

Appendix A

Universal-2 Hash Functions

Universal hash refers to a technique that randomly choose a hash function from a class of hash functions, so that the hash output can avoid hash collision as much as possible for an arbitrary or even adversarially constructed input distribution. More precisely, for any fixed input x , if hash function $h(\cdot)$ is randomly chosen from a universal hash function class \mathcal{H} , then $h(x)$ is a uniformly distributed random variable.

Universal-2 hash is sometimes called 2-independent universal hash or pairwise independent universal hash. It means for any distinct but fixed x_1 and x_2 , $h(x_1)$ and $h(x_2)$ are independent random variables. The mathematic definition of universal-2 hash function is stated as the follows.

Let $f : \mathcal{A} \rightarrow \mathcal{B}$ be a hash function that maps a larger set \mathcal{A} into a smaller set \mathcal{B} . x and y are elements in \mathcal{A} . $\delta_f(\cdot, \cdot)$ is a collision indicator function.

$$\delta_f(x, y) = \begin{cases} 1 & x \neq y, f(x) = f(y) \\ 0 & \text{otherwise} \end{cases} \tag{A.1}$$

Let \mathcal{F} be a class of hash functions from \mathcal{A} to \mathcal{B} . $\delta_{\mathcal{F}}(\cdot, \cdot)$ is defined as

$$\delta_{\mathcal{F}}(x, y) = \sum_{f \in \mathcal{F}} \delta_f(x, y). \tag{A.2}$$

\mathcal{F} is a *universal-2* class of hash functions if for all $x, y \in \mathcal{A}$,

$$\delta_{\mathcal{F}}(x, y) \leq \frac{|\mathcal{F}|}{|\mathcal{B}|}. \tag{A.3}$$

The definition of universal-2 hash functions states that for any distinctive hash inputs x and y , no more than $1/|\mathcal{B}|$ of hash functions in \mathcal{F} will map them into the same hash output.

Reference [25] presented an example of universal-2 function class. Let $|\mathcal{A}| < p$ and $\mathcal{A} = \{0, \dots, |\mathcal{A}| - 1\}$. p is a prime number. A parameterized hash function f is defined as

$$f_{m,n}(x) \equiv ((mx + n) \bmod p) \bmod |\mathcal{B}|, \quad (\text{A.4})$$

with m, n are integers and $m \neq 0$.

Let \mathcal{F} be a class of hash functions defined by

$$\mathcal{F} = \{f_{m,n} | m \in \{1, \dots, p-1\}, n \in \{0, \dots, p-1\}\}. \quad (\text{A.5})$$

\mathcal{F} is a universal-2 hash function class.

We may further note that the hash function class $\mathcal{F}^* = \{f_{m,n} | m \in \{1, \dots, p-1\}, n = 0\}$ is a universal function class but does not satisfy the criterion of pairwise independent.

Appendix B

Shannon Entropy and Rényi Entropy

Shannon entropy is well known as a measure to the level of randomness contained in a random variable. For a discrete random variable X that is associated with a probability distribution $p(x)$, Its Shannon entropy is

$$H(X) = - \sum_{x \in \{X\}} p(x) \log_2 p(x). \tag{B.1}$$

In the context of information theory, the level of randomness can be interpreted as level of uncertainty when treating X as an information source. Therefore, $H(X)$ also measures the uncertainty of X .

For two random variables X and Y , the conditional Shannon entropy $H(Y|X)$ is defined as

$$H(Y|X) = - \sum_{x \in \{X\}} \sum_{y \in \{Y\}} p_{X,Y}(x, y) \log_2 p_{Y|X}(y|x). \tag{B.2}$$

$H(Y)$ measures the level of uncertainty of information source Y . $H(Y|X)$ measures how much uncertainty left in Y when the information source X is given. If Y is completely determined by X , Y is fixed when X is known. Therefore in this case, $H(Y|X) = 0$. If X carries no information of Y , knowing X does not affect the uncertainty of Y . In this case, $H(Y|X) = H(Y)$. For arbitrary X and Y , we always have $H(Y|X) \leq H(Y)$.

In this monograph, conditional Shannon entropy is used to measure the secrecy level of information. Let Y be a random variable that represents a piece of information, such as a cryptographic key. X be the information gathered by adversary by all means such as through cryptanalysis or eavesdropping. $H(Y|X)$ measures the level of uncertainty that remains in Y from the adversary's view point. In another word, $H(Y|X)$ measures how much secrecy Y has against the adversary.

