Literature Survey of Post-Quantum Cryptography

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Abstract. Current cryptography methods rely heavily on how computationally infeasible it is to use brute force attacks on trapdoor functions. In particular, methods like RSA and ECC rely on the difficulty of three algorithms: the Integer Factorization, Discrete Log, and Elliptic-Curve Discrete Logarithm problems. However, recent advances in quantum computing mean that algorithms like Shor's Algorithm, that take advantage of quantum mechanics to quickly and efficiently make accurate guesses on prime factors and solve logarithmic problems, are able to break our current encryption methods much faster. Generally, the best classical attack against encryption algorithms like RSA takes a superpolynomial amount of time, while Shor's algorithm would be able to crack it within a polynomial amount of time. This could mean that once there is a powerful enough quantum computer, many of the current encryption methods that are relied on to keep the privacy, security, and veracity of data, could become entirely obsolete. To rectify this, newer approaches to encryption are being found and used in what is called "post-quantum cryptography". The goal of these algorithms is to find new types of problems that Shor's Algorithm is not capable of solving. These post-quantum cryptographic algorithms use many different methods of encryption, including complex polynomial math, stateless hash based approaches, code-based cryptography, and more. These new forms of encryption can serve as new standards that provide protection against classical and quantum attacks. While the concerns over Shor's algorithm may never come to pass, creating newer encryption and signature methods will help create a more diverse cryptographic ecosystem, and will help create a heavier focus on security and privacy in the meantime. This paper focuses on the problems faced by these algorithms, the ways many of them overcome them, their impacts for citizens, trends in algorithms and methods, and the commonalities between all of them.

Keywords: post-quantum, cryptography, encryption, Shor's Algorithm, Grover's Algorithm, quantum-safe, quantum-resistant, NIST

1 Introduction

Cryptography has been an essential part of governments and interactions for centuries, but never has it been more ubiquitous than now. Cryptography is used everywhere to ensure the privacy and security of citizens, organizations, and governments. It is used to help secure infrastructure, financial and medical data, communication, and more. It is essential for every transaction and exchange on the internet, and is in use by essentially anyone that uses the internet or online services. The cryptography underlying all of this generally relies on the hardness of three problems: the Integer Factorization, Discrete Log, and Elliptic-Curve Discrete Logarithm problems. Each of these problems serve to create one-way functions for cryptography, that is to say that they allow for easy computation and operations one way, and then computationally infeasible computations and operations back the other way, without the requisite data. This is generally leveraged to create public-key cryptography systems, which are described in more detail below. However, these public-key systems are at the core of modern cryptography and are what allows for the security and privacy that has now come to be expected on the internet.

The issue is that a mathematician at MIT named Peter Shor created an algorithm in 1995, that is now colloquially known as Shor's Algorithm, that is capable of quickly and efficiently solving the aforementioned three problems in record time. The best classical attacks on current encryption methods normally take a superpolynomial amount of time, but Shor's Algorithm, which takes advantage of quantum computing and can quickly and accurately guess prime factors, and solve logarithmic problems, is capable of solving these problems in polynomial time. This effectively means that whereas brute forcing one of those problems before would take hundreds or even thousands of years, it can now be accomplished in a few days or minutes. This

means that many encryption standards, like RSA and ECC, that are still in use in many places, will no longer be secure once there is a powerful enough quantum computer. To solve this problem, NIST (National Institute of Standards and Technology), has created a competition to select the next standard of encryption that will be resistant to classical attacks, as well as attacks from quantum computers using Shor's algorithm, and eventually other attacks. These algorithms are known as post-quantum algorithms and are part of post-quantum cryptography, which is a branch of cryptography that deals with creating systems that can withstand the aforementioned attacks.

It is also worth mentioning that there is another quantum algorithm that is cause for some concern. This algorithm is called Grover's Search Algorithm or Grover's Algorithm, and mainly applies to symmetric encryption (non public-key) standards, and is not quite as concerning as Shor's Algorithm. It is theoretically easily counterable by increasing the security parameters of current symmetric encryption standards.

Overall, the threat from Shor's and Grover's algorithms is a real one, it is cause for genuine concern over the state of cryptography, and the corresponding ramifications on privacy and security. However, there are already many alternatives, and there is still some time before Shor's algorithm could even be a threat to any system. The general estimates say that Shor's Algorithm would need a quantum computer with 1000-1500 qubits, before it could truly break lower parameter encryption like ECC [30].

1.1   Motivations and Contributions

Cryptography is now a crucial component of every single interaction on the internet. It helps regulate and ensure the safety and privacy of everyday exchanges from financial information to medical information to sensitive government data. Secure cryptography is a necessary part of the internet and is used for billions of transactions and by billions of people. However, with the advance of quantum computers, these algorithms will become obsolete, and new algorithms for post-quantum cryptography will be necessary for the protection of user and governmental data. This paper looks at current solutions in the post-quantum cryptography space, and analyzes the necessity of them, as well as some of the challenges in implementing these solutions.

2   Background Information

2.1   Asymmetric Cryptography

Asymmetric Cryptography is the backbone of our current encryption infrastructure and requires several pieces to function properly. When using asymmetric key cryptography, it can also be referred to as public-key cryptography, this is because the system uses a public key and a private key.

Public Key The public key in a public-key system is generally a number generated by a cryptographic function for each user in a system. It is known by everyone, and is used to encrypt messages. For example, if Alice, wants to send a message to a different user, Bob, but doesn't want the information to be known to a malicious third party, then she can use Bob's public key, which is known to everyone, to encrypt the message. This does not compromise the security of the message, but means that it is now encrypted, and can in theory only be decrypted by Bob who has the private key that goes with his public key [22].

Private Key The private key in a public-key system is generally a number, or set of different numbers used in tandem, that correspond to a user's public key. Private keys are what make public-key systems work, they give the user the knowledge needed to take a message encrypted with their public key and decrypt it. Without the private-key it is computationally infeasible to decrypt the message. This is what's called a trapdoor function or a one-way function.

Trapdoor Functions Trapdoor functions provide a major part of the foundation of modern cryptography. These functions are called trapdoor functions or one-way functions, because they work to take a message, perform an operation on it, and then obscure it to the point where it can't be undone. However, in cryptography, these functions have clever mathematics that allows a user with the right knowledge to undo the

operation and get back to the original message. It is similar to taking 100 different pages of paper and shredding them. If a third party tries to put them back together, it will take them an unreasonable amount of time, however, since what was on each page is known to us, it is much faster, but still not instant, for us to piece the pages back together [45].

