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Cellular automata computations and secret key cryptography

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Abstract

In this paper, cellular automata (CAs) are used to design a symmetric key cryptography system based on Vernam cipher. CAs are applied to generate a pseudo-random numbers sequence (PNS) which is used during the encryption process. The quality of PNSs highly depends on the set of applied CA rules. Rules of radius $r = 1$ and 2 for nonuniform one-dimensional CAs have been considered. A new set of rules has been discovered using an evolutionary technique called cellular programming. This set provides very high quality encryption, and the system is very resistant to attempts of breaking the cryptography key.
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1. Introduction

Confidentiality is mandatory for a majority of network applications including, for example, commercial uses of the Internet. Two classes of algorithms exist on the

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26 market for data encryption: secret key systems and public key systems. An extensive
27 overview of currently known or emerging cryptography techniques used in both
28 types of systems can be found in [14]. One of such a promising cryptography tech-
29 niques are cellular automata. Cellular automata are highly parallel and distributed
30 systems which are able to perform complex computations. While it is still difficult
31 to use universally this non-von Neumann style of computation to solve problems,
32 new perspectives in this area have been opened when evolutionary techniques ap-
33 peared and have been used to design automatically CA-based systems. An overview
34 on current state of research on CAs and their application can be found in [13].

35 CAs were proposed for public-key cryptosystems by Guan [1] and Kari [5]. In
36 such systems two keys are required: one key is used for encryption and the other
37 for decryption, and one of them is held in private, the other is published. However,
38 the main concern of this paper are secret key cryptosystems. In such systems the
39 same key is used for encryption and decryption. The encryption process is based
40 on the generation of pseudorandom bit sequences, and CAs can be effectively used
41 for this purpose. In the context of symmetric key systems, CAs were first studied
42 by Wolfram [17], and later by Habutsu et al. [3], Nandi et al. [11] and Gutowitz
43 [2]. Recently they were a subject of study by Tomassini and his colleagues (see,
44 e.g. [16]). This paper extends these recent studies and describes the application of
45 one-dimensional (1D) CAs for the secret key cryptography.

46 The paper is organized as follows. The following section presents the idea of an
47 encryption process based on Vernam cipher and used in CA-based secret key cryp-
48 tosystems. Section 3 outlines the main concepts of CAs, overviews current state of
49 applications of CAs in secret key cryptography and states the problem considered
50 in the paper. Section 4 outlines evolutionary technique called cellular programming
51 and Section 5 shows how this technique is used to discover new CA rules suitable for
52 encryption process. Section 6 contains the analysis of results and Section 7 concludes
53 the paper.

54 2. Vernam cipher and secret key cryptography

55 Let P be a plain-text message consisting of m bits $p_1p_2 \dots p_m$, and $k_1k_2 \dots k_m$ be a
56 bit stream of a key k . Let c_i be the i th bit of a cipher-text obtained by applying a
57 XOR (exclusive-or) enciphering operation:

$$c_i = p_i \text{ XOR } k_i.$$

59 The original bit p_i of a message can be recovered by applying the same operation
60 XOR on c_i with use of the same bit stream key k :

$$p_i = c_i \text{ XOR } k_i.$$

62 The enciphering algorithm called Vernam cipher is known to be [9,14] perfectly
63 safe if the key stream is truly unpredictable and is used only one time. From practical
64 point of view it means that one must find answers on the following questions: (a)
65 how to provide a pure randomness of a key bit stream and unpredictability of ran-

dom bits, (b) how to obtain such a key with a length enough to encrypt practical amounts of data, and (c) how to pass safely the key from the sender to receiver and protect the key.

In this paper we address questions (a) and (b). We will apply CAs to generate high quality pseudorandom number sequences (PNSs) and a safe secret key.

