the merged primary chain. Each label 'N_i' may be any identifier for a record, such as a name or serial number.

[0170] Figure 15 shows a minimal configuration of components to illustrate the cooperation of components described in Fig. 4 and associated text to implement the proposed method for auditing in a multi-tenant configuration. Fig. 15 comprises a peripheral device 120, a management infrastructure 122, and an escrow service 124. Two clients exist, user1 and user2, configured on the peripheral device 120 and the management infrastructure 122. Both provide support for a multi-tenant implementation for the management of audit blockchains, which include access privileges and data isolation, and optionally further functions, such as support for encryption management, and Quality of Service rules.

[0171] The peripheral device 120 maintains an audit blockchain, of which a subset is shown at 126. For each record, the metadata section is shown, for instance 128 depicts the metadata for record T_3. The subset of the audit blockchain, (126) shows one subchain of the primary chain, (N_1, ..., N_5), and two secondary chains, S1 = (S_1, ..., S_4) and S2 = (T_1, ..., T_3). S1 is maintained for a data stream provided by user1, and S2 is maintained for a data stream provided by user2. The subset of the audit blockchain 126, is transferred to the management infrastructure 122, where it is added to the copy of the audit blockchain that is maintained in the Blockchain Store 136. 134 shows the subset of the audit blockchain 126 in the Blockchain Store. A payload striped stream of data records 130, of the subset of the audit blockchain 126, is forwarded to the escrow service 124 and added to the payload striped representation of the audit blockchain maintained there. 132

shows the payload stripped representation of subset 126 of the audit blockchain in the hash value store.

[0172] The management infrastructure 122 provides for the implementation of multi-tenancy for the Blockchain Store. A user may query the Blockchain Store to retrieve secondary chains and subchains of them, for which it has access privileges.

[0173] An audit of data stored as payload of a content stream of records then entails the following steps:

[0174] 1. The escrow service receives the audit request for the blockchain and retrieves its payload stripped stream of data records (payload stripped representation of it) from the Hash Value Store.

[0175] 2. The escrow service sends a request to the management infrastructure 122 for a copy of the blockchain that is subject of the audit and creates a payload stripped stream of data records.

[0176] 3. The escrow service performs a comparison of the two payload stripped streams of data records representations of the blockchain, the one retrieved from the Hash Value Store

[0177] (step 1) and the one created from the audit blockchain stored in the Blockchain Store 126. They need to match with regards to record content and topology of the subset.

[0178] 4. If the test performed in step 3. passed, or at least for a set of maximal subchains of the stripped blockchain, starting at the genesis record, a verification of hash values will be performed for the corresponding subchains in the Blockchain Store. I.e., for each such subchain, starting with the genesis block, hash values of records are recalculated consecutively. For instance, for any two records K and L belonging to blockchain 134 stored in 136, and K being the predecessor of L, it is verified that the hash value of K, coincides with the hash value stored in the metadata of L. More generally, depending on the linkage function used, such verification may involve multiple predecessor records of L.

[0179] A subchain is considered correct, if linkage of hash can be proven. I.e., for each record of it, B, there exists a subchain $GEN = B_1, \dots, B_n = B$, whereby B_i is a predecessor of $B_{(i+1)}$ and the hash value of the predecessor record, stored in the inner metadata segment of $B_{(i+1)}$, coincides with the hash value calculates of B_i .

[0180] Figure 2 shows a possible data structure for a payload stripped stream of corresponding to a content stream of data, made up of records, whereby there is a one-to-one mapping between a record of the content stream of data and the payload stripped stream of content. More generally, the payload stripped steam of content corresponding to a content stream of data may be implemented by any set of data structures that supports the method of audit described in 5.5. In more detail, for each record in the content stream of data, such set of data structures must contain the hash value stored in that record, and the set of hash values corresponding to records of a payload stripped

stream of data must be presented by data structures in a way that allows for reconstructing the topology of the content stream of data. In particular, if two records of the content stream of data have a predecessor relationship, i.e. one is a predecessor of another, their corresponding hash values need to be represented by data structures for the payload stripped stream of data in a way that the predecessor relationship can be reconstructed, and likewise for relationships between records established by FORK, JOIN, SYN_L and SYN_R records in the content stream of data. Further, if the design of a record of a content stream of data includes a structure for inner metadata, as shown in Figure 1, the set of structures representing the payload stripped stream must support storing the inner metadata in association with the hash value corresponding to a record.

Hardware Configurations and Examples

[0181] 1. Water Pipe Infrastructure

[0182] An example where the present invention may be used is in a water pipe system, to collect data generated by flow meters, pressure meters, or control equipment, such as shutoff valves, that are enabled for the collection and transmission of data in digital format. For reasons of reliability and costs of replacement, the majority of water meters in water pipe systems still work on a purely mechanical basis. In recent years, efforts have been made to equip water pipe systems with meters and sensor and control devices that are enabled for the generation and transmission of data in digital format, often referred to as smart water meters, or smart devices.

[0183] Provisional patent applications Sensor Network, Sensor Device And Method For Detecting Defects In Pipe, having application serial number 62/295,287, and Retrofitting a Flow Meter, having application serial number 62/418952 (incorporated by reference herein) describe how to retrofit a traditional water meter, or more generally a flow meter, that works on a purely mechanical basis, with a retrofit sensor device, for data collection and transmission of them in digital format. Smart water meters or water meters equipped with retrofit sensor devices are capable of generating data, such as the current measurement of accumulated water throughput, and possibly auxiliary data, and transmitting them in real-time. Aside the benefit of automated meter readings, which obviates the need for manual meter inspection or data collection in drive-by mode, in case of older smart meters, that are enabled for digital data collection and transmission of them by an RF signal, such data may be used for various other purposes. For instance, the utility provider may run an experiment to generate data for water throughput and other measurements concurrently, by many devices, with the goal to detect water leaks in the pipe infrastructure. Sensor devices that are attached to a pipe infrastructure may as well be enabled to generate further measurements of environmental data, for instance temperature, humidity and vibration signatures, and the operator of the water utility may make these data available to third parties. For smart water meters and sensor

and control devices installed at pipe systems, the described challenges for the generation and processing of data that satisfy regularity requirements for audit apply: pipe systems may experience intermittent outages, due to an exhaustion of energy resources, and a proof of identity of a device associated with a data stream is required. Such problems are addressed by an audit method and system described herein.

[0184] 2. Fracking Site

[0185] Another example where an embodiment of the method or system in accordance with the present invention may be used is the technical infrastructure at a fracking site. Multiple isolated pipe systems exist, for water to be injected into the ground, wastewater, and the extracted oil or gas. Such infrastructure often involves multiple stakeholders, each operating a part of the installation. The fracking process needs to comply with environmental and other regulatory standards. For instance, the operator of a water pipe systems need to document that for water injected into the ground, pressure and volume lie within prescribed ranges, and that further the pressure in the entire pipe system is within safety limits. Water may originate from multiple intakes, which for billing purposes requires record keeping about the water volume supplied by each. Further, for geological evaluation and compliance with safety standards, the volume of disposed wastewater may need to be recorded as well. In case of an accident or an operational state of the technical installation that is deemed outside of the range of safe operating conditions, data about the operational state of components need to be analyzed to determine the cause.

[0186] The pipe system is equipped with various sensor devices, to measure and record throughput and pressure of the medium transported in the pipe, water, wastewater, oil, or gas. Such sensor devices include retrofit devices for flow meters as described in Fig. 1 and accompanying text. Sensor devices that measure intra-pipe pressure may generate alerts if the pressure exceeds a prescribed range and initiate an action with a control device that regulates a valve. A sensor or control device keeps one or multiple logs of its operation and sends audit data to one or more control infrastructures. The latter are software applications, each active on a set of servers that administer sensor and control devices. Each control infrastructure receives audit data from the sensor devices that are under its administration. The audit data sent by sensor and controller devices include data about the water throughput for billing purposes, and other information, such as the water pressure.

[0187] Further audit data forwarded by sensor and control devices may pertain to the management of the pipe systems by them. For instance, a stream of audit data may document that a device that regulates the pipe pressure by means of controlling a valve has received a notification from a sensor device containing a measured value for the pipe pressure, and in response has initiated a corrective

action. Likewise, the sensor device will include into its stream of audit data that it has sent to the control device the collected measurements of pipe pressure or instructed it to take a corrective action. In case of an incident, for instance the pressure in the pipe exceeding a maximum value, the audit data generated by the sensor device that measures the pressure, and the device that controls the valve can be analyzed to find the technical component at fault. It is obvious, that unlike, for instance, a sensor device at a residential end point of a water pipe infrastructure for which intermittent outages can be tolerated, a sensor or control device that is critical for the reliability and safety of the operation of a technical infrastructure will have its power supply designed and dimensioned in a manner that guarantees continuous operation of the device.

[0188] The operator of the site is required to ensure that measurements for air pollution do not exceed the maximum allowed values, and sensor devices exist that measure parameters for air pollution. In addition, some sensor devices contain vibration sensors, to gauge seismic activity. The measurements taken by these sensors are sent to the management infrastructure as well. Also, each sensor or control device will periodically report its health status.

[0189] The audit data generated by the set of sensor and control devices are of interest to multiple parties. For instance, the operator of a pipe infrastructure may use them to generate billing data for water use. A government agency may request access to data about air pollution measurements and data generated by vibration sensors for the purpose of monitoring compliance with environmental standards.

[0190] The audit system and method presented here addresses the challenges of generating reliable audit data for above described installation and their use by multiple parties.

[0191] 3. SCADA

[0192] Supervisory Control and Data Acquisition, SCADA, is a control system architecture and standard for a high-level supervisory management of processes in industrial plants, or in technical installations in general. Such installations may be geographically distributed, and operated by multiple independent entities. All aforementioned, traffic light control, water utility management, and pipe infrastructures, are examples of installations that frequently are managed by SCADA systems, and the infrastructures described above may include as well the hardware and software components that are required to operate as part of a SCADA system.