Putting it Together In a public-key cryptosystem, there are several necessary pieces. There is the system itself, which is needed to generate the public and private keys, to encrypt and decrypt messages using trapdoor functions, and finally a signature scheme is necessary. Signature schemes are used to prove the authenticity of the message, and can be thought of like signatures on check. With all of these pieces, a system is capable of fully encrypting and decrypting messages and ensuring authenticity and message integrity.

2.2   Symmetric Cryptography

Symmetric Cryptography systems have been used in some form throughout history. Symmetric Systems unlike asymmetric systems require that there be a key in some form. That key is then shared between the two participating parties, and is then used for both encryption and decryption. One of the first examples was the Caesar Cipher, which was a basic shift cipher. This cipher used a simple alphabetic shift pattern, where the two participating parties would agree on how much to shift a letter. For example, shifting the alphabet over by one, so A becomes B and B becomes C and so on. This knowledge is required for both the encryption and decryption, and is needed by both parties for the Caesar Cipher, and symmetric systems generally, to be used correctly.

2.3   Quantum Cracking

As mentioned in the Introduction, with the increasing power of quantum computers, the feasibility of attacks against current computational methods is rapidly increasing. Conventional cryptography relies on the difficulty of three problems. The first problem is the Discrete Log Problem, the second is the Integer Factorization Problem, and the final is the Elliptic-Curve Discrete Logarithm Problem. All of these underlie current methods. For example, RSA encryption uses the difficulty of the Integer Factorization Problem to create the keys necessary for encryption and decryption, and ECC uses the difficulty of the Elliptic-Curve Discrete Logarithm Problem. However, Shor's Algorithm, came in part, as a solution to the Discrete Log Problem, and is able to rapidly and efficiently solve all 3 of the aforementioned problems using a quantum computer. This means that the main method of protection for many cryptosystems will be entirely obsolete in the face of operational quantum computers. The algorithm works best in quantum systems, especially quantum systems with a higher number of what is referred to as qubits. In a normal computer system, the most basic unit of information is a bit, which represents a logical state where a value is either 1 or 0. Bit is actually an amalgamation of binary integer, and can be thought of as representing either an on or off state, and then using binary code and increasing layers of complexity, we get the computers that we use today. In a quantum system the most basic unit of information is not a bit, but a qubit (short for quantum bit). These qubits do not represent either on or off like a regular bit, but rather both numbers at once. Essentially, Shor's algorithm takes advantage of how qubits function to create a system that efficiently and effectively outputs the highest probability prime factors of a number. What would normally take current computers say 79 million years to crack, with Shor's algorithm it would take quantum computers only a few years. This is obviously an incredibly big issue, because we use public-key cryptography all of the time, and so much of the internet, hardware, and infrastructure rely on these methods of encryption that would be rendered almost useless.

2.4   Post-Quantum Algorithms

Post-Quantum Algorithms are the necessary response to the increasing power of quantum computers. Due to the algorithms mentioned above like Shor's Algorithm and Grover's Algorithm, many of the most ubiquitous encryption methods will rapidly become obsolete. Post-Quantum Algorithms are cryptosystems that are specifically designed to be able to withstand both regular attacks and quantum ones. These algorithms generally use more complex mathematics, and focus on new solutions to avoid using prime number mathematics.
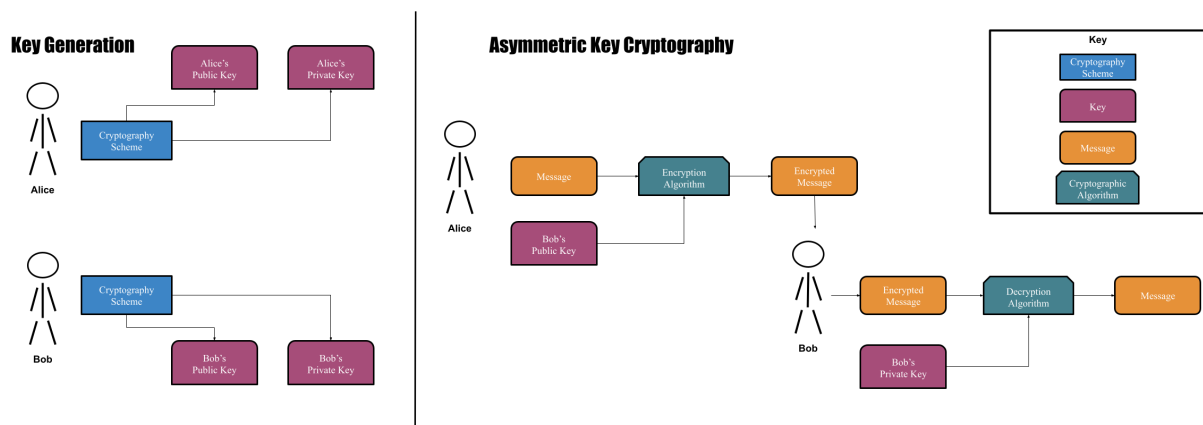
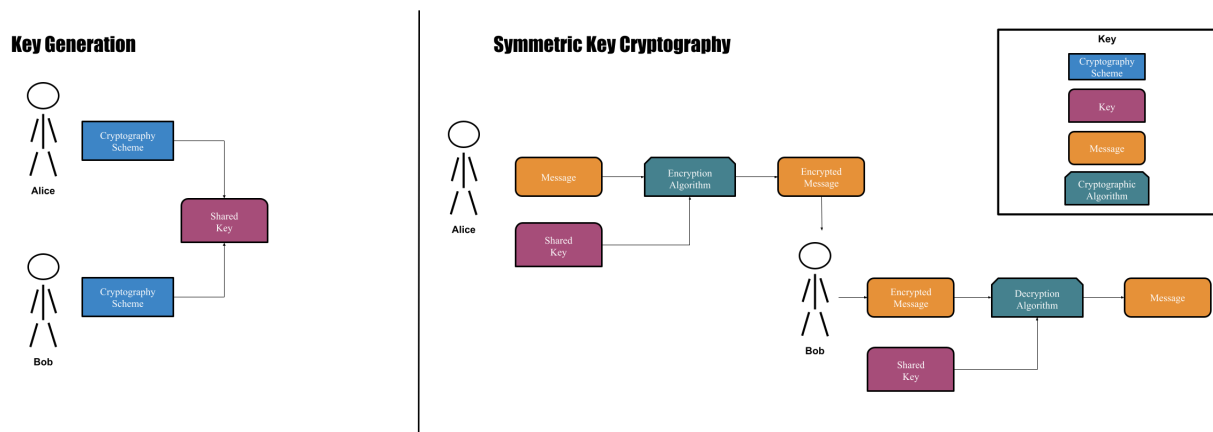Fig. 1: Diagram of Asymmetric Cryptography

Fig. 2: Diagram of Symmetric Cryptography

For example, some systems use a polynomial lattice structure, which essentially limits the possible permutations of the polynomial after each mathematical operation. One example is the NTRUEncrypt algorithm, which uses trapdoor operations on randomly generated invertible polynomials to perform encryption and decryption [9]. Other Post-Quantum Algorithms use modified versions of existing protocools. For example the SIKE algorithm uses Supersingular Isogeny Key mathematics. The algorithm uses a modification of the Diffie-Hellman algorithm, which has been a long-existing algorithm and would allow for easier implementation methods [8]. Other systems may use complex matrix mathematics, or other, newer methods.