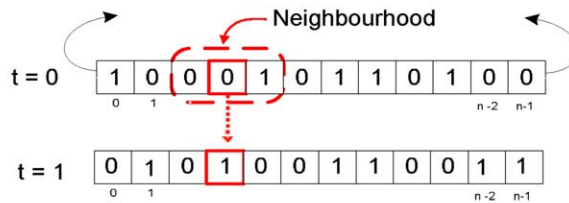
3. Cellular automata and cryptography

One-dimensional CA is in a simplest case a collection of two-state elementary automata arranged in a lattice of the length N , and locally interacted in a discrete time t . For each cell i called a central cell, a neighborhood of a radius r is defined, consisting of $n_i = 2r + 1$ cells, including the cell i . When considering a finite size of CAs a cyclic boundary condition is applied, resulting in a circle grid (cf. Fig. 1).

It is assumed that a state q_i^{t+1} of a cell i at the time $t + 1$ depends only on states of its neighborhood at the time t , i.e. $q_i^{t+1} = f(q_i^t, q_{i-1}^t, q_{i+1}^t, \dots, q_{i-n}^t)$, and a transition function f , called a *rule*, which defines a rule of updating a cell i . A length L of a rule and a number of neighborhood states for a binary uniform CAs is $L = 2^n$, where $n = n_i$ is a number of cells of a given neighborhood, and a number of such rules can be expressed as 2^L . For CAs with e.g. $r = 2$ the length of a rule is equal to $L = 32$, and a number of such rules is 2^{32} and grows very fast with L . When the same rule is applied to update cells of CAs, such CAs are called uniform CAs, in contrast with non-uniform CAs when different rules are assigned to cells and used to update them.

Wolfram was the first to apply CAs to generate PNSs [17]. He used uniform, 1D CAs with $r = 1$, and rule 30. Hortensius et al. [4] and Nandi et al. [11] used nonuniform CAs with two rules 90 and 150, and it was found that the quality of generated PNSs was better than the quality of the Wolfram system. Recently Tomassini and Perrenoud [16] proposed to use nonuniform, 1D CAs with $r = 1$ and four rules

1D cellular automata



Rule of CA

Neighbourhood radius $r = 1$, rule $01011010_2 = 90_{10}$

Number	7	6	5	4	3	2	1	0
Neighbourhood	111	110	101	100	011	010	001	000
Rule result	0	1	0	1	1	0	1	0

Fig. 1. 1D cellular automata with neighborhood = 1.

91 90, 105, 150 and 165, which provide high quality PNSs and a huge space of possible
92 secret keys which is difficult for cryptanalysis. Instead to design rules for CAs they
93 used evolutionary technique called cellular programming (CP) to search for them.

94 In this study we continue this line of research. We will use finite, 1D, nonuniform
95 CAs. However, we extend the potential space of rules by consideration of two sizes
96 of rule neighborhood, namely neighborhood of radius $r = 1$ and 2. To discover
97 appropriate rules in this huge space of rules we will use CP.

98 4. Cellular programming environment

99 4.1. Cellular programming

100 CP is an evolutionary computation technique similar to the diffusion model of
101 parallel genetic algorithms and introduced [15] to discover rules for nonuniform
102 CAs. Fig. 2 shows a CP system implemented [10] to discover such rules. In contrast
103 with the CP used in [16] the system has a possibility to evaluate nonuniform rules of
104 two types. The system consists of a population of N rules (left) and each rule is as-
105 signed to a single cell of CAs (right). After initiating states of each cell, i.e. setting an
106 initial configuration, the CAs start to evolve according to assigned rules during a
107 predefined number of time steps. Each cell produces a stream of bits, creating this
108 way a PNS.

109 After stopping evolving CAs all PNSs are evaluated. The entropy E_h is used to
110 evaluate the statistical quality of each PNS. To calculate a value of the entropy each
111 PNS is divided into subsequences of a size h . In all experiments the value $h = 4$ was
112 used. Let l be the number of values which can take each element of a sequence (in

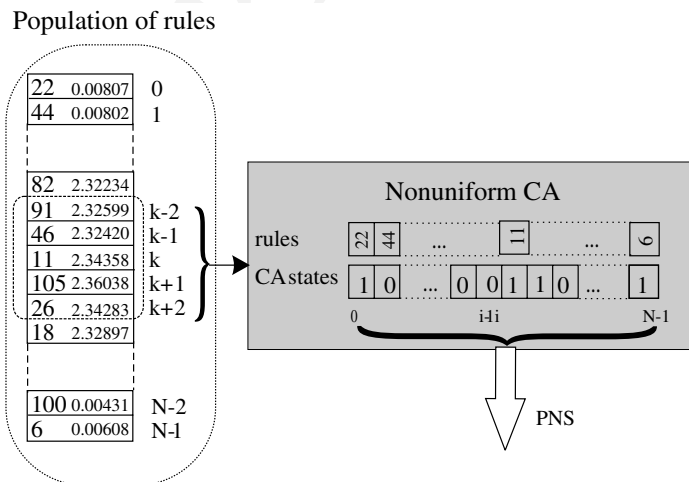


Fig. 2. CP environment for evolution of rules of nonuniform CAs.

our case of binary values of all elements $l = 2$) and l^h a number of possible states of each sequence ($l^h = 16$). E_h can be calculated in the following way:

$$E_h = - \sum_{j=1}^{l^h} p_{h_j} \log_2 p_{h_j},$$

where p_{h_j} is a measured probability of occurrence of a sequence h_j in a PNS. The entropy achieves its maximal value $E_h = h$ when the probabilities of the k_h possible sequences of the length h are equal to $1/l^h$. The entropy will be used as a fitness function of CP.

A single PNS is produced by a CA cell according to assigned rules and depends on a configuration c_i of states of CAs. To evaluate statistically reliable value of the entropy, CAs run with the same set of rules C times for different configurations c_i , and finally the average value of entropy is calculated and serves as a fitness function of each rule from the population of rules.

After evaluation of a fitness function of all rules of the population genetic operators of selection, crossover and mutation are locally performed on rules. The evolutionary algorithm stops after some predefined number of generations of CP. The algorithm can be summarized in the following way:

1. initiate randomly *population* of N rules of type 1 ($r = 1$) or type 2 ($r = 2$), or both types, and create CAs consisting of N cells
2. assign k th rule from the CP population to k th cell of CAs
3. **for** $i = 1 \dots C$ **do**
 - { create randomly configuration c_i of CAs
 - evolve CAs during M time steps
 - evaluate *entropy* of each PNS }
4. evaluate *fitness function* of each rule
5. apply locally to rules in a specified sequence genetic operators of *selection*, *crossover* and *mutation*
6. if STOP condition is not satisfied return to 2.

4.2. Genetic operators

In contrast with the standard genetic algorithm population, rules-individuals of CP population occupy specific place in the population and have strictly defined neighborhood. For example, the rule 11 (see, Fig. 2) (also indexed by k) corresponds to k th cell of CAs, and rules 46 and 105 are its immediate neighbors. All rules shown in this figure belong to the first type of rules with $r = 1$, i.e. a transition function of the rule depends on 3 cells, a given cell and two cell-neighbors. However, in more general case considered in the paper, we assume that rules are either of type 1 ($r = 1$, short rules) or of type 2 ($r = 2$, long rules).

Additionally to a neighborhood associated with two types of rules we use also an evolutionary neighborhood, i.e. the neighborhood of rules which are considered for mating when genetic operators are locally applied to a given rule. The size and pattern

of this neighborhood may differ from the neighborhood associated with types of rules. Fig. 2 shows an example of the evolutionary neighborhood for the rule k which is created by rules $k - 2, k - 1, k, k + 1, k + 2$. It is assumed that the pattern of such a neighborhood is the same for all rules and is a predefined parameter of an experiment. A sequence of genetic operators performed locally on a given rule depends on values of fitness function of rules (numbers on the right side of rule names, see Fig. 2) from the evolutionary neighborhood of this rule. Genetic operators are applied in the following way:

- (1) if the k th rule is the best (the highest value of the fitness function) in its evolutionary neighborhood then the rule survives (selection) and remains unchanged for the next generation; no other genetic operators are performed;
- (2) if in the evolutionary neighborhood of the rule k only one rule exists which is better than considered rule then the rule k is replaced by the better rule (selection) only if both rules are of the same type, and next mutation on this rule is performed; the rule remains unchanged if the better rule is of the other type;
- (3) if two rules better than the rule k exist in the neighborhood then a crossover on the pair of better rules is performed; a randomly selected child from a pair of children replaces rule k , and additionally a mutation is performed;
- (4) if more than two rules better than the rule k exist in the neighborhood then two randomly selected better rules create (crossover) a pair of children; on a randomly selected child a mutation is performed, and the child replaces the rule k .

Two types of rules existing in a CP population can be considered as two species of a coevolutionary algorithm. Therefore to perform a crossover between rules special regulations are required. It is assumed that two parental rules of the same species create a single child rule of the same species, which can replace either the first type of a rule or the second type of the rule. If rules of different types take part in the mating then a species of a child depends on species of a replaced rule, and is the same as a species of a rule to be replaced. Fig. 3 shows a crossover between a short rule 156 ($r = 1$) and a long rule 617528021 ($r = 2$), and the result of crossover—a short rule 154.

The short rule P1 taking part in crossover consists of 8 genes ($n = 0, \dots, 7$) which values correspond to values of transition function defined on 8 neighborhood states {000, 001, ..., 111} existing for $r = 1$. The long rule P2 consists of 32 genes, each corresponding to values of transition function defined on 32 neighborhood states existing for $r = 2$. The long rule is folded because there is a strict relation between a state order number which corresponds to j th gene of P1 and states' order numbers corresponding to genes $2j, 2j + 1$ and $2j + 16, 2j + 17$ of P2. These order numbers of states of P2 are just an extension of corresponding order number of a gene from P1. For example, the gene $n = 7$ of P1 corresponds to the neighborhood state {**111**}, and genes 15, 14 and 31, 30 of P2 correspond to states respectively {0**111**, 0**111**0} and {**1111**, **1111**0} containing the state of P1 (marked in bold).

As Fig. 3 shows both rules P1 and P2 are crossed between genes 2 and 3 and a child Ch corresponding to a short rule ($r = 1$) is created. For this purpose the left part of the short rule is copied to the left part of the child. The right part of Ch is

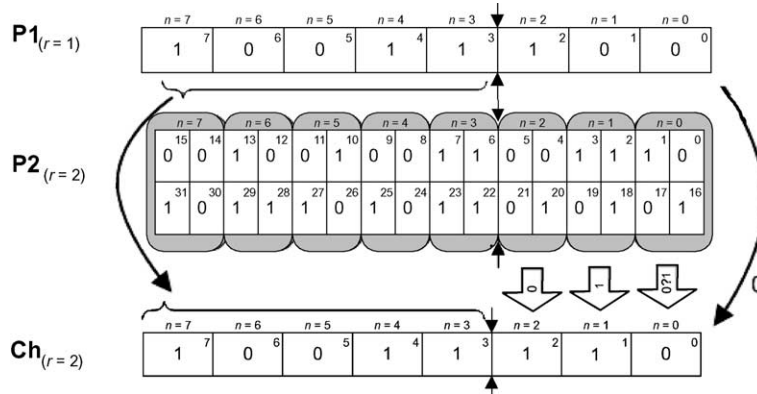


Fig. 3. Example of crossover resulting in a short child rule.

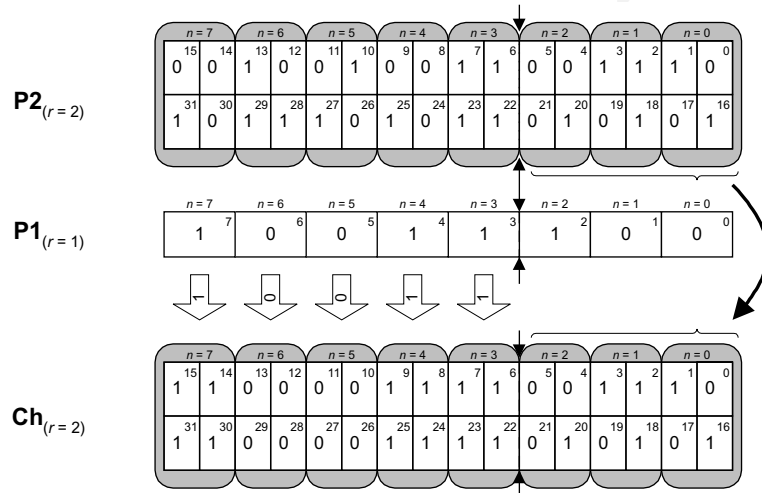


Fig. 4. Example of crossover resulting in a long child rule.

195 created according to the right part of P2 on the basis of majority of 0s or 1s in the
196 corresponding genes. Fig. 4 shows the crossover of two rules resulting in a long child
197 rule.
198 Last genetic operator is a flip-bit mutation performed with the probability
199 $p_m = 0.001$.

200 5. Discovery of rules in 1D, nonuniform CAs

201 In all conducted experiments a population of CP and the size of nonuniform CAs
202 were equal to 50 and the population was processing during 50 generations. The CAs

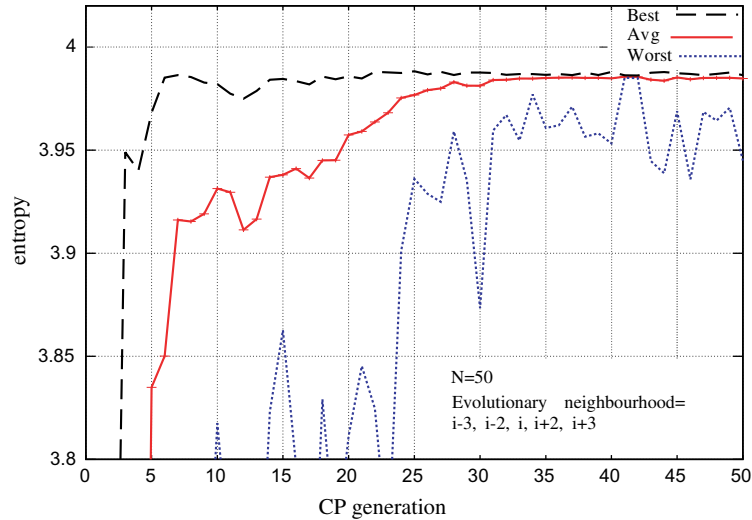


Fig. 5. A single run of CP evolutionary process.

with initial random configuration of states and a set of assigned rules evolved during $M = 4096$ time steps. Running CAs with a given set of rules was repeated for $C = 300$ initial configurations. Fig. 5 shows an example of running CP for the evolutionary neighborhood $i - 3, i - 2, i, i + 2, i + 3$. One can see that whole CAs is able to produce very good PNSs after about 40 generations (see, the average value avg of the entropy close to 4).

A typical result of a single run of an evolutionary process starting with a random rules assigned to cells of CAs is discovering by CP a small set of good rules which divide the cellular space of CAs into domains-areas where the same rules, short ($r = 1$) or long ($r = 2$), live together (see Table 1). Evolutionary process is continued on borders of domains where different rules live. This process may result in increasing domains of rules which are only slightly better than neighboring rules, which domains will decrease and finally disappear. This happens in particular when two neighboring domains are occupied respectively by the same short rules and the same long rules. The search space of short rules is much smaller than the search space of the long rules. Therefore better short rules are discovered faster than better long rules, and for this reason long rules are gradually replaced by short rules. To limit this premature convergence of short rules, the short and long rules are initially randomly assigned to cells in the proportion of 1:3 in all subsequent experiments.

The purpose of the experiments which followed was to discover an enlarged set of rules (to enlarge the key space of cryptography system) which working collectively would produce very high quality PNSs. It was noticed that in a single run of CP the evolutionary algorithm produces typically a small set of rules with a very high value of the entropy. In the result of evolutionary searching process a set of 8 short rules (including 5 rules found by [16]) and a set of 39 long rules was found.

Table 1
Domains in a final population of a evolutionary process

Rule	Rule name	Fitness value
<i>Generation 50</i>		
01011010	90	3.98924
01011010	90	3.98943
01011010	90	3.98920
01011010	90	3.98981
00110011110011000011001111001100	869020620	3.98924
00110011110011000011001111001100	869020620	3.98959
00110011110011000011001111001100	869020620	3.98940
00110011110011000011001111001100	869020620	3.98906
00110011110011000011001011001100	869020364	3.94157
00110011110011000011001111001100	869020620	3.98960
00110011110011000011001111001100	869020620	3.98952
00110011110011000011001111001100	869020620	3.98929
00110011110011000011001111001100	869020620	3.98931
00110011110011000011001111001100	869020620	3.98933
00110011110011000011001111001100	869020620	3.98955
00110011110011000011001111001100	869020620	3.98964
00110011110011000011001111001100	869020620	3.98911
00110011110011000011001111001100	869020620	3.98941
00110011110011000011001111001100	869020620	3.98952
00110011110011000011001111001100	869020620	3.98933
00110011110011000011001111011100	869020636	3.97190
00110011110011000011001111001100	869020620	3.98981
00110011110011000011001111001100	869020620	3.98940
00110011110011000011001111001100	869020620	3.98930
00110011110011000011001111001100	869020620	3.98978
00110011110011000011001111001100	869020620	3.98922
00110011110011000011001111001100	869020620	3.98922
00110011110011000011001111001100	869020620	3.98957
01011010	90	3.98977
00110011110011000011001111001100	869020620	3.98949
01011010	90	3.98971
01011010	90	3.98988
01011010	90	3.98950
01011010	90	3.98945
01011010	90	3.98934
01011010	90	3.98935
01011010	90	3.98897
01011010	90	3.98942
01011010	90	3.98961
01011010	90	3.98962
01011010	90	3.98960
01011010	90	3.98970
01011010	90	3.98962
01011010	90	3.98933
01011010	90	3.98943
01011010	90	3.98955
01011010	90	3.98927
01011010	90	3.98925
01011010	90	3.98935
01011010	90	3.98948
Global fitness of automata: 3.99976		

228 6. Analysis and comparison of results

229 The entropy used as the fitness function for evolution CA rules producing high
230 quality PNSs is only one of existing statistical tests of PNSs. None of them is enough
231 strong to claim statistical randomness of a PNS in the case of passing a given test.
232 For this purpose uniform CAs consisting of 50 cells evolved during 65536 time steps
233 with each single discovered rule. Each PNS produced by CAs was divided into 4-bit
234 words and tested on general statistical tests such as the entropy, χ^2 test, serial corre-
235 lation test [6] (some weaker rules after this testing were removed), and next on a
236 number of statistical tests required by the FIPS 140-2 standard [12], such as monobit
237 test, poker test, runs test, and long runs test.

238 Table 2 presents the results of testing rules against the FIPS 140-2 standard. The
239 best scores were achieved by rules 30, 86, 101, 153 and by 8 long rules. Rules 90, 105,
240 150 and 65 [16] working separately in uniform CAs obtained good results in test of
241 entropy and long runs test, quite good results in serial correlation test and monobit
242 test but were weak in χ^2 test, poker test and runs test. However this set of rules work-
243 ing collectively in nonuniform CAs achieves good results (see, Table 3).

244 For this reason only 10 rules were removed from discovered set of rules which
245 have passed the FIPS 140-2 standard testing. These rules were worse than Tomassini
246 and Perrenoud rules. However passing all statistical tests does not exclude a possi-
247 bility that the PNS is not suitable for cryptographic purposes. Before a PNS is ac-
248 cepted it should pass special cryptographic tests.

249 Therefore rules which passed tests were next submitted to a set of Marsaglia tests
250 [7]—a set of 23 very strong tests of randomness implemented in the Diehard pro-
251 gram. Only 11 rules passed all 23 Marsaglia tests. These are short rules 30, 86,
252 101, and long rules 869020563, 1047380370, 1436194405, 1436965290, 1705400746,
253 1815843780, 2084275140 and 2592765285.

254 The purpose of the last set of experiments was a selection of a small set of short
255 and long rules for nonuniform CAs which working collectively would provide a gen-
256 eration of very high quality PNSs suitable for the secret key cryptography. Simple
257 combination of different rules which passed all Marsaglia tests in nonuniform CAs
258 have shown that resulting PNSs may have worse statistical characteristic than PNSs
259 obtained using uniform CAs. On the other hand, experiments with Tomassini and
260 Perrenoud rules show that rules that separately are working worse can provide better
261 quality working collectively. For these reasons rules 153 and some long rules which
262 obtained very good results in general tests but not passed all Marsaglia tests were
263 also accepted for the set of rules to search a final set of rules.

264 In the result of combining rules into sets of rules and testing collective behavior of
265 these sets working in nonuniform CAs the following set of rules has been selected:
266 86, 90, 101, 105, 150, 153, 165 ($r = 1$), and 1436194405 ($r = 2$; Fig. 6). Among the
267 rules are 4 rules discovered in [16]. The set of found rules have been tested again
268 on statistical and cryptographic tests using nonuniform CAs with random assign-
269 ment of rules to CA cells. Table 3 presents the results of testing this new set of rules
270 and compares the results with ones obtained for Tomassini and Perrenoud rules. One
271 can see that results of testing both sets on general tests and FIPS 140-2 tests are sim-

Table 2
Testing rules against the FIPS 140-2 standard

No.	Rules	Monobit test	Poker test	Run test	Long run test
<i>Rules found by Tomassini and Perrenoud</i>					
1	30	50	50	50	50
2	90	46	0	23	50
3	105	41	0	4	50
4	150	45	0	12	50
5	165	46	0	14	50
<i>Rules of radius $r=1$ (No 6, 7, 8) and $r=2$</i>					
6	86	50	50	50	50
7	101	50	50	50	50
8	153	50	50	50	50
11	728094296	50	5	17	50
12	869020563	50	50	49	50
13	892695978	50	2	9	50
14	898995801	50	0	4	50
15	988725525	50	11	16	50
17	1042531548	38	0	12	50
18	1047380370	50	50	47	50
19	1367311530	50	5	5	50
20	1378666419	42	3	16	50
21	1386720346	50	20	32	50
22	1403823445	50	19	32	50
23	1427564201	46	1	27	50
24	1436194405	50	50	50	50
25	1436965290	50	50	50	50
27	1457138022	50	0	0	50
28	1470671190	50	50	49	50
29	1521202561	40	0	3	50
30	1537843542	50	48	37	50
31	1588175194	50	21	27	50
32	1704302169	50	50	50	50
33	1705400746	50	50	50	50
35	1721277285	49	1	4	50
37	1721325161	50	50	50	50
38	1746646725	49	6	2	50
39	1755030679	50	49	34	50
43	1815843780	50	50	50	50
45	2036803240	50	0	0	50
46	2084275140	50	50	50	50
47	2592765285	50	50	49	50

ilar. However, the main difference between these results can be observed in passing Marsaglia tests: while the new discovered set of rules passes all 23 Marsaglia tests, the Tomassini and Perrenoud set of rules passes only 11 tests. Fig. 7 shows a space-time diagram of both set of rules working collectively.

The secret key K which should be exchanged between two users of considered CA-based cryptosystem consists of a pair of randomly created vectors: the vector R_i

Table 3

Comparison of rules found by Tomassini and Perrenoud [16] and new set of discovered rules

Test	Tomassini and Perrenoud rules (90, 105, 150, 165)	Discovered rules (86, 90, 101, 105, 150, 153, 165, 1436194405)
Min entropy	3.9988	3.9987
Max entropy	3.9998	3.9997
Min χ^2	5.0254	6.998
Max χ^2	26.396	30.805
Min correlation	0.00007	−0.00006
Max correlation	0.02553	0.01675
Monobit test	50	50
Poker test	50	50
Run test	50	50
Long run test	50	50
Number of passed Marsaglia tests	11	23

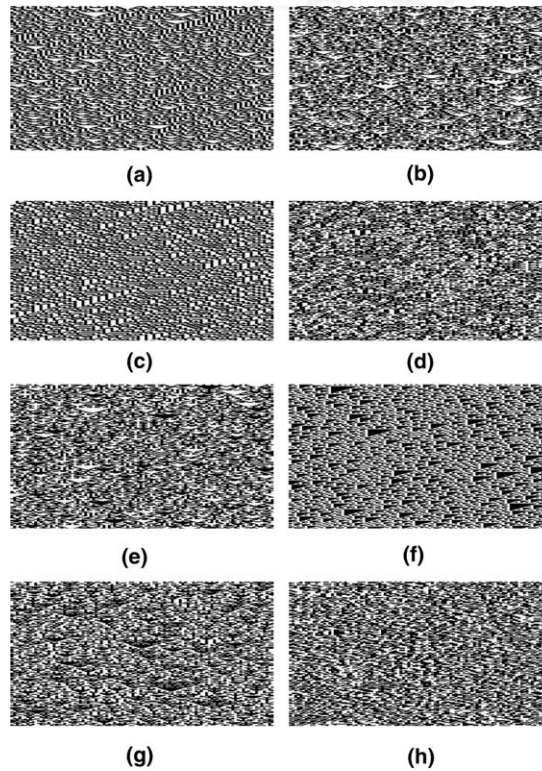


Fig. 6. Space-time diagram of CAs with $N = 100$ and $M = 200$ time steps working with (a) rule 86, (b) rule 90, (c) rule 101, (d) rule 105, (e) rule 150, (f) rule 153, (g) rule 165 and, (h) rule 1436194405.

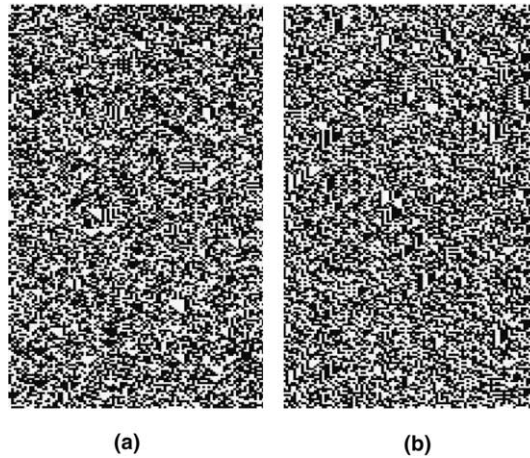


Fig. 7. Space-time diagram of CAs with $N = 100$ and $M = 200$ time steps working collectively with (a) randomly assigned Tomassini and Perrenoud [16] rules, and (b) with new set of discovered rules.

informing about assigning 8 rules to N cells of CAs and the vector $C(0)$ describing an initial binary state of CA cells. The whole key space has therefore the size $8^N \times 2^N$. The key space is much larger than the key space ($4^N \times 2^N$) of 1D CA-based system [16]. Therefore the proposed system is much more resistant for cryptographic attacks.

7. Conclusions

In the paper we have reported results of the study on applying CAs to the secret key cryptography. The purpose of the study was to discover a set of CA rules which produce PNSs of a very high statistical quality for a CA-based cryptosystem which is resistant on breaking a cryptography key. The main assumption of our approach was to consider nonuniform 1D CAs operating with two types of rules. Evolutionary approach called CP was used to discover suitable rules. After discovery of a set of rules they were carefully selected using a number of strong statistical and cryptographic tests. Finally, the set consisting of 8 rules has been selected. Results of experiments have shown that discovered rules working collectively are able to produce PNSs of a very high quality outperforming the quality of known 1D CA-based secret key cryptosystems, which also are much more resistant for breaking cryptography keys than known systems.

8. Uncited reference

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