[0193] The SCADA architecture has widely recognized weaknesses with regards to data security. This is a concern to many users of it, who do not or only reluctantly entrust a SCADA system with storing confidential information, for instance the volume of oil production.

[0194] Another advantage of the audit method presented here is that it doesn't require the storage of audit data, i.e. data presented in the payload of records of a blockchain, with a third

party. All what is required to be stored at a third party is the sequence of hash values of records of an audit blockchain. This addresses safety concerns that exist for instance for SCADA systems. Obligations for the management of the stream of audit data, their safe storage, and safekeeping from data theft, are with the operator of the technical installation, instead, for instance, having them stored on the premises of a third party that operates a SCADA system.

Terms and Definitions

[0195] Unless otherwise defined, all technical terms used herein have the same meaning as commonly understood by one of ordinary skill in the art to which this disclosure belongs.

[0196] As used herein, the singular forms “a,” “an,” and “the” include plural references unless the context clearly dictates otherwise. Any reference to “or” herein is intended to encompass “and/or” unless otherwise stated.

[0197] As used herein, the term “about” refers to an amount that is near the stated amount by about 10%, 5%, or 1%, including increments therein.

CLAIMS

WHAT IS CLAIMED IS:

1. A computer-implemented method of securely providing access for a plurality of tenants to a plurality of audit records in a blockchain format, the method comprising:
 - (a) receiving, by a management infrastructure, a content stream comprising a plurality of audit records in the blockchain format from a plurality of peripheral devices, wherein the audit record in the blockchain format comprises a metadata comprising a cryptographic hash which links the audit record to a successor audit record;
 - (b) receiving, by a tenant manager, the audit record in the blockchain format;
 - (c) decrypting, by the tenant manager, the cryptographic hash of at least a portion of the plurality of audit records; and
 - (d) providing access for a plurality of tenants, by the tenant manager, to at least a portion of the plurality of audit records.
2. The method of claim 1, wherein at least one of the plurality of peripheral devices comprises a water level meter, a temperature sensor, a pressure sensor, a flow meter, a valve, a humidity sensor, a magnetic sensor, a vibration sensor, a chemical sensor, an air quality sensor, a camera, a microphone.
3. The method of claim 1, wherein the audit record comprises a water level, a temperature, a pressure, a flow rate, a valve position, a humidity, a magnetic field, a vibration force, a vibration acceleration, a chemical concentration, an air quality measurement, an image, a video, a sound, or any combination thereof.
4. The method of claim 1, wherein providing access for the plurality of tenants, by a tenant manager, to at least a portion of the plurality of audit records comprises:
 - (a) implementing an access privilege to at least a portion of the plurality of audit records; and
 - (b) determining at least one of a status and a statistic of at least a portion of the plurality of audit records.
5. The method of claim 4, wherein implementing the access privilege to at least a portion of the plurality of audit records comprises implementing a role-based hierarchical access rule.
6. The method of claim 4, further comprising, displaying, by the audit infrastructure, at least one of the status, the statistic, and the audit record.
7. The method of claim 1, wherein providing access for the plurality of tenants, by the tenant manager, to at least a portion of the plurality of audit records comprises providing an encryption key to the tenant, wherein the encryption key is configured to decrypt at least a portion of the plurality of audit records.

8. The method of claim 1, wherein the receiving, by the management infrastructure, the content stream comprising the plurality of audit records is performed via a shared network connection.
9. The method of claim 1, further comprising sending, by the audit infrastructure, at least a portion of the plurality of audit records to a third party.
10. The method of claim 1, further comprising initiating, by the tenant manager, an audit of at least a portion of the plurality of audit records.
11. The method of claim 1, further comprising generating, by the audit infrastructure, a snapshot comprising at least a portion of the audit records.
12. The method of claim 11, further comprising, appending, by the audit infrastructure, the snapshot to audit records in the blockchain format.
13. The method of claim 12, wherein appending, by the audit infrastructure, the snapshot to the audit records comprises appending the cryptographic hash value of one audit record in the blockchain format to another audit record in the blockchain format by an algorithm configured to increase the cryptographic strength of the audit records in the blockchain format.
14. A blockchain managing platform configured to securely provide access for a plurality of tenants to a plurality of traceable audit records in a blockchain format, the platform comprising a plurality of peripheral devices, an audit infrastructure, and a tenant manager; wherein the audit record in the blockchain format comprises a metadata comprising a cryptographic hash value which links the audit record to a successor audit record; wherein the audit infrastructure is configured to receive the plurality of audit records in the blockchain format from the plurality of peripheral devices; and wherein the tenant manager is configured to decrypt at least a portion of the plurality of audit records and provide access for a plurality of tenants to at least a portion of the plurality of decrypted audit records.
15. The platform of claim 14, wherein at least one of the plurality of peripheral devices comprises a water level meter, a temperature sensor, a pressure sensor, a flow meter, a valve, a humidity sensor, a magnetic sensor, a vibration sensor, a chemical sensor, an air quality sensor, a camera, or a microphone.
16. The platform of claim 15, wherein the audit record comprises at least one of a water level, a temperature, a pressure, a flow rate, a valve position, a humidity, a magnetic field, a vibration force, a vibration acceleration, a chemical concentration, an air quality measurement, an image, a video, or a sound.
17. The platform of claim 14, wherein the tenant manager is configured to provide access for the plurality of tenants to at least the portion of the plurality of decrypted audit records by:

- (a) implementing an access privilege to at least a portion of the plurality of audit records; and
 - (b) determining at least one of a status and a statistic of at least a portion of the plurality of audit records.
18. The platform of claim 17, wherein the access privilege comprises a role-based hierarchical access rule.
 19. The platform of claim 17, wherein the audit infrastructure further comprises a display configured to display at least one of the status, the statistic, and the audit record.
 20. The platform of claim 14, wherein the tenant manager is configured to provide access for the plurality of tenants, to at least a portion of the plurality of audit records by providing an encryption key to a tenant wherein the encryption key is configured to decrypt at least a portion of the plurality of audit records.
 21. The platform of claim 14, wherein the audit infrastructure is configured to receive the plurality of audit records in the blockchain format from the plurality of peripheral devices via a shared network connection.
 22. The platform of claim 14, wherein the audit infrastructure component is further configured to send at least a portion of the plurality of audit records to a third party.
 23. The platform of claim 14, wherein the tenant manager is further configured to initiate an audit of at least a portion of the plurality of audit records.
 24. The platform of claim 14, wherein the audit infrastructure is further configured to generate a snapshot comprising at least a portion of the audit records.
 25. The platform of claim 24, wherein the audit infrastructure is further configured to append the snapshot to audit records in the blockchain format.
 26. The platform of claim 25, wherein the audit infrastructure is configured to append the snapshot to audit records in the blockchain format by appending the cryptographic hash value of one audit record in the blockchain format to another audit record in the blockchain format by an algorithm configured to increase the cryptographic strength of the audit records in the blockchain format.

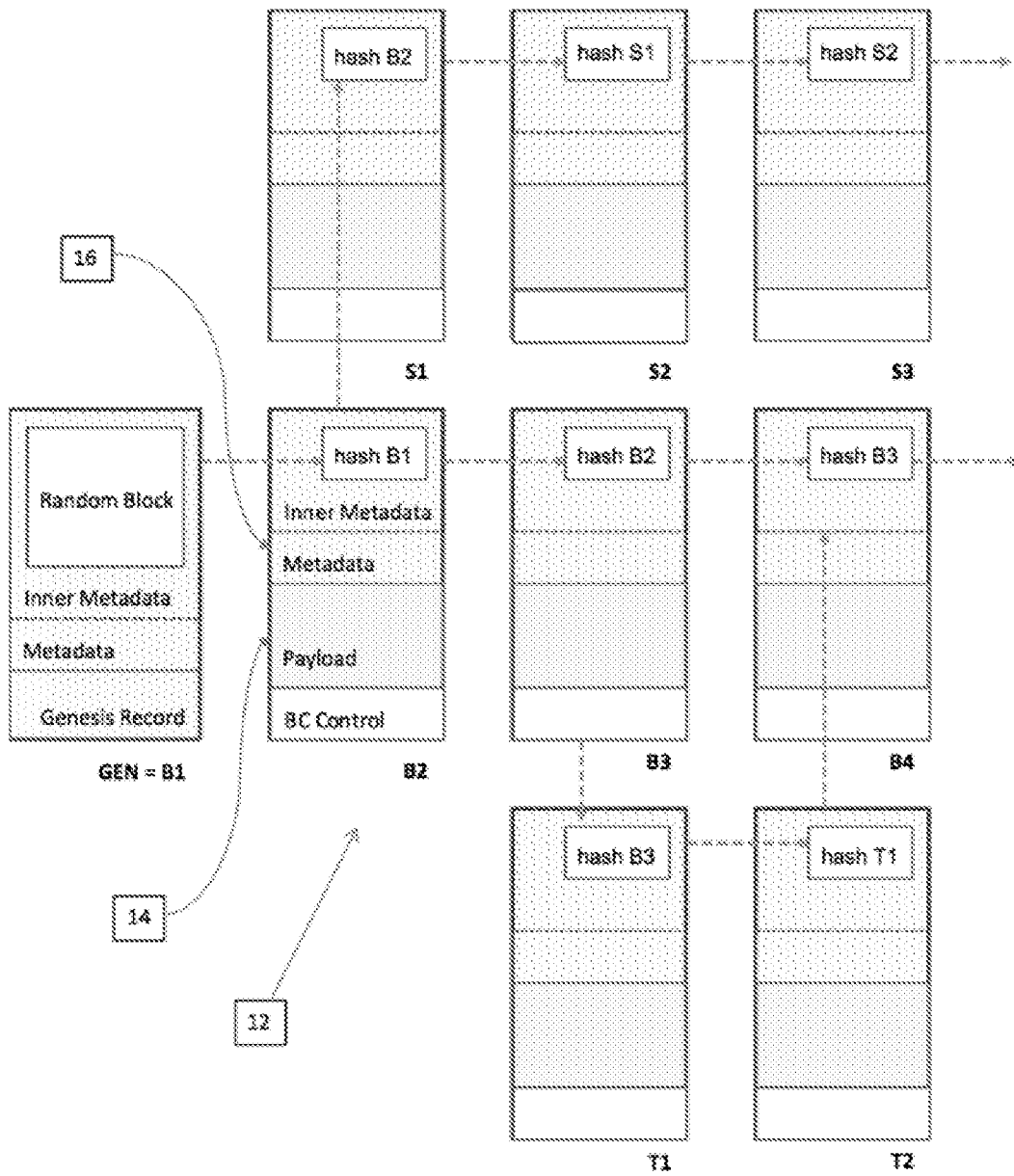


FIG. 1

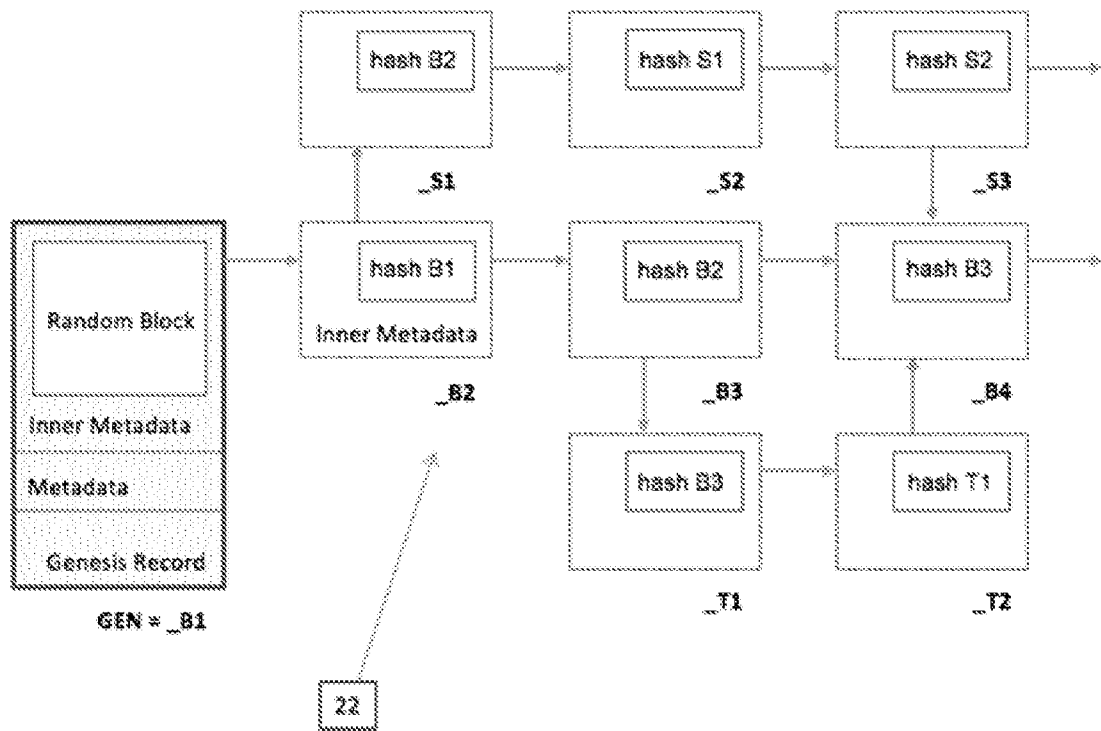


FIG. 2

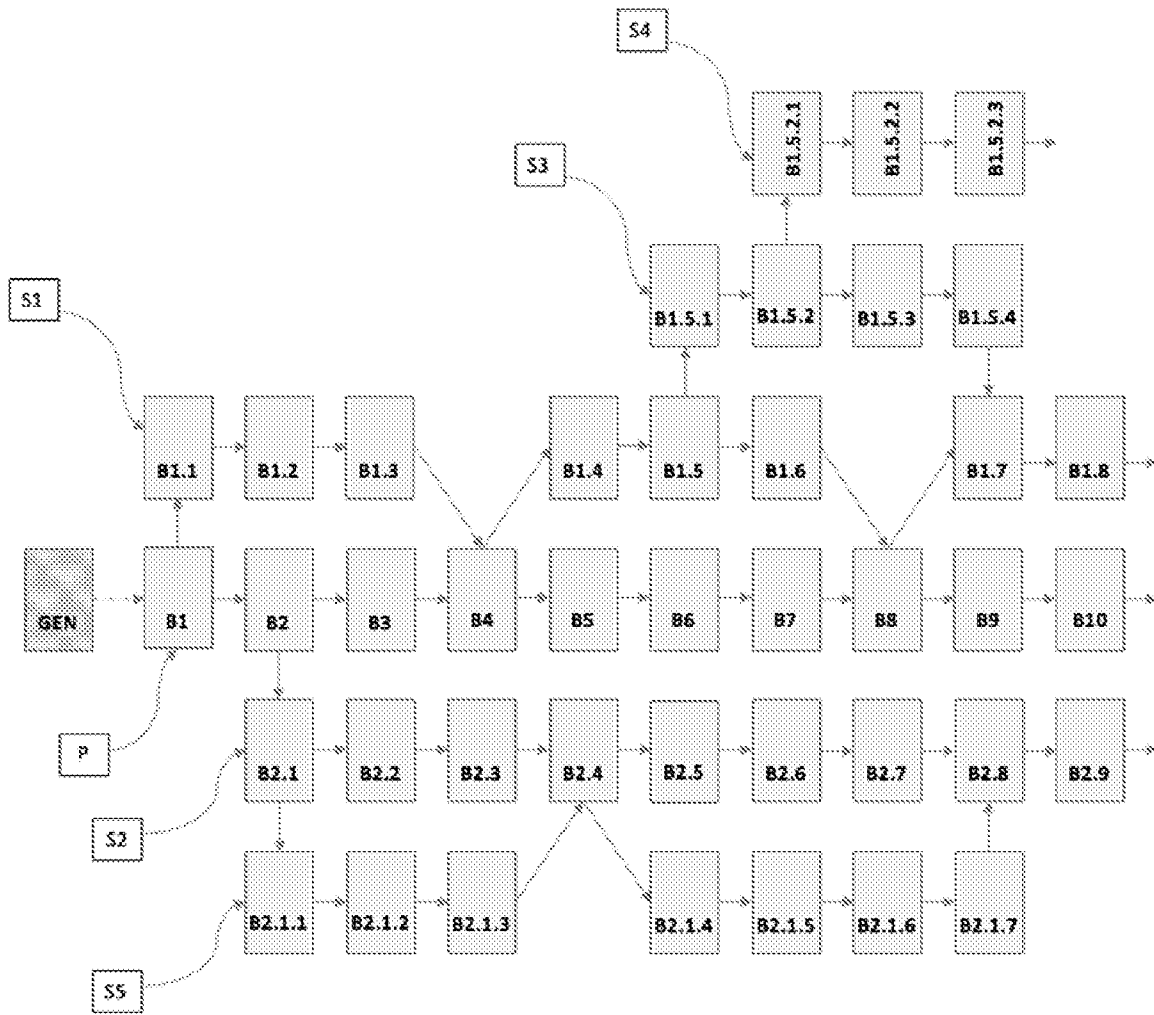


FIG. 3

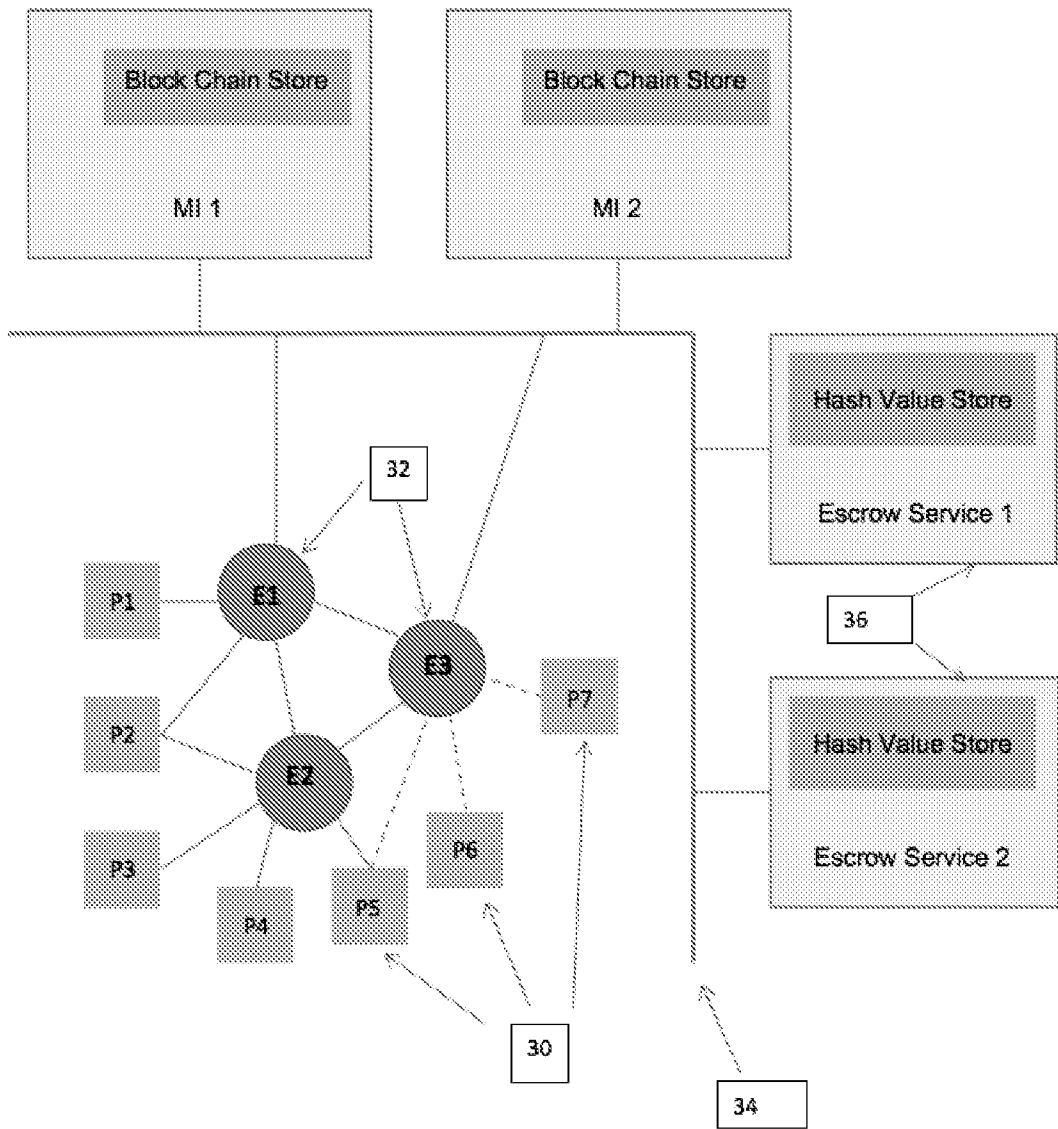


FIG. 4

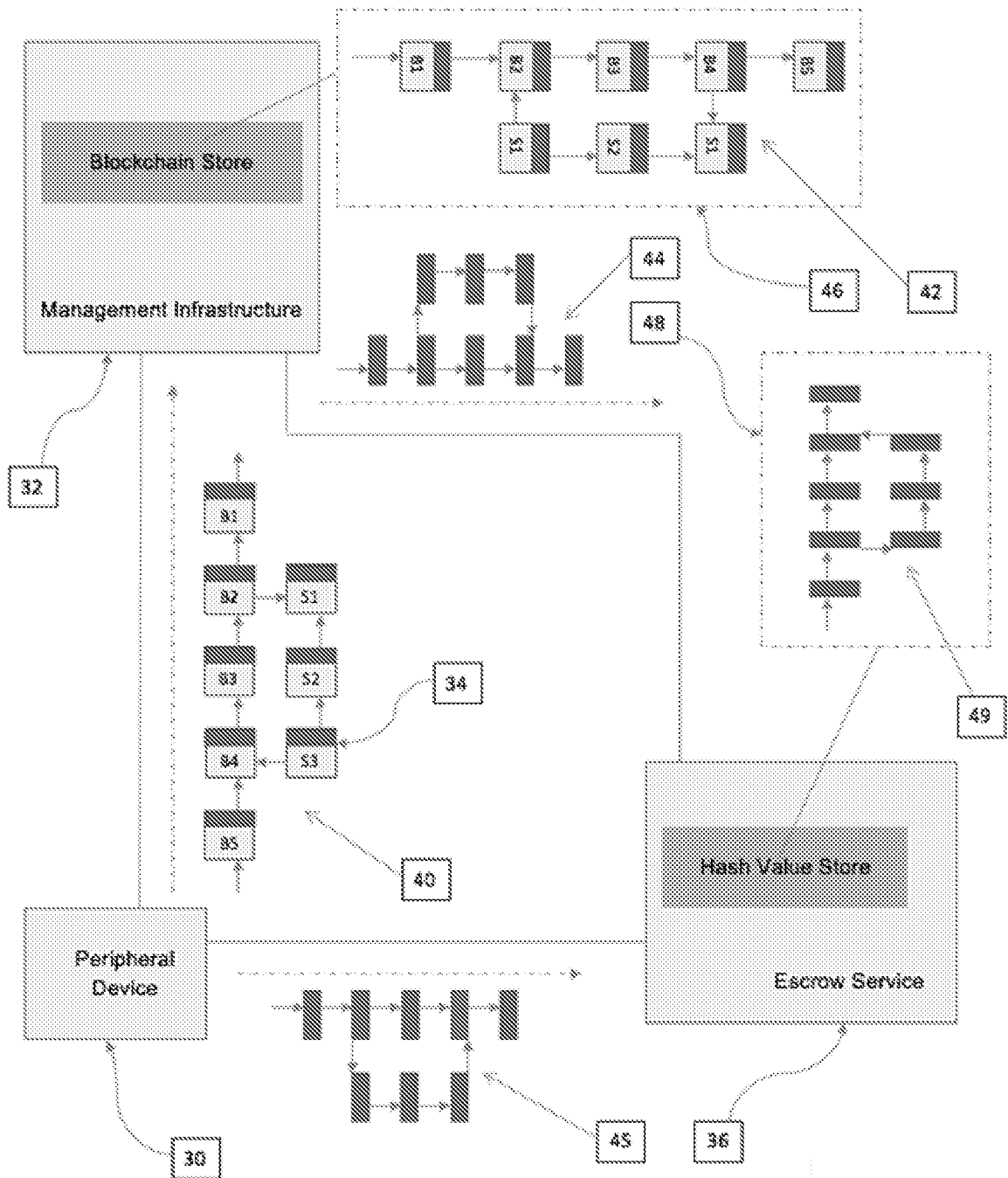


FIG. 5

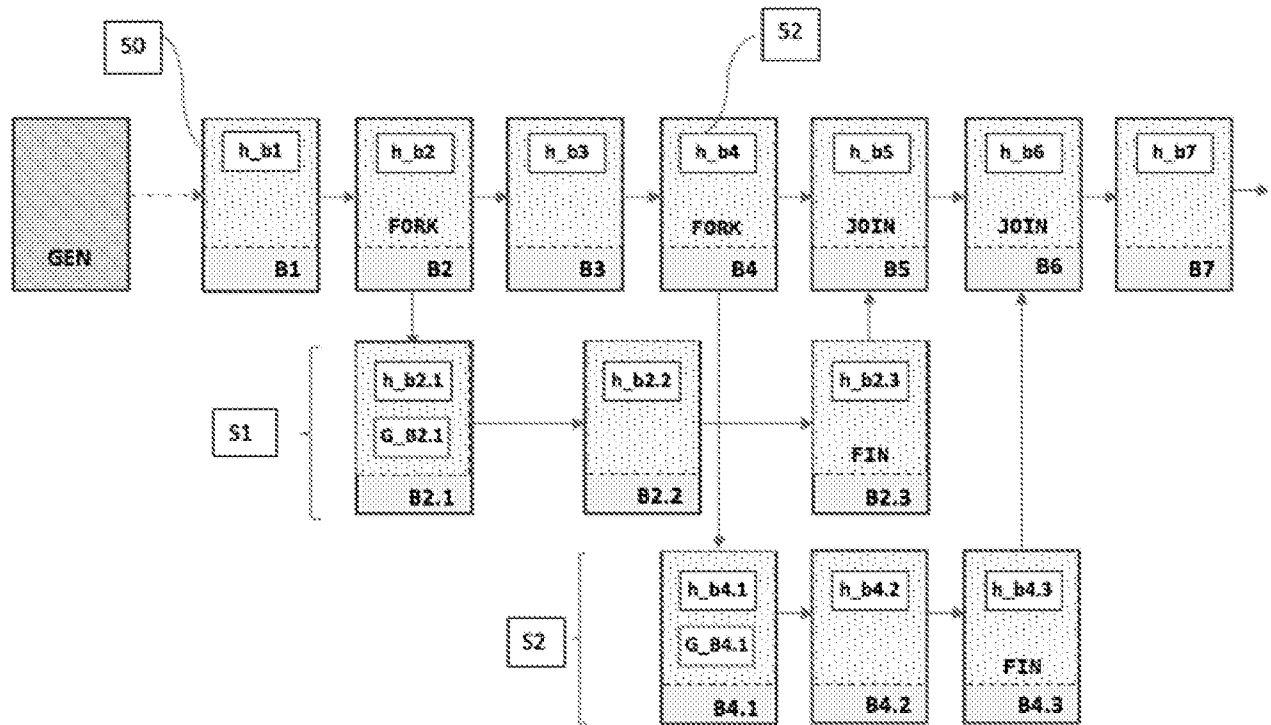


FIG. 6A

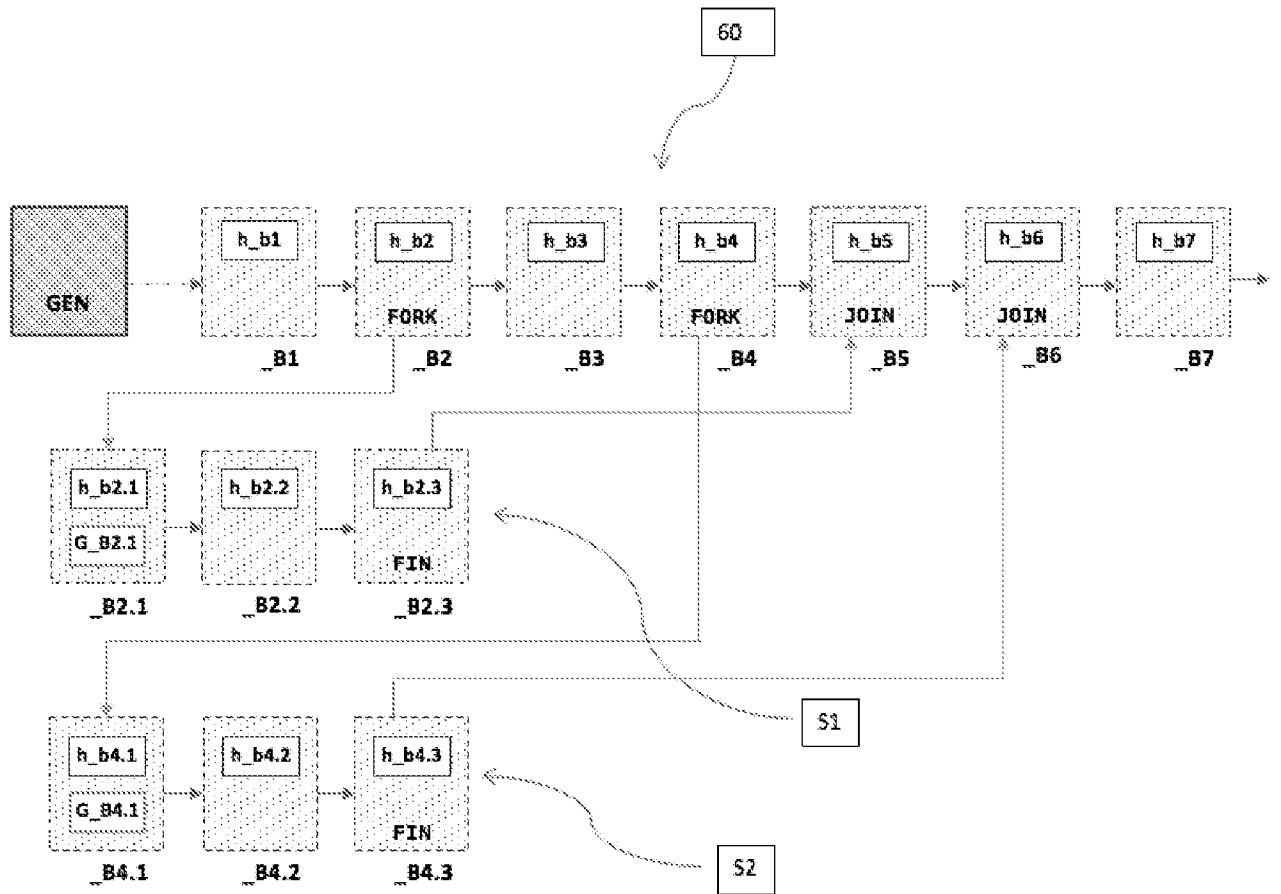


FIG. 6B

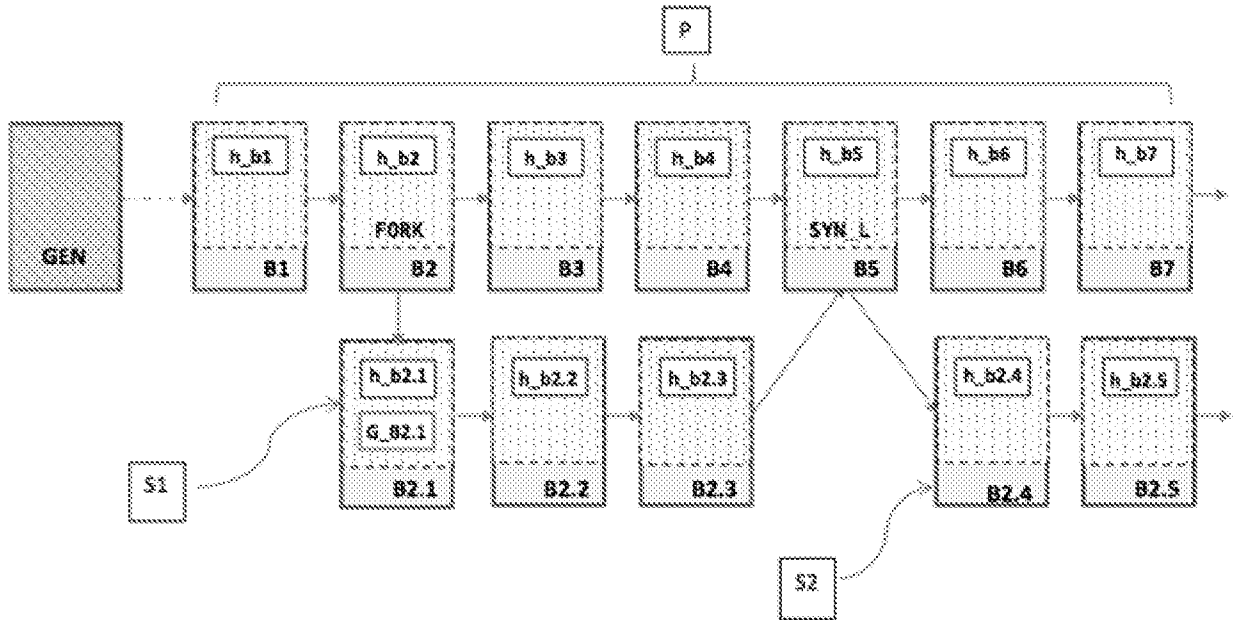


FIG. 7A

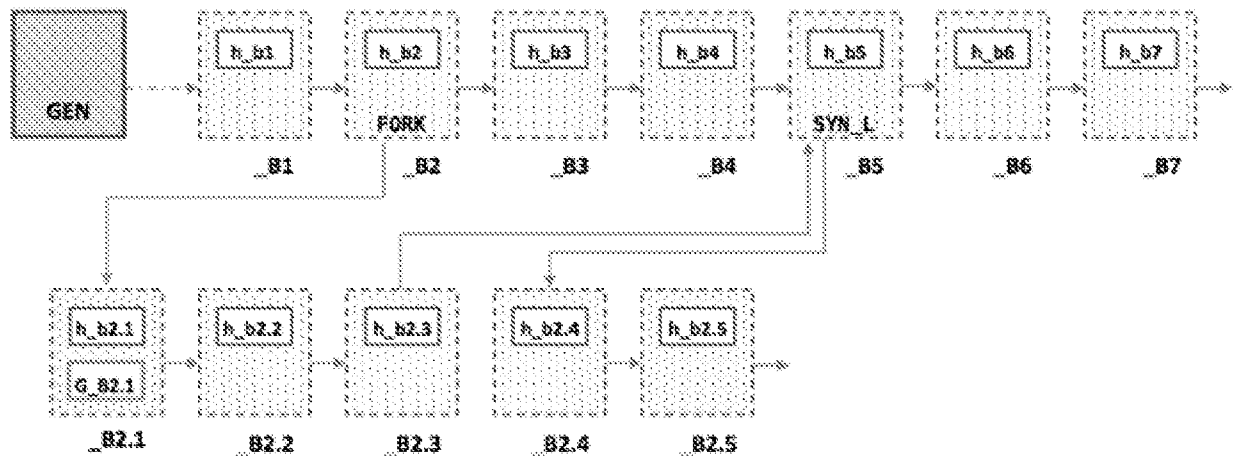


FIG. 7B

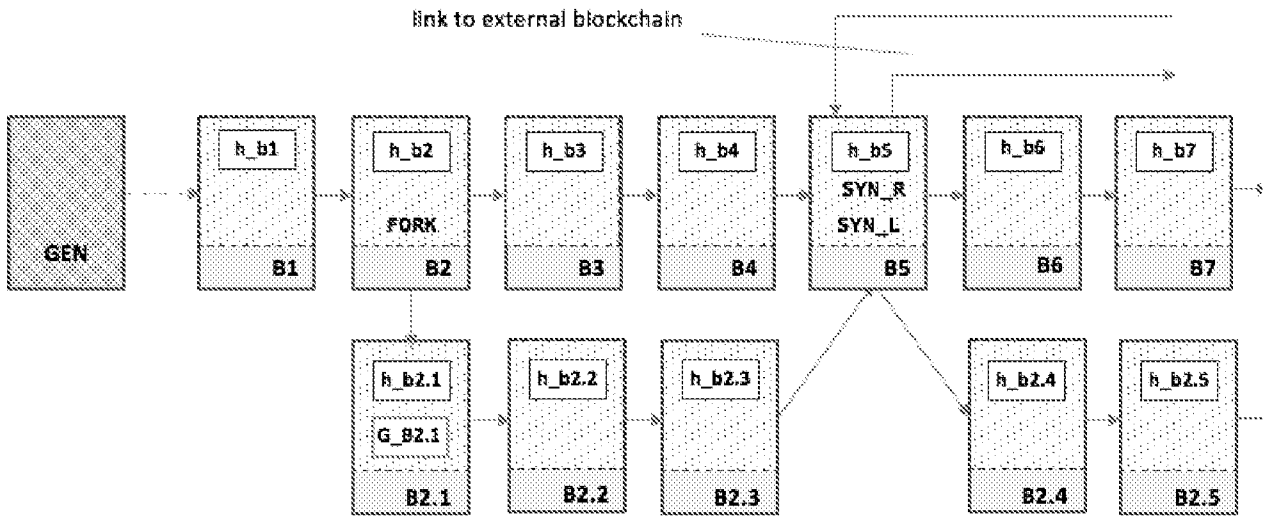


FIG. 8A

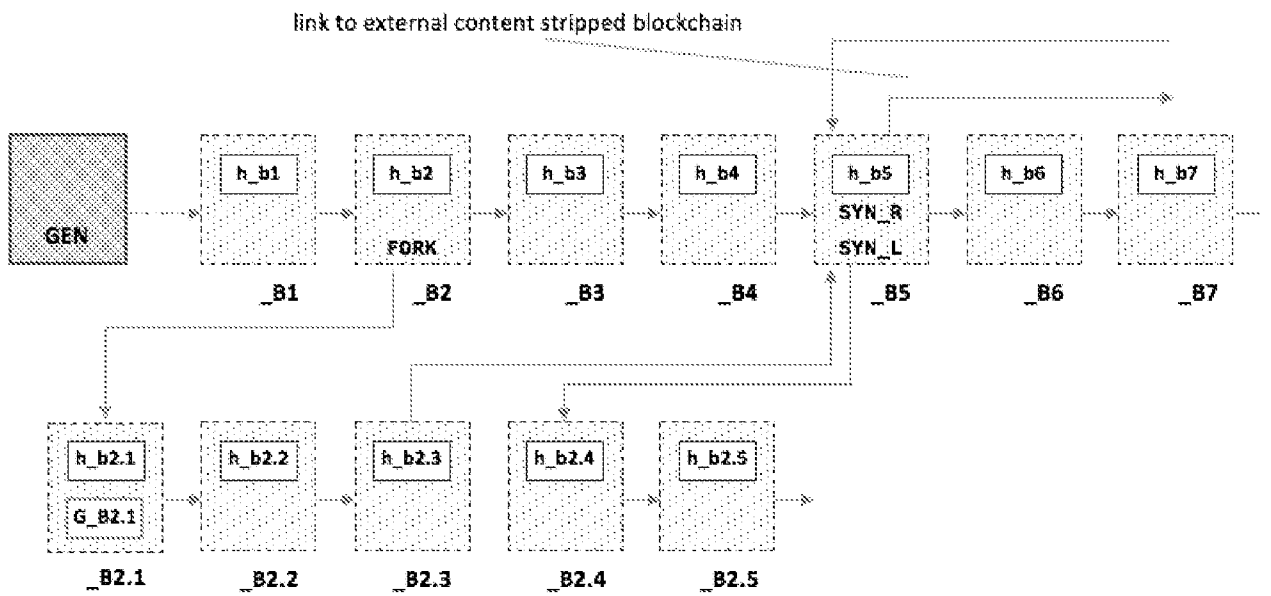


FIG. 8B

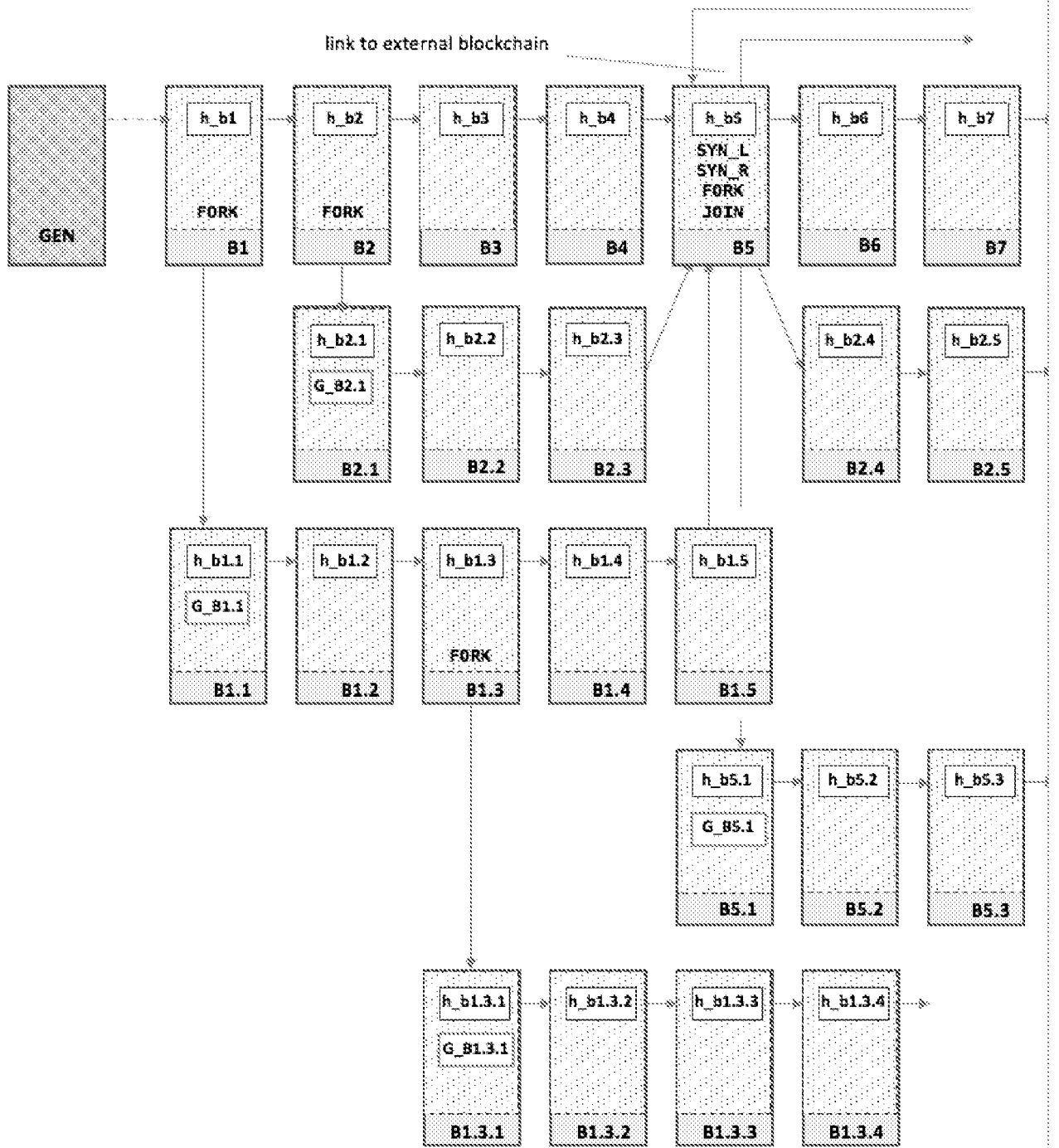


FIG. 9

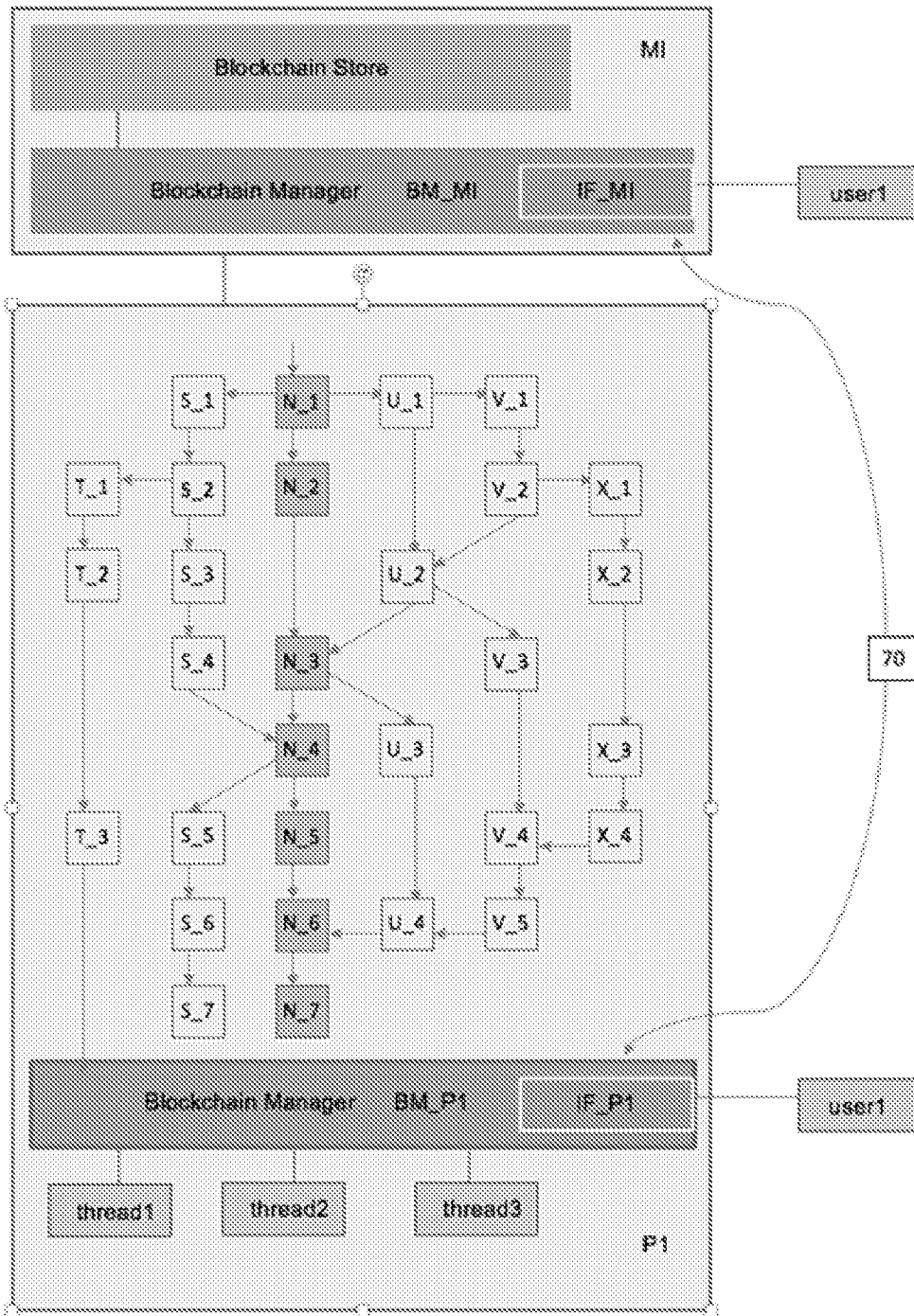


FIG. 10

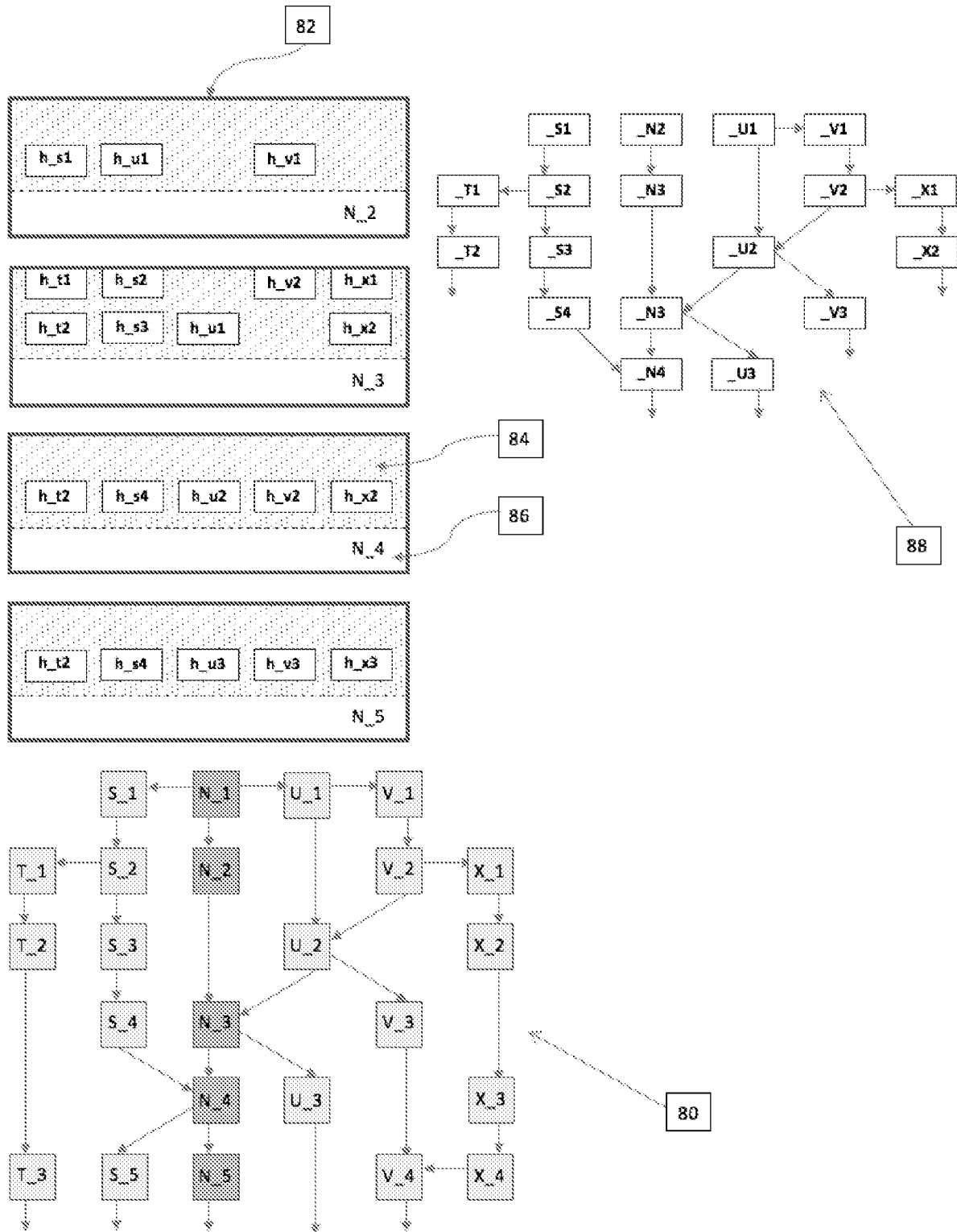


FIG. 11

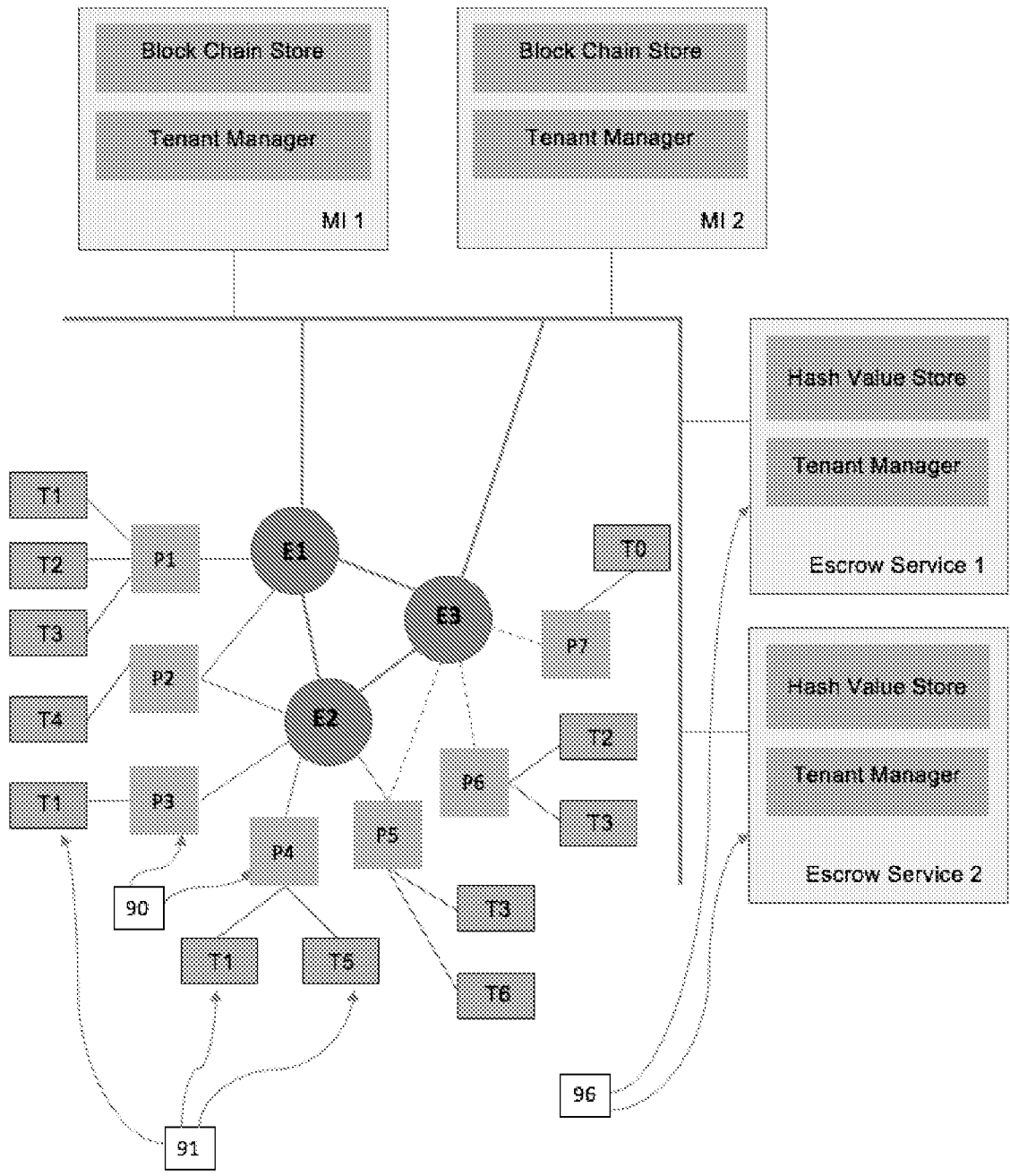


FIG. 12

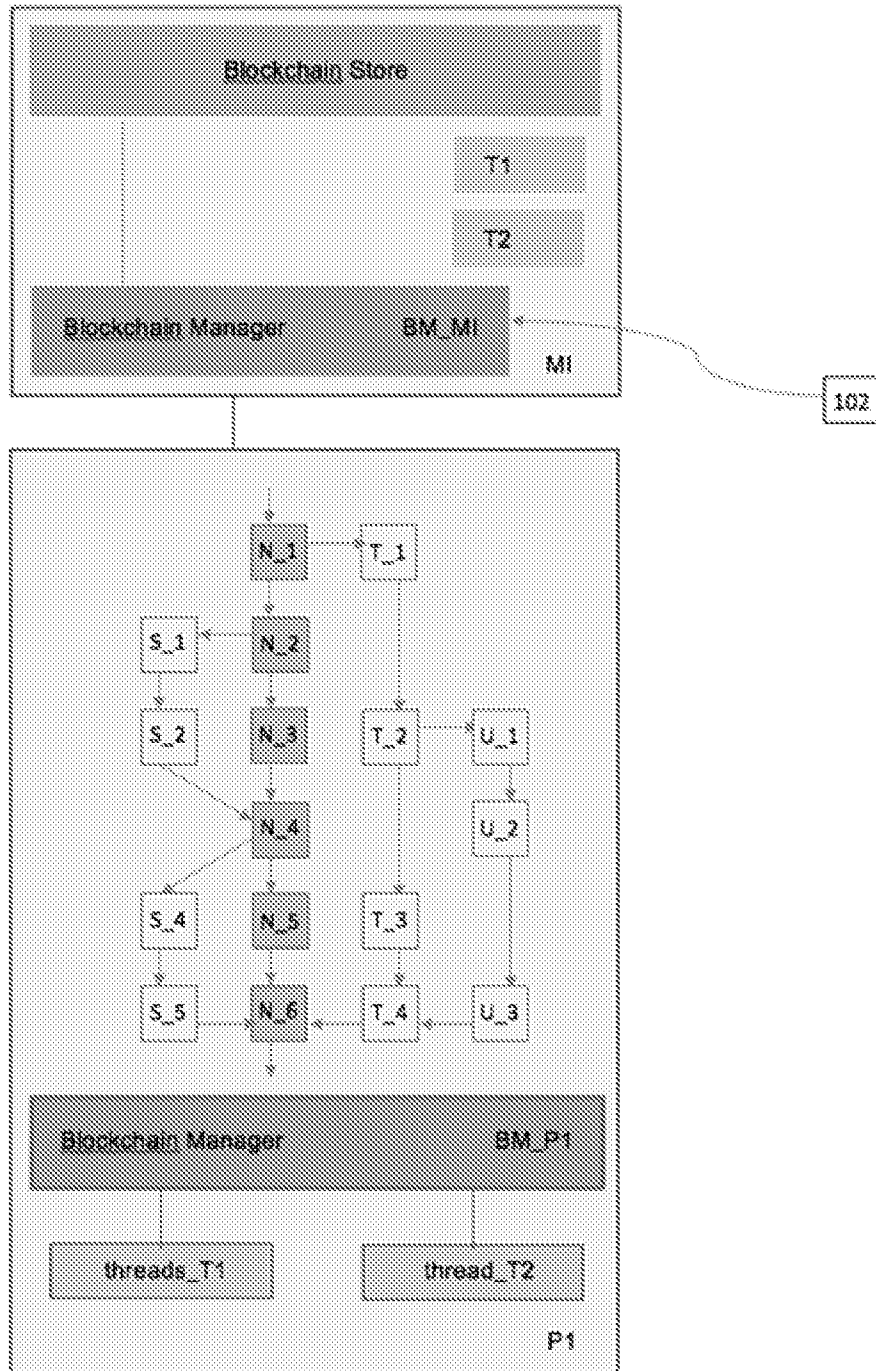


FIG. 13

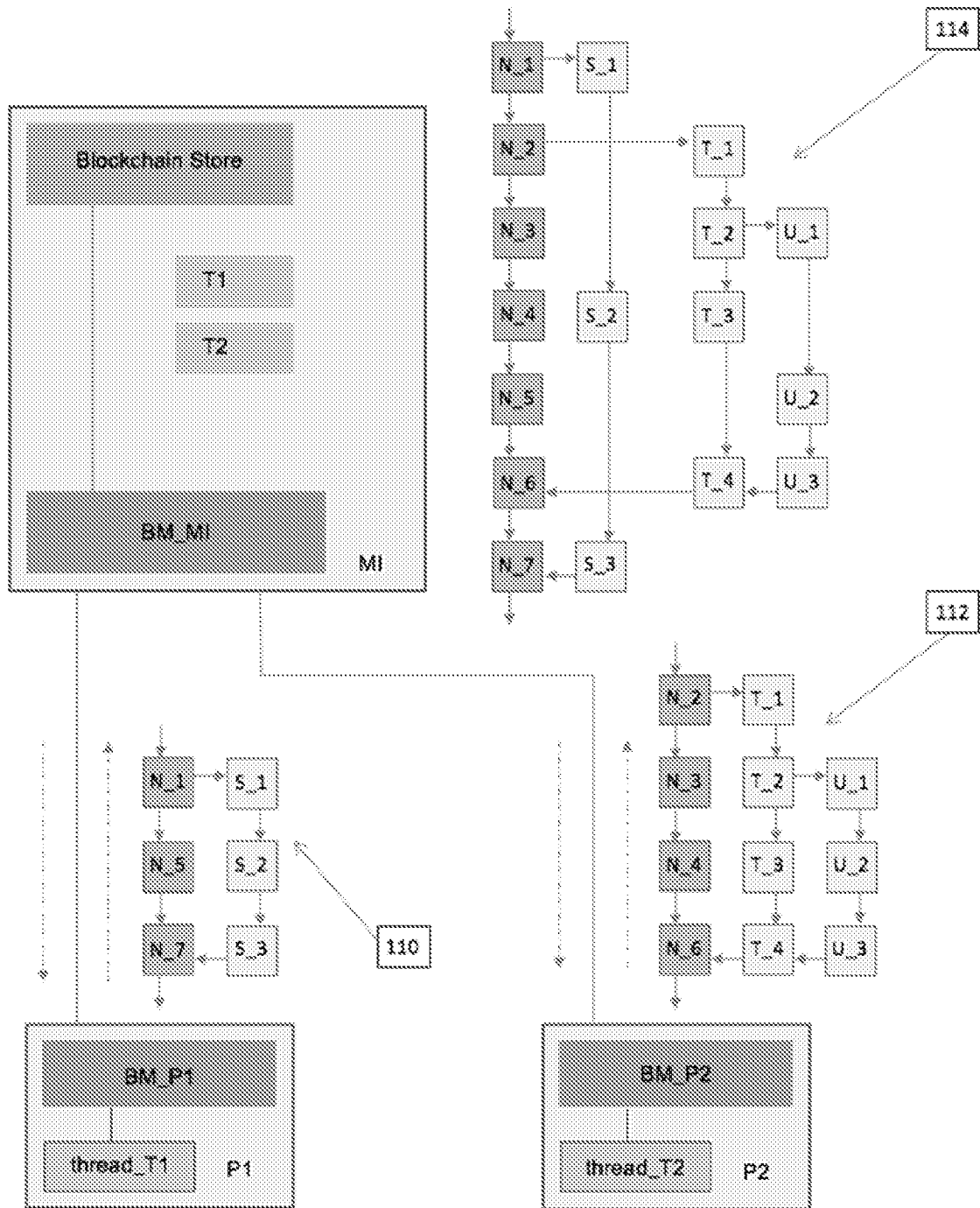


FIG. 14

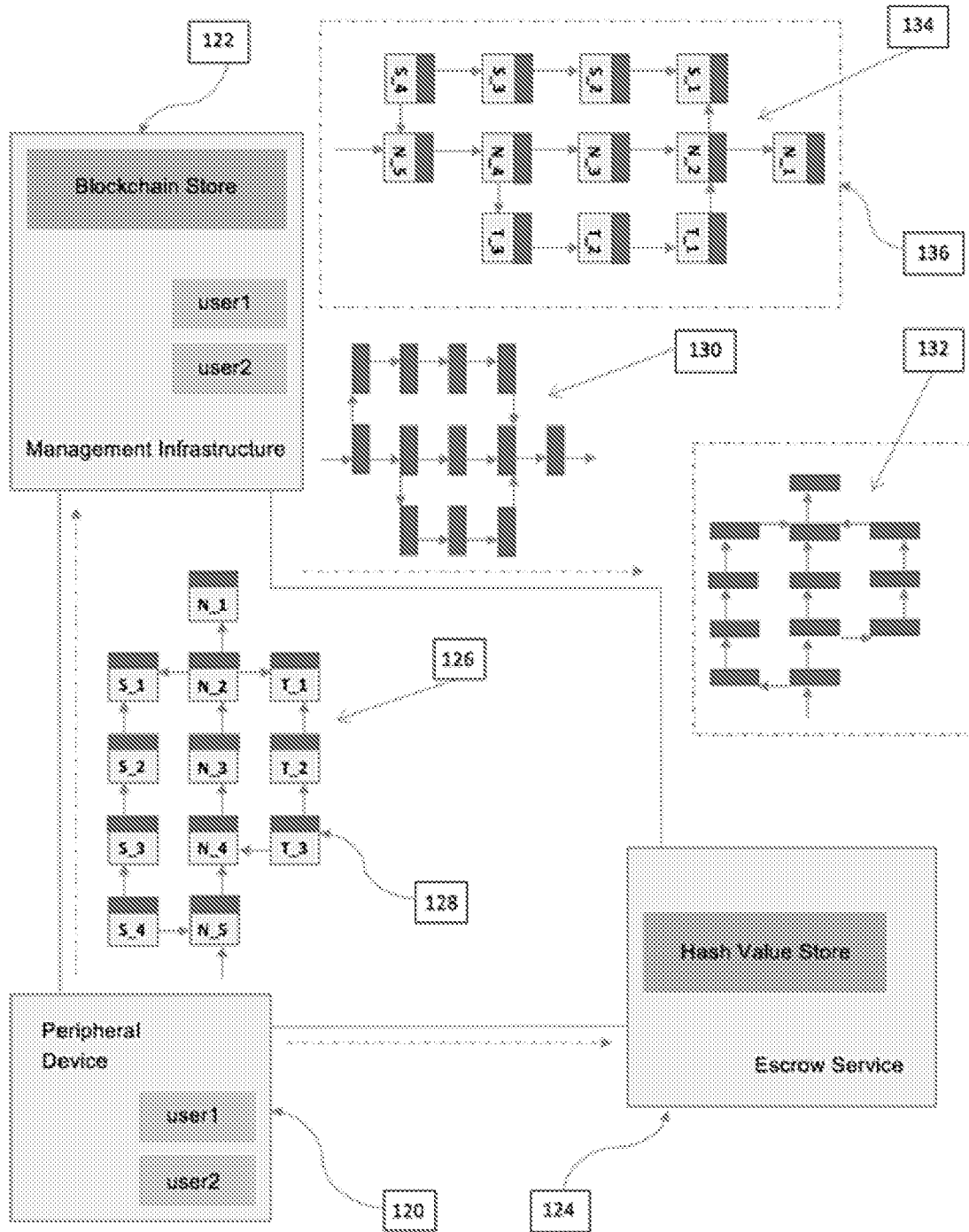


FIG. 15

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US2017/064310

A. CLASSIFICATION OF SUBJECT MATTER H04L 29/08(2006.01)i		
According to International Patent Classification (IPC) or to both national classification and IPC		
B. FIELDS SEARCHED		
Minimum documentation searched (classification system followed by classification symbols) H04L 29/08; H04L 9/08; G06F 21/24; H04K 1/00; G06F 21/20; H04L 29/06; H04L 9/30; G06F 21/60		
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched Korean utility models and applications for utility models Japanese utility models and applications for utility models		
Electronic data base consulted during the international search (name of data base and, where practicable, search terms used) eKOMPASS(KIPO internal) & Keywords: block chain, access, authorize, record, encrypt		
C. DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
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Y		2,3,8,10-13,15-16 ,21,23-26
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<input type="checkbox"/> Further documents are listed in the continuation of Box C. <input checked="" type="checkbox"/> See patent family annex.		
* Special categories of cited documents: "A" document defining the general state of the art which is not considered to be of particular relevance "E" earlier application or patent but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art "&" document member of the same patent family		
Date of the actual completion of the international search 13 March 2018 (13.03.2018)		Date of mailing of the international search report 16 March 2018 (16.03.2018)
Name and mailing address of the ISA/KR International Application Division Korean Intellectual Property Office 189 Cheongsa-ro, Seo-gu, Daejeon, 35208, Republic of Korea Facsimile No. +82-42-481-8578		Authorized officer KIM, Seong Woo Telephone No. +82-42-481-3348



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