3 Literature Survey

Within the past few decades encryption has become one of the most ubiquitous technologies in the world and is used and required for essentially all digital transactions and exchanges. It is a crucial part of the security and privacy that many citizens have come to expect, and it is a crucial part of corporate and governmental data. However, while the necessity and ubiquity of encryption have increased in the past decades, the attacks against them have as well [13] . There is now an increasing threat by quantum computers to current encryption methods as established above. If this threat perseveres then the security and privacy of citizens, corporations, and governments will be at stake. Highly sensitive documents could be exposed, military, traffic, and energy systems could all be open to more frequent and dangerous attacks because of it [39]. The most pressing threat comes from Shor's algorithm [42], a quantum algorithm created by Peter Shor over 20 years ago, that is capable of defeating many current public-key encryption and signature methods in polynomial time, compared to the superpolynomial time that it currently takes to break many of these algorithms. Shor's algorithm presents a somewhat unique challenge because there are no functional implementations of it yet, but the threat alone has been a major impetus behind many of the biggest breakthroughs in cryptography in the past several decades. Organizations like NIST and governments are working to find alternatives to current methods of encryption that are resistant to quantum and classical attacks (NIST Post-Quantum Cryptography Challenge)[3]. These algorithms are the ones called post-quantum algorithms.

3.1 Issues faced

As previously established, the need for post-quantum cryptography is increasing exponentially. To ensure the security of data, infrastructure, hardware systems, and more, it is important to quickly implement and roll out these algorithms. However, as shown by previous implementations of algorithms and their respective roll outs, this is much easier said than done. For example, the roll out of AES is still occurring as of writing this, and the roll out began approximately two decades ago [14]. AES was simply upgrading to a newer version of the same algorithm. However, many of the post-quantum algorithms that are discussed here build on entirely new systems and would likely have an even longer time to roll out and accept. While there are many other problems that post-quantum cryptography must overcome, this is likely the largest. Many of the problems that are faced by post-quantum algorithms are addressed in the proceeding sections, but the roll out still remains the largest hurdle. The change to post-quantum algorithms will be time-consuming and for many companies and organizations, it may be incredibly costly as well, but the alternative of not securing data will likely be much worse. Beyond the roll out and acceptance of post-quantum algorithms, there are many more specific and technical problems that they face.

Another key problem is the computational feasibility and stability of these algorithms. For example, while certain families of algorithms appear to hold great promise, the implementations of them can be incredibly difficult and fragile. This is a problem that other algorithms seek to fix. Another issue faced is that while post-quantum algorithms must be able to withstand quantum attacks, they must also be able to withstand classical attacks. This means that they almost have to fight a war on two fronts. Finally, another problem that these algorithms face is that they must be scalable. It is important that they are able to scale up as needed, and that the parameters or bit sizes currently are enough to meet current standards, but that these algorithms can also deal with larger parameter sizes. This is a key issue for the future when it will be necessary to increase the bit sizes as computers improve.

While there are more problems than just the ones mentioned above, they are covered in the proceeding sections. There is not a single best answer, choice, or algorithm that can easily resolve all of the aforemen-

tioned issues, but each algorithm has its own benefits, and each helps to move us closer to a better solution, a more diverse crypto ecosystem, and a more private and secure future.

3.2   Updates on Existing Algorithms

Taking a look at the NIST Round 3 Post-Quantum Finalists holistically yields a distinction of algorithms into two larger categories. The first category is updates on existing algorithms, for the purposes of this paper, those are algorithms that existed prior to the creation of Shor's algorithm in 1995 that have been modified or updated in some way to make them quantum-safe. The second category in this paper is new types of algorithms which are algorithms that came after the invention of Shor's Algorithm and use new techniques, methods, or types of mathematics without a direct existing foundation. The benefit of using updated versions of existing algorithms is that many aspects of them are better tested and have withstood more attacks over a longer span of time [1]. Additionally, these algorithms may have existing implementations and may even be in use in certain organizations and by certain people, making a roll out slightly easier.

One of the best examples of an update on an existing algorithm is the Classic McEliece algorithm which builds on the existing McEliece algorithm made by Robert McEliece in 1978. The algorithm is a code-based encryption algorithm, which means that it uses error correcting codes, like Hamming Codes, as a way of encrypting data. The public key of the system is given by a Goppa code, which is a code generated by an algebraic curve over a finite field. The ciphertext is then a codeword and random errors, and the private key allows the user to extract the codeword from the cipher text and remove the errors [2]. The Classic McEliece algorithm brings together decades of work and refinement on the algorithm and includes using work by Niederreiter [34] to create a dual PKE, improvements to the efficiency of the algorithm by using additive fast fourier transforms (FFTs) (Bernstein et. al, McBits) [18]. Overall, the work on the Classic McEliece algorithm has come together to provide an incredibly fast and incredibly secure cryptosystem, the benefits of which are numerous. While, the public keys generated by the Classic McEliece algorithm are quite large, work from (Bernstein et. al, Attacking and defending the McEliece cryptosystem) [19] has allowed for the system to use smaller key sizes while maintaining the same level of security. While the Classic McEliece system has its disadvantages, it provides the highest level of security of any other algorithm presented, and has withstood decades of attacks against it, and seems to be mostly immune to any sort of quantum attacks, because of its use of a code-based system. This means that even though Shor's Algorithm presents a threat to most other public keys or KEM (Key Encapsulation Mechanisms), the Classic McEliece system seems to be untouched by it. The difference is that it seems as though Grover's Algorithm, which is discussed later, may provide some avenues of attack on the algorithm. For systems that need high security and where computing power or speed are not the foremost concerns, the Classic McEliece algorithm is the best choice [20].

Another example of an update on existing algorithms is Multivariate Polynomial Encryption. This is a HFEv- (Hidden Field Equation Variant) signature system that has been unbroken up until at least September 2017[36]. The HFEv- key is a sequence of polynomials in the n-variable ring F[x1,...,xn] over the field F where m ¡= n. These polynomials are quadratics with no squared terms, and each polynomial has the form seen below:

$$a_i + \sum_j b_{i,j} x_j + \sum_{j<k} c_{i,j,k} x_j x_k \text{ with } a_i, b_{i,j}, c_{i,j,k}$$

The signer chooses the polynomials with a certain structure that will allow him to solve these simultaneous quadratics. Thanks to HFEv-, if the equations are in just one variable, there are general methods to solve polynomial equations of degree 'd' over finite fields in (dlogq)O(1) time. The signer views an n-bit signature (Sn1, ..., Sn) that is a randomly chosen v-bit string in the field F, and v ¡= n-m, along with certain bit elements. This view is secret, meaning that v and q cannot be standardized, and the signature is passed to an invertible n x n matrix chosen by the signer, which is also secret. This creates a linear function of S1, ..., Sn that is not public.The singer also then views an m-bit hash value along with a random (n-v-m)bit string, which is also not standardized (also passed through a secret matrix). The signing process consists of choosing the random bits mentioned, constructing the hash value, and then trying to solve for S as such: There is a polynomial that specifies the secret equation connecting S and H, P(S, r1,...rv). The signer writes each bit of S as a linear combination of s1, ..., sn to convert the equation into public quadratic polynomials.

Multivariate polynomials are preferred signatures because they create the shortest signatures. However, some of these schemes have been broken in the past. Solutions to multivariate polynomials are NP hard over any field.

Many signature algorithms are building on existing work. One of which is using hash-based signatures built upon the work of Lamport and Merkle [17]. For a Lamport one-time signature, the user chooses strings x0 and x1 which make up his secret key. The public key is created with (h(x0), h(x1)) where h is a hash function that is known by all. If the user wants to sign either 0 or 1, the verifier computes h(x0) or h(x1) and checks the result against the public key. To sign an m-bit message, the user takes 2m strings for the secret key, where X=(x10, x11, x20, . . ., xm0, xm1) and takes their hash values Y=(h(x10)), h(x11), . . ., h(xm1)). One issue with this is that security degrades rapidly if the user signs more than one message under the same key. To overcome this problem, Merkle suggested to combine 2 to the 'k' power public keys into one key that can be used to verify all 2 to the 'k' power signatures [31]. To start, we create 2 to the 'k' power key pairs for Lamport's one time signature as described earlier, and then arrange the public keys as leaves on a binary tree. Then, to compute the public key which combines all of the 2 to the 'k' power keys, we start at the leaves of the binary tree and compute the hash of each pair of public keys connected by edges. Continuing through the levels, the value at the root node is the public key of the system, which is a single hash value. To make it possible to check these signatures, they must include more information. This signature also includes all the siblings to the nodes encountered on the path to the root. Improvements to these exist, including the SPHINCS-Simpira stateless hash-bashed signature system [40]. This system relies on a 256-bit to 256-bit hash function along with a 512-bit to 256-bit hash function. The first function needs to be preimage resistant, second- image resistant, and also undetectable. The second function needs to be second-image resistant. This in theory should allow security to hold for both classical and quantum attacks.

Hash functions are used in all signature systems, and standard hash functions are affected by Grover's attack, and not Shor's. Because of this, Merkle's simple signatures are good candidates for post-quantum signatures, and computing hash functions is very fast.

Another update on an existing algorithm is the SIDH cryptosystem, which is a system that uses Supersingular Isogeny keys and builds on the Diffie Hellman Key-Exchange. While this algorithm was made within the past decade, it loosely builds on the work of Elliptic Curve Cryptography, as well as the principles of the Diffie-Hellman-Merkle Key Exchange (Costello, Supersingular isogeny key exchange for beginners) [15] and is therefore considered an update on an existing algorithm for the purpose of this paper. The system presents a unique learning challenge for anyone reading on it, as it requires a heavy background in mathematics and cryptography. The system uses supersingular elliptic curves in a two secret isogeny computation. The first stage is scalar multiplication on a public curve E, to generate a secret point S, which is given by $S = Q + [k]P$ where Q and P are public points along the curve, and k is a secret integer. Once S is generated, the isogeny computation is performed, $E \rightarrow E/¡S¿$, which computes the image of the public curve, as shown below (Costello, The Case for SIKE) [16].

The benefit of this two step system is that there are now decades of research on protecting the first stage, due to ECC, and attacking the second stage is much more difficult, and most of the existing side-channel attacks can be mitigated by adding in randomness to the computations, that is to say, instead of just computing the image, also computing random points.

Finally, there are several other updates on existing algorithms. For signature algorithms, the SPHINCS+ algorithm takes a hash-based system and updates it to be a stateless hash-based system. The specifics of this are covered later in the Post-Quantum Signatures section. Other algorithms use modifications of the aforementioned algorithms, like using Classic McEliece for signature schemes. Overall, the algorithms provide more possibilities for post-quantum standards, and the work that has been done on all of them has contributed greatly to the current state of cryptography. Beyond that, algorithms like Classic McEliece may provide insight into creating quantum-proof algorithms that are not affected by Shor's or Grover's algorithms. Even though new types of algorithms appear as though they may provide better security or scalability, these modifications and updates on existing algorithms would allow for easier roll out, and many have withstood the test of time.

3.3   New Classes of Algorithms

The second holistic classification of algorithms that we have made in this paper is new types of algorithms. These are algorithms that use new techniques and methods that have been created since the advent of Shor's Algorithm. The benefit of using new types of algorithms is that many of them are based on more difficult problems that Shor's algorithm is not well-suited to solve, and they also have more scalability than some updates on existing algorithms. That is to say, that these algorithms can increase their parameter sizes while still remaining incredibly fast and efficient. While these algorithms have large potentials, they are still in need of more testing and confirmation as to their security levels.

One of the most noticeable trends with the newer algorithms is the use of a lattice-based system. These lattice-based systems use lattices as their foundation, which come from group theory and abstract algebra. Lattices are a set of points in an nth-dimensional space that have periodicity, as shown in the figure below from Micciano [33].

The benefit of using lattice-based algorithms is that they appear to provide protection against classical and quantum attacks. Many of the NIST Post-Quantum candidates use some version of lattice-based cryptography, although they all have a slight variation, modification, or take on it. These will be analyzed in more depth below. However, it is important to note that while lattice-based cryptography remains secure for now, there has been continuous work to improve attacks against it. The biggest challenge has come from lattice-reduction which is an attack that reduces the size and possibilities of the lattice, and can cripple certain algorithms [29][23].

One of the first examples of lattice-based cryptography was the Nth degree Truncated polynomial Units (NTRU) algorithm, which has since become a family of algorithms that include NTRUEncrypt, NTRU-Prime, and more. The NTRUEncrypt algorithm is currently one of the NIST Post-Quantum cryptography finalists, and builds on the original NTRU algorithm. It uses specifically polynomial lattice-based cryptography, and has a somewhat unique key generation system. It first maps data to a binary polynomial, and then it randomly generates two polynomials f and g. Then f is inverted and is truncated by q and p, where q and p are two of the security parameters. It then uses a combination of the inverses as the private key, and then performs several operations to generate a public key that is then used to encrypt the mapped data [26]. The system is somewhat complex to build, but can be efficiently built using Fast Fourier Transforms to perform more computationally complex mathematics then RSA, but in a fraction of the time. The benefit of NTRUEncrypt is that it is a Key Encapsulation Mechanism (KEM), so it is capable of encrypting symmetric encryption with the asymmetric encryption that the system has built. It also has had work performed on it for the past two decades, and much of that work serves as the basis for other lattice-based systems anyway [9]. The main issue is that building the system to be as efficient as possible can be very difficult and fragile, and there are well known attacks against lattices, but specifically NTRU's polynomial lattice-based structure. This means that given more time, it could end up being useless against not only quantum attacks, but classical. However, it is still one of the top competitors, provides efficient and secure encryption when made correctly, and has an existing suite of other algorithms it can work with including NTRUSign and FALCON for signatures.

Another top competitor in the NIST finalists pool is the SABER algorithm, which is another KEM, that uses lattice-based cryptography and polynomial mathematics. It specifically uses Module Learning with Rounding, which provides a high-difficulty problem that Shor's algorithm is less capable of attacking [44]. Learning with Rounding (LWR) is generally based on another method called Learning with Errors (LWE), which requires samplings of random noise as part of the algorithm, which ends up getting included in the ciphertext and public key, increasing the size. However, LWR cuts down on the size on its own, and using a module based system allows for interaction and interpolation between the regular versions of LWE and LWR, and their Ring versions [25]. Effectively, the module structure that SABER uses allows for less computational complexity, increased efficiency, and increased security. As shown later on in the Hardware section of this paper, the SABER algorithm provides a good tradeoff between security and speed on hardware systems, providing lower latency, and higher encryption levels (level 3). SABER provides a good compromise between the speed of other types of algorithms like Kyber, and the security of higher security algorithms like Classic McEliece, and is a good candidate for server applications or middle-ground post-quantum encryption usages.

While the SABER algorithm uses Module Learning With Rounding, another competitor, CRYSTALS-KYBER (Kyber), uses Module Learning With Errors (MLWE) [10]. Kyber is one of the top algorithms, and as shown in the hardware section below, provides the highest speed of any other KEM. It has similar difficulty
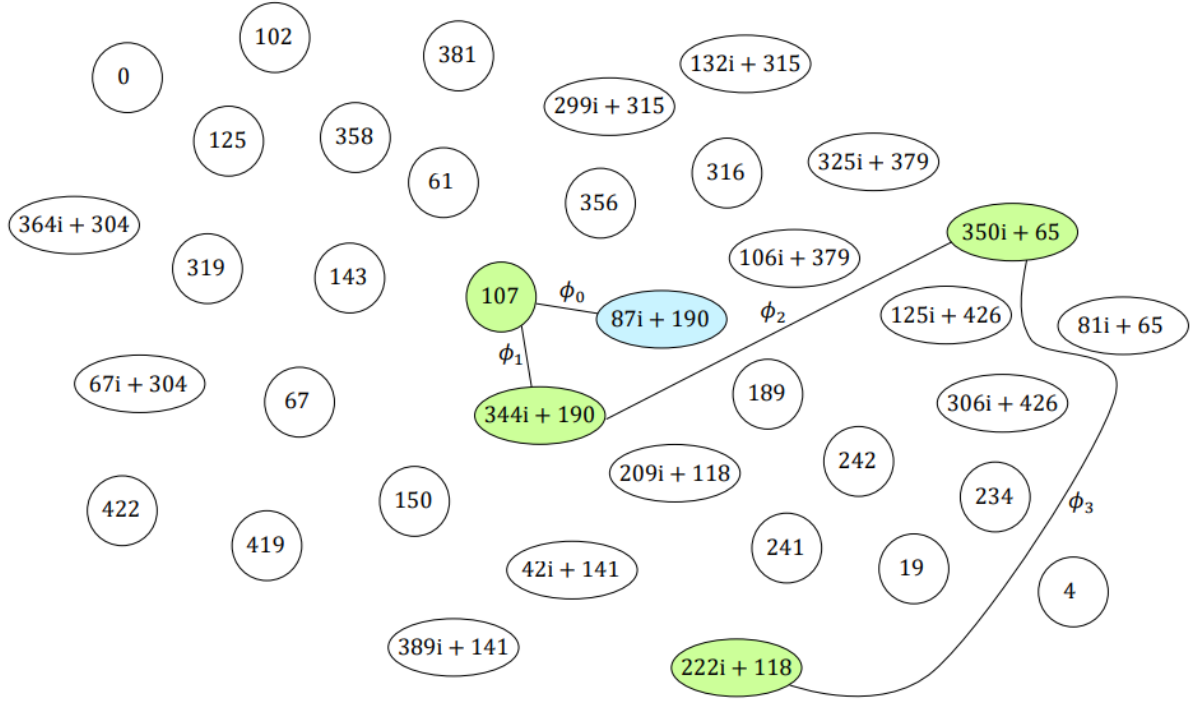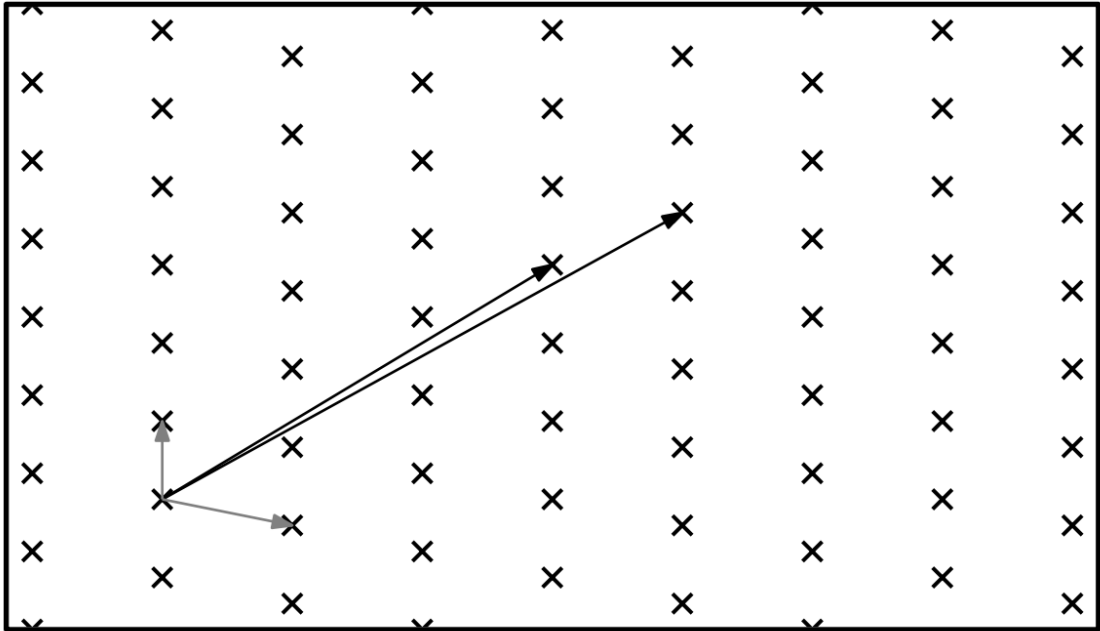
Fig. 3: Isogeny Key Generation [15]

Fig. 4: 2-Dimensional Lattice [33]

to that of SABER, and enjoys similar benefits by using a module version of LWE. Kyber also, similarly to NTRU, has a suite of other algorithms that it can work with, including CRYSTALS-DILITHIUM, which is discussed in the Post-Quantum Signature Algorithm section below. While Kyber has high efficiency, it is one of the lower security algorithms as per NIST's documentation (level 1), and requires relatively powerful hardware systems meaning that it is not a particularly feasible algorithm for hardware systems. The best current attacks against MLWE systems do not take advantage of the structure of the system, and instead focus on attacking the LWE aspect. However, as shown by Miccianno, even with a small parameter size, the hardness of short integer solution and LWE problems is still high [32]. Overall, the indications are that Kyber provides an incredibly efficient and secure, lower level cryptosystem. It would likely be best for private organizations that needed higher speed, but lower security level algorithms, or on hardware systems where security is not the primary concern, like space-based systems. However, its use of the MLWE problem and its connectivity with its suite of other cryptographic algorithms gives it room for improvement in the future, and makes it a valuable competitor.

There are other examples of non lattice-based new cryptographic algorithms, such as Non-Interactive Zero-Knowledge Proof Algorithms (NIZK) that are discussed later in the signature section of this paper, but provide an additional possibility for post-quantum signatures. The majority of algorithms in the NIST Post-Quantum Candidates pool rely on lattice-based cryptography, as shown in the figure below , from NXP [14], and help demonstrate that a lattice-based approach appears to have high potential, but implementations require a high amount of work to ensure their security against classical lattice attacks like lattice reduction [23]. Overall, newer algorithms and their approaches, most specifically lattice-based approaches, provide an exciting avenue for future cryptography, but must be implemented with caution to help avoid many of the attacks against them, and to take full advantage of their speed capabilities. These newer algorithms have already provided many new discoveries and approaches in the cryptographic field, and may provide the necessary feasibility, scalability, and security for a post-quantum standard, but will require more exploration and work.

3.4   Hardware Encryption

Another growing consideration as shown by NIST and their ongoing competitions is the efficacy and use of encryption and post-quantum encryption algorithms on hardware systems. With the recent growth in Internet of Things (IoT) devices, as well as increases in public facing hardware systems for things like infrastructure, it is important to provide these devices with the proper level of security. NIST handles some of this in their post-quantum encryption challenge, but also hosted another challenge for implementations of lightweight encryption algorithms for hardware systems like FPGA's. This would be a big step towards more secure infrastructure, hardware, and IoT systems. A very noticeable trend in the NIST Post-Quantum Cryptography challenge is the additional focus on hardware implementations and optimizations. A look at each algorithm's website can oftentimes show a new focus on the hardware usage of encryption algorithms. For example, on the SIKE website [8], there are 11 entries on software implementations, and 7 entries on hardware implementation. While there is a discrepancy in the numbers, it helps illustrate the new importance that hardware implementation is being given. The importance of having a secure ecosystem including hardware cannot be overstated, and the NIST Evaluation of Post-Quantum Algorithms on Hardware [28] [21] helps demonstrate this, while also effectively evaluating post-quantum encryption and signature algorithms.

The hardware evaluation breaks down the efficacy of post-quantum algorithms in part by their security level, power requirements, latency, space occupation, and several other factors. This effectively means that there is not necessarily one best algorithm recommended by them, but rather the algorithms are recommended based on their categories or possible uses. For example, they make recommendations on algorithms for the lowest security levels, for the best latency, for the best security, for use on IoT devices, for use on servers, and several other categories. These will be broken down below.

As mentioned above, for hardware systems, there is not a single best post-quantum encryption or signature algorithm. Each one has different uses, and is dependent on the user's needs. One of the key points was that there are tradeoffs for each implementation. For example for lower security applications, CRYSTALS-KYBER still provides good security, and has the lowest latency of any other algorithm, but requires the most computing power. While other algorithms like SPHINCS+ and NTRU-HRSS have higher latencies, but are less costly and would function better for FPGA's or IoT devices. Other algorithms like SABER, provide

high security and latency and could be used for server applications where both are necessary. One of the final notes that the paper made was that many of the Key Encapsulation Mechanisms (KEM's), that had higher security levels, could have their latencies reduced by using loop unrolling. For signature algorithms, their latency could be best reduced using loop pipelining.

There are several key takeaways from the NIST Hardware Analysis, and for hardware implementations generally. It is imperative that hardware systems have encryption and signature algorithms on them, especially as they become more interconnected and public facing. While it is important to remember that, it is also important to remember that there is not one best answer, the different algorithms discussed each have their uses and tradeoffs. Specific applications will require specific algorithms to optimize them for respective jobs. It is especially important to remember that there are tradeoffs for increasing the speed and decreasing the latency, and that for algorithms on some smaller devices, it is more important to have security than speed.

3.5   Post-Quantum Signature Algorithms

Another pressing issue facing cryptography and cybersecurity with the advent and improvement of quantum computing is how to handle identification, verification, and authentication. Current methods for digital signatures work well, but Shor's algorithm will be capable of breaking these methods, which could mean spoofing, or replaying attacks. This is why there is currently work being done to build quantum-safe signature systems. However, because there are still not fully functional quantum computers, testing the security in a real-world situation is essentially impossible, and several candidates still need more evaluation for efficacy against classical attacks. As stated by NIST in their evaluation of Post-Quantum Asymmetric Cryptographic Algorithm Candidates [43], there are promising candidates in the field. There do appear to be promising candidates that use some new and updated signature schemes. Although, as NIST points out, the usage of two signature algorithms could be an effective tool for adding in more security than before. They deem this method the "Belt and Suspenders" method, where there are two signature algorithms in use. One is a classical signature algorithm, and the other is a post-quantum signature algorithm. This method would help alleviate concerns about security flaws that each one has, and would allow for slightly smaller bit/encryption sizes for each signature, which could help increase the speed of network-based transactions. NIST also seems to indicate that while there are classical solutions alone that could work with some updates, including Hash Based or Code Based, these would likely be too large, too slow, or not secure enough against quantum algorithms. The solution then seems to be newer algorithms, with NIST suggesting Learning With Errors or Ring Learning With Errors.

While NIST makes those suggestions, there are other candidates that have since emerged that could be better solutions, including algorithms by the name of FALCON, Rainbow, and CRYSTALS-DILITHIUM. FALCON seems to solve some of the speed problems of previous attempts, in specific, it takes some of the work done on the original NTRUSign algorithm, which was meant to go along with the NTRUEncrypt algorithm that is currently a finalist in the NIST competition, and updates it. FALCON (Jeffery Hoffstein Et. Al, FALCON)[37] stands for Fast-Fourier Lattice-based Compact Signatures over NTRU. As the FALCON paper states, one of the problems that is faced by many post-quantum signature algorithms is an increase in signature size, key size, or complexity, all of which can lead to loss of time, and storage space and make transactions and networking cumbersome. Their work builds on some of the work laid out in the documentation and work for the NTRUEncrypt algorithm, and focuses on using lattice-based algorithms to create smaller signature and key sizes while maintaining security. They were able to test the algorithm against existing frameworks including the NTRUSign framework, GPV, and GGH. They kept the hardware the same for all of the testing, and were able to demonstrate that FALCON had substantial performance improvements due to their modifications and methodologies. The team also tested common attacks against lattice-based structures, including lattice reduction, but also signature forging attacks and more, and the algorithm appeared to withstand reasonable versions of these attacks. Additionally, because the algorithm has an operational cost of O(n log n), there is scalability for the algorithm, and it can be used for a long time in the future.

Other Algorithms like the CRYSTALS-DILITHIUM (CD) (Bai Et. Al, CRYSTALS-DILITHIUM) [41] algorithm also take advantage of lattice-based approaches, but try to create somewhat new algorithms based on existing approaches. The CD algorithm also uses a lattice-based framework and focuses, like the NTRU

algorithms, on truncated ring mathematics. This effectively means that it should be capable of smaller bit and key sizes, but the same or improved levels of security. CD uses a modification of the SHAKE-256 algorithm with the use of truncated ring mathematics. This provides another layer of security, while also allowing them to have one of the smallest signature and key sizes available. As per NIST's hardware comparison documentation (Basu et. al, NIST Hardware Comparison) [28] CD seems to have some of the lowest latency and or highest speed out of any other signature algorithms, but also appears to require more computational power as it expands to take almost full advantage of the computing power it is provided. One of the key takeaways is therefore that CD appears to provide high security based on the difficulty of Module Learning With Errors problems and the foundational lattice framework, and allows for smaller signature sizes, but at the cost of power. Therefore, for lower powered devices, it is likely a better idea to choose some of the higher latency algorithms like SPHINCS+, which seem to be able to provide good security for lower power costs.

However, a problem that many lattice-based algorithms, and especially truncated ring/polynomial based algorithms run into is that the implementation can often times be difficult and somewhat fragile. That is why other algorithms are using different implementations to create more robust implementations. This is one of the problems that SPHINCS+ (Bernstein et. al, SPHINCS+)[6] tries to rectify. SPHINCS+ uses a stateless hash-based system, which provides several benefits over the previously mentioned methods. In particular, hash-based signatures are well tested and well-known, while providing a high level of security. The stateless approach that SPHINCS uses allows for better post-quantum security, while also keeping some hash sizes down. Stateless hash-based systems have some advantage over regular systems, as they use a few-time signature scheme and builds on the work of Reyzin, Reyzin Better than BiBa: Short One-time Signatures with Fast Signing and Verifying [38]. This foundational work helps demonstrate how SPHINCS+ is able to provide high security while also keeping signature sizes small using a modification of the one-time hashes from a merkle tree or alternative. In their paper, Bernstein et. al, were also able to demonstrate that SPHINCS+ has significant advantages over other post-quantum alternatives like Picnic as it is able to sign 70% faster and verify 50 times faster than Picnic for comparable or better security.

As mentioned above, Picnic is a post-quantum signature algorithm that provides an alternative method set to systems like FALCON, SPHINCS, or CRYSTALS-DILITHIUM. Picnic uses a non-interactive zero-knowledge proof system. Systems like these build on the work of zero-knowledge systems, which are systems that have two participants, a prover and a verifier. The prover issues commitments to the verifier, and then the verifier issues challenges to the prover that they must comply with. In this situation neither party has any prior knowledge or agreements and this is what helps ensure the security. In a non-interactive zero-knowledge proof system (NIZK), the verifier is no longer an interactive second party, but is instead replaced by a randomized hash function or some equivalent (Rackoff et. al, Non-Interactive Zero-Knowledge Proof of Knowledge and Chosen Ciphertext Attack)[5]. The benefit of a NIZK system is that it appears to provide quantum-safe security. The Picnic signature scheme takes advantage of this and works to create a more compact and efficient NIZK system that is optimized to withstand quantum attacks. As mentioned above, in comparison to another signature algorithm like SPHINCS+, it is slower for larger signatures, but an optimized version of Picnic shines with smaller signature sizes and signing times. In summation, although Picnic and other NIZK algorithms cannot outperform hash-based signatures in some metrics, in others like signature sizes and signing times for larger signatures, they can beat them for smaller signature sizes (Kales, Zaverucha, Improving the Performance of the Picnic Signature Scheme)[7]. NIZK systems also seem as though they may be able to provide higher scalability if the efficiency for larger signatures can be increased.

Finally, it is worth a short discussion of a fourth cryptography problem that could be utilized for post-quantum signatures. This problem is the Hidden Discrete Logarithm Problem, which is a lesser known subgroup of the Discrete Logarithm problem. While Shor's algorithm is capable of breaking the Discrete Logarithm problem, the hidden group, using a few modifications to the carriers can be utilized to create a new system that is quantum-safe (Moldyvan and Moldyvan, Post-quantum signature algorithms based on the hidden discrete logarithm problem) [4][27]. However, little is known about the Hidden Discrete Logarithm Problem (HDLP), and it was not utilized by any of the candidates in the NIST Round 3 Finals, so only a short discussion of it is provided here. The HDLP utilizes a subgroup of discrete logarithms called the non-abelian subgroup, which are much harder to solve using Shor's algorithm. This makes them good candidates for a post-quantum signature scheme, but the problem is that so little is known about them, and there are few to no functional implementations because of the difficulty of creating carriers that work for the problem.

Overall, the HDLP presents an interesting alternative to the other algorithms discussed, but is not currently a feasible solution.

An analysis of post-quantum signature algorithms shows a few interesting trends. There are multiple schemes that can be used to provide post-quantum and classical security for these crucial systems, but each one appears to have its tradeoffs. Overall, CRYSTALS-DILITHIUM appears to provide some of the best security based on the difficulty of the Module Learning with Errors problem. Additionally, based on the NIST hardware review, it appears that CD is the fastest signature scheme available, with its sibling public-key algorithm, CRYSTALS-KYBER, also appearing to be one of the fastest algorithms. However, for embedded and IoT systems, it seems that CD and CK may require and take advantage of too much power. This means that systems like SPHINCS+, FALCON, or Picnic could provide better lightweight alternatives, while still giving post-quantum security. The scalability and longevity of these systems are also important aspects. While CD appears to provide great security now, the continuous reduction in the difficulty of other lattice-based problems could mean that with more time CD will not be nearly as secure, and a similar problem exists for the FALCON signature scheme. Other systems like SPHINCS+ could run into issues of scalability due to its use of hash-based signatures, but there are solutions that can account for this, and the stateless hash-based system that is used gives it more scalability than prior hash-based systems. Finally Picnic appears to have a lot of scalability and potential, but NIZK systems are not well tested enough to make a recommendation yet. Overall though, CRYSTALS-DILITHIUM and FALCON appear to provide the best speed, with the best lightweight hardware implementation going to SPHINCS+ [28] [35].

3.6   Grover's Algorithm and Post-Quantum Symmetric Encryption

While we have performed an in-depth analysis of post-quantum asymmetric cryptography in this paper, it is also worth discussing symmetric cryptography. While Shor's algorithm is the main concern for post-quantum asymmetric algorithms, Grover's Quantum Search Algorithm (Grover's Algorithm), is the main concern for symmetric encryption algorithms. Although, the concern for attacks against symmetric encryption is much less, because Grover's algorithm, while effective, as it can essentially halve the effectiveness of the parameters, can be relatively easily countered by increasing the bit sizes and parameters of symmetric algorithms like AES (Grover, A fast quantum mechanical algorithm for database search)[24]. It is especially feasible to do this with AES, as it only uses 128-bit or 256-bit parameters right now, so there is still a lot of room for scalability. Currently, there is not a need for anything beyond that, although there are cryptographers that are already preparing for the inevitable need for post-quantum symmetric encryption algorithms.

The need for post-quantum symmetric algorithms may not be foreseeable for the next several decades at least, but it is still important to begin work on it now. Just because Grover's algorithm is currently the best quantum algorithm to attack symmetric algorithms, does not mean that it will remain as such. If the algorithm is refined or improved, or if a new algorithm is made that is better at solving symmetric encryption problems, then it will be crucial and imperative to have existing post-quantum symmetric algorithms that can be implemented and rolled out to the public.

Advanced Encryption Standard (AES) is a block cipher algorithm that is part of the RIJNDAEL family of algorithms. It undergoes iterative rounds of encryption and manages to be one of the most secure symmetric algorithms out there. As mentioned above, Grover's algorithm is not a true threat to the AES-256 version as of right now, but this could change. This is where the Extended Advanced Encryption Standard (eAES) algorithm comes in. It is a modification and update of the existing AES algorithm, but with more rounds, an updated key scheduler, and an option for a 512-bit version (Bogomolec et. al, Towards Post-Quantum Secure Symmetric Cryptography: A Mathematical Perspective)[12]. The 256-bit version of eAES uses 22 rounds, which is 8 more than for AES, and provides more security than needed to protect against the best classical attack, which can break 11 rounds of encryption. Additionally, replacing the key scheduler, which was previously not cryptographically secure, with cryptographically secure pseudo-random number generators like cSHAKE, means that the algorithm will be even more secure against other classical attacks and against quantum attacks.

Overall, while there is not a massive variety to the current post-quantum symmetric encryption algorithms, the work that has already begun is encouraging, and will likely continue to improve our encryption standards over the coming decades. While simply increasing the bit/parameter sizes for standard AES would

provide enough security, using the alternative of eAES will help future-proof against quantum attacks, and will close current avenues that classical attacks use.

4   Technical Discussion, Comparisons, and Gaps in Information

One of the key issues that was faced in writing this paper, is that for each implementation and algorithm, the team behind it tested it using different hardware systems. For example, some used Skylake processors, while others used Xeons. Another issue was that some teams would optimize their own algorithm but would not optimize the competitor they were comparing against. This presents a somewhat unique problem of comparing algorithms that theoretically perform a similar function, but have entirely different benchmarks and benchmarking systems. The solution to this, beyond running benchmarks on our own systems, was more simply, looking at analyses performed by NIST and the National Science Foundation (NSF).

NIST's hardware analysis and comparison has been covered already in the paper, but provides a relatively equitable comparison that uses the same hardware systems, and does its best to optimize each algorithm as best they can, or uses the non-optimized version. This means that the results given are much more equitable than looking at comparisons from each finalists' papers. As previously mentioned, NIST states that for lower level security (level 1), the best algorithm for speed appears to be CRYSTALS-KYBER for public key cryptography, and CRYSTALS-DILITHIUM for signature algorithms. These provide the best speed, but require higher power systems. Other algorithms like SPHINCS+ or NTRU-HRSS have higher latencies, but are more lightweight and would be better suited for implementations on IoT or low power hardware devices. Other algorithms like SABER which provide higher security (level 3), require better power and storage but provide low-latency encryption options, which means that they are better for server applications. One of the key trends that is seen is how different types of algorithms, once optimized, can be faster than others. For example, CRYSTