

# **Policies as Blockchain Smart Contracts for Ensuring Compliance and Provenance: A Healthcare Industry Perspective**

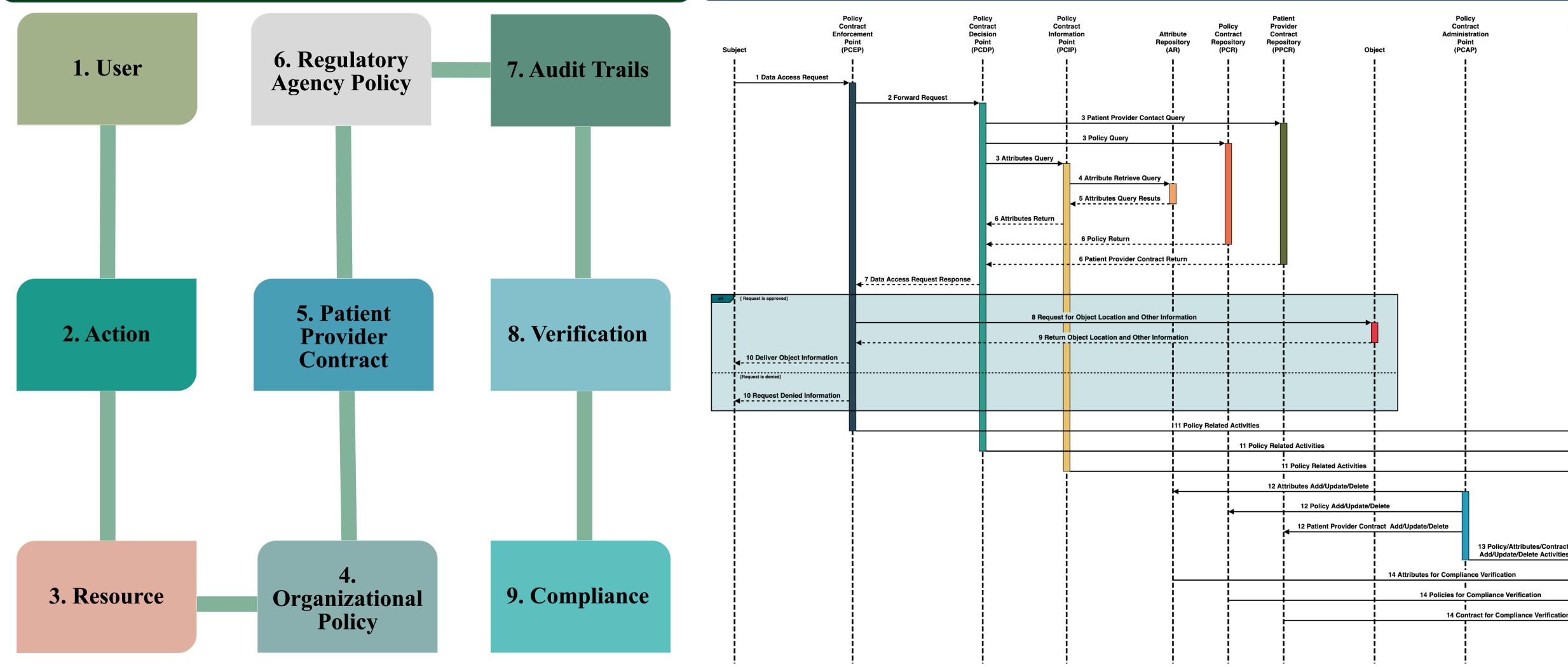
# **Problem Statement**

- For stronger security guarantees, demonstrating / proving policy compliance is must
- Policy compliance is challenging since policies can range from national level policies to state-level, city-level, organization-level policies, and also individual user level policies
- Problems in policy specification and implementation remain unidentified until a breach
- Organizational subcultures often lead to (overlooked) policy violations

### **Proposed Approach**

- A blockchain's decentralized consensus mechanism and immutable, integrity verified storage helps provenance by maintaining better audit trail
- Implementing policies as smart contracts ensures compliance via auto triggering and consensus mechanism doubles as strong reference monitor

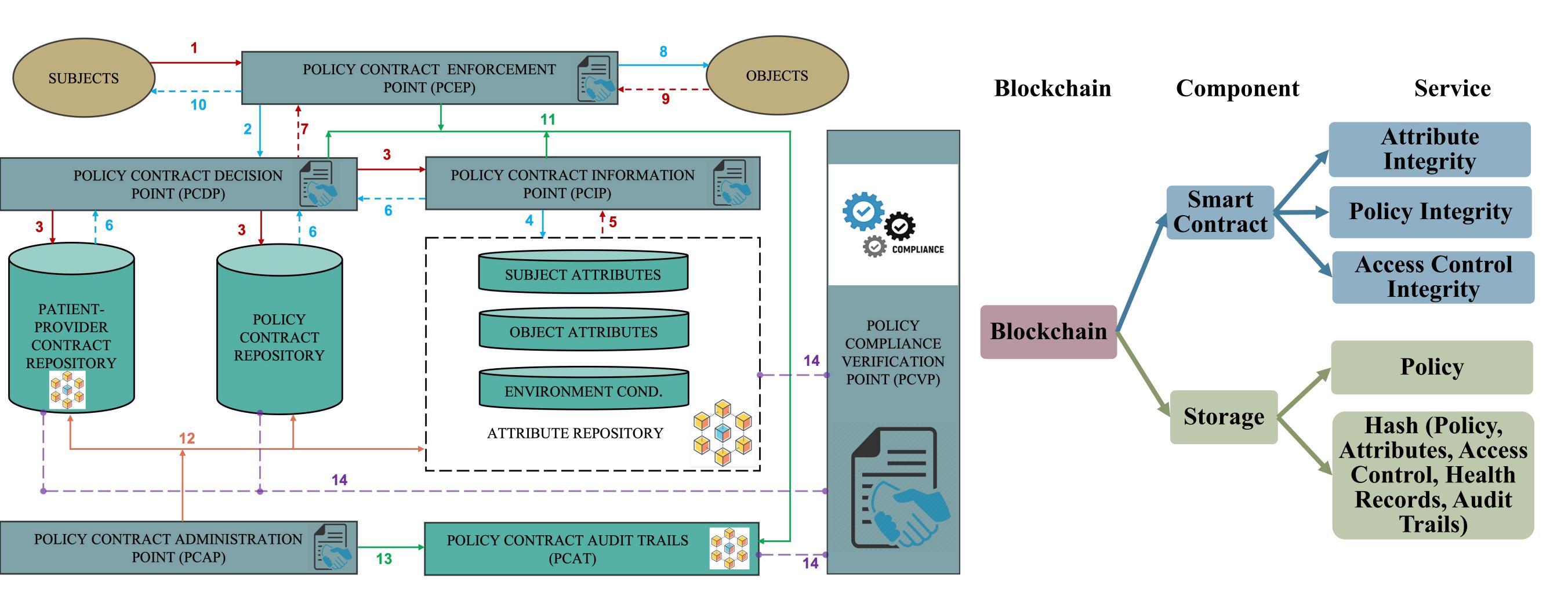
# Healthcare Policy Compliance



**Md Al Amin and Indrajit Ray** 

**Computer Science Department, Colorado State University, Fort Collins, CO, USA** 

## **Contract Based Policy Enforcement**



# **Policy Compliance Sequence Diagram**



### Provenance via Blockchain

Policy Contrac Audit Trails

Compliance Verification Point (PCVP)

14 Attributes for Compliance Verification



- Implementing prototype of the proposed model
- Providing verification process of deployed policies and attributes
- Integrating blockchain API with access control model to interact with blockchain network
- Developing mechanism for audit trails verification for a certain user to confirm policy compliance
- Building query API for performing different queries regarding policy compliance for a user or a policy or an object

### References

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[3] W. Charles, N. Marler, L. Long, and S. Manion, "Blockchain compliance by design: Regulatory considerations for blockchain in clinical research," Front. Blockchain, p. 18, 2019.

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