Rényi entropy is a generalized entropy measure. Rényi entropy of order n is defined for $n \geq 0$ and $n \neq 1$.

$$H_n(X) = \frac{1}{1-n} \log_2 \left(\sum_{x \in \{X\}} (p(X=x))^n \right) \quad (\text{B.3})$$

When $n \rightarrow 1$, Rényi entropy of order n converges to Shannon entropy. In this dissertation, we are particularly interested in Rényi entropy of order 2, which is

$$H_2(X) = -\log_2 \sum_{x \in \{X\}} (p(X=x))^2. \quad (\text{B.4})$$

Appendix C

Proofs to Theorems in Section 6.5

Theorem 6.2 Suppose the bit error probability of the binary symmetric channel is p_e . the receiver's uncertainty of \mathbf{t} given \mathbf{r} is lower bounded by

$$H(\mathbf{t}|\mathbf{r}) \geq n\mathbf{h}(p_e) - n(1 - R)\mathbf{h}(\phi_{nR+1}(p_e)), \tag{C.1}$$

with

$$h(x) = -x \log_2 x - (1 - x) \log_2 (1 - x) \tag{C.2}$$

$$\phi_k(x) = \frac{1 + (1 - 2x)^k}{2}. \tag{C.3}$$

Proof Firstly, we decompose Eq. (C.1).

$$\begin{aligned} H(\mathbf{t}|\mathbf{r}) &= H(\mathbf{t}, \mathbf{r}) - H(\mathbf{r}) \\ &= H(\mathbf{t}, \mathbf{t} \oplus \mathbf{r}) - H(\mathbf{r}) \\ &= nR + nh(p_e) - H(\mathbf{r}) \end{aligned} \tag{C.4}$$

We then divide \mathbf{r} into two parts.

$$\mathbf{r} = (\mathbf{r}_s \ \mathbf{r}_c) \tag{C.5}$$

\mathbf{r}_s is the first nR bits and \mathbf{r}_c is the rest $n(1 - R)$ bits. Let $r_c^{(i)}$ represent the i th bits of \mathbf{r}_c .

$H(\mathbf{r})$ can be expressed as

$$\begin{aligned} H(\mathbf{r}) &= H(\mathbf{r}_c, \mathbf{r}_s) = H(\mathbf{r}_c) + H(\mathbf{r}_c|\mathbf{r}_s) \\ &\leq nR + H(\mathbf{r}_c|\mathbf{r}_s) \\ &\leq nR + \sum_{i=1}^{n(1-R)} H(r_c^{(i)}|\mathbf{r}_s) \end{aligned} \tag{C.6}$$

The second \leq is because the overlapping of parity check set can only reduce the uncertainty of \mathbf{r} .

Let $M^{(i)}$ represent the i th column in the random matrix M of M_G and M_H . $k(i)$ is the number of 1s in $M^{(i)}$.

$$\begin{aligned} H(r_c^{(i)} | \mathbf{r}_s) &= E_{\mathbf{r}_s \in \{0,1\}^{nR}} [H(r_c^{(i)} | \mathbf{r}_s)] \\ &= E_{\mathbf{r}_s \in \{0,1\}^{nR}} [h(p(r_c^{(i)} = \mathbf{r}_s M^{(i)} | \mathbf{r}_s))] \\ &= h(\phi_{k(i)+1}(p_e)) \\ &\leq h(\phi_{nR+1}(p_e)) \end{aligned} \quad (\text{C.7})$$

The third equality is because M is a equiprobable random binary matrix, $p(r_c^{(i)} = \mathbf{r}_s M^{(i)} | \mathbf{r}_s)$ is the probability of even number of bit errors occur in this parity check set and this probability is unchanged for any $\mathbf{r}_s \in \{0, 1\}^{nR}$.

The last \leq is because $h(\phi_k(p))$ is monotonically increasing with k and $k(i) \leq nR$.

Combining the Eqs. (C.4), (C.6) and (C.7) proves the theorem.

Theorem 6.3 *The probability of undetected errors is upper bounded by*

$$p_{ud} = Pr_{\mathbf{r} \in \Omega}(\mathbf{t} \neq \mathbf{r}) \leq 2^{-n(1-R)} \quad (\text{C.8})$$

Proof Define the error vector \mathbf{e} as

$$\mathbf{e} = \mathbf{t} \oplus \mathbf{r} = (\mathbf{e}_s \ \mathbf{e}_c). \quad (\text{C.9})$$

\mathbf{e}_s contains the first nR bits of \mathbf{e} . \mathbf{e}_c is the rest.

The syndrome of parity check \mathbf{s} is

$$\mathbf{s} = \mathbf{e}M_H = \mathbf{e}_s M \oplus \mathbf{e}_c I_n(1 - R). \quad (\text{C.10})$$

When $\mathbf{s} = \mathbf{0}$, the received vector \mathbf{r} would be believed as no error-free. The event of undetected error occurs when $\mathbf{e} \neq \mathbf{0}$ and

$$\mathbf{e}_s M = \mathbf{e}_c. \quad (\text{C.11})$$

There are three possible types of errors.

1. $\mathbf{e}_s = \mathbf{0}, \mathbf{e}_c \neq \mathbf{0}$
2. $\mathbf{e}_s \neq \mathbf{0}, \mathbf{e}_c = \mathbf{0}$
3. $\mathbf{e}_s \neq \mathbf{0}, \mathbf{e}_c \neq \mathbf{0}$

Type 1 errors will lead to non-zero syndrome and are always detected. Type 2 and 3 errors may escape the error detection. To analyze the probability of undetected errors, we expand Eq. (C.11) into an equation array.

$$\left\{ \begin{array}{l} \mathbf{e}_s M^{(1)} = e_c^{(1)} \\ \vdots \\ \mathbf{e}_s M^{(i)} = e_c^{(i)} \\ \vdots \\ \mathbf{e}_s M^{(n(1-R))} = e_c^{(n(1-R))} \end{array} \right. \quad (\text{C.12})$$

M is an equiprobable random binary matrix. $M^{(i)}$ is a random binary string picked from $\{0, 1\}^{nR}$. Therefore no matter what the values of \mathbf{e}_s and $e_c^{(i)}$ are, $p(\mathbf{e}_s M^{(i)} = e_c^{(i)}) = \frac{1}{2}$. Because each equation in the array (C.12) is independent to the others, the probability of all equations in (C.12) are satisfied would be $2^{-n(1-R)}$. Therefore we have

$$p_{ud} = p_{\mathbf{r} \in \Omega}(\mathbf{t} \neq \mathbf{r}) \leq 2^{-n(1-R)}. \quad (\text{C.13})$$

The theorem is proved.

Appendix D

Reliability Analysis for Dynamic Key Based Two-Factor Authentication

D.1 MTTR and Average Availability

Recall the four state Markov model for dynamic key based two-factor authentication (Fig. D.1).

The mean time to recover is the expectation of time to stay in B state, which is the reciprocal of the exit rate of this state. Therefore, we have

$$MTTR_{two-key} = \frac{1}{\mu_c + \mu_m}. \tag{D.1}$$

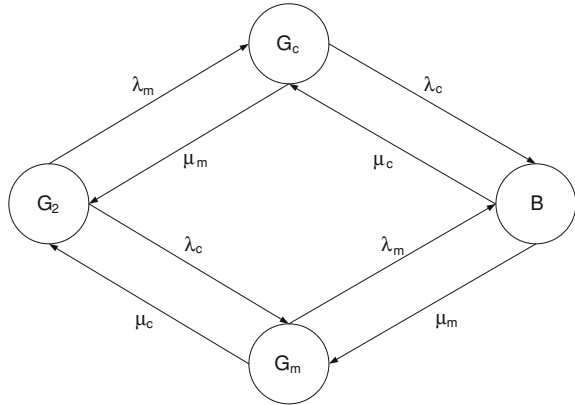
The average availability is the probability that the system is not in B state in stationary phase. In order to find out the stationary distribution of this model, we first obtain the transition matrix \mathbf{Q} .

$$\mathbf{Q} = \begin{pmatrix} -(\lambda_m + \lambda_c) & \lambda_m & \lambda_c & 0 \\ \mu_m & -(\mu_m + \lambda_c) & 0 & \lambda_c \\ \mu_c & 0 & -(\mu_c + \lambda_m) & \lambda_m \\ 0 & \mu_c & \mu_m & -(\mu_c + \mu_m) \end{pmatrix} \tag{D.2}$$

The discrete time transition matrix \mathbf{P} can be derived from \mathbf{Q} .

$$\mathbf{P} = \begin{pmatrix} 0 & \frac{\lambda_m}{\lambda_m + \lambda_c} & \frac{\lambda_c}{\lambda_m + \lambda_c} & 0 \\ \frac{\mu_m}{\mu_m + \lambda_c} & 0 & 0 & \frac{\lambda_c}{\mu_m + \lambda_c} \\ \frac{\mu_c}{\mu_c + \lambda_m} & 0 & 0 & \frac{\lambda_m}{\mu_c + \lambda_m} \\ 0 & \frac{\mu_c}{\mu_c + \mu_m} & \frac{\mu_m}{\mu_c + \mu_m} & 0 \end{pmatrix} \tag{D.3}$$

Fig. D.1 Four-state Markov model for dynamic key based two-factor authentication scheme. G_2 state means both keys are secret. G_c state means only the dynamic key on computer is secret. G_m state means only the dynamic key on mobile phone is secret. B state means both keys are known by adversary and the communication security is lost



The stationary distribution probability vector $\pi = [\pi_1, \pi_2, \pi_3, \pi_4]$ can be obtained from solving the equations

$$\begin{cases} \pi \mathbf{P} = \pi \\ \pi_1 + \pi_2 + \pi_3 + \pi_4 = 1 \end{cases} \quad (\text{D.4})$$

The average availability is

$$A_{avg,two-key} = 1 - \pi_4 = 1 - \frac{1}{2\left(1 + \frac{\mu_c \mu_m}{\mu_c + \mu_m} \frac{\lambda_c + \lambda_m}{\lambda_c \lambda_m}\right)}. \quad (\text{D.5})$$

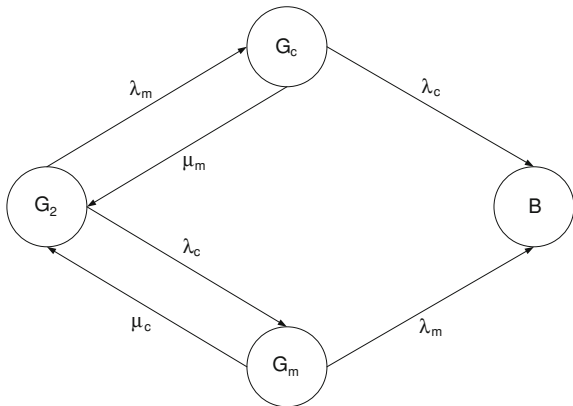
D.2 MTFSF

The mean time to first system failure can be calculated from the model shown in Fig. D.2.

In the figure, B state is an absorbing state. We use T_{2B} , T_{cB} , and T_{mB} to denote the average time to reach the absorbing state from state G_2 , G_c , and G_m respectively. T_{2B} , T_{cB} , and T_{mB} are related by the following equation array.

$$\begin{cases} T_{cB} = \frac{1}{\mu_m + \lambda_c} + \frac{\mu_m}{\mu_m + \lambda_c} T_{2B} \\ T_{mB} = \frac{1}{\mu_c + \lambda_m} + \frac{\mu_c}{\mu_c + \lambda_m} T_{2B} \\ T_{2B} = \frac{1}{\lambda_c + \lambda_m} + \frac{\lambda_m}{\lambda_c + \lambda_m} T_{cB} + \frac{\lambda_c}{\lambda_c + \lambda_m} T_{mB} \end{cases} \quad (\text{D.6})$$

Fig. D.2 Four-state Markov model to calculate MTFSF for dynamic key based two-factor authentication scheme. G_2 state means both keys are secret. G_c state means only the dynamic key on computer is secret. G_m state means only the dynamic key on mobile phone is secret. B state means both keys are known by adversary and the communication security is lost



The MTFSF of the authentication scheme can be found by solving the above equation array. We have

$$MTFSF_{two-key} = T_{2B} = \frac{1 + \frac{\lambda_m}{\mu_m + \lambda_c} + \frac{\lambda_c}{\mu_c + \lambda_m}}{\lambda_c \lambda_m \left(\frac{1}{\mu_m + \lambda_c} + \frac{1}{\mu_c + \lambda_m} \right)}. \quad (D.7)$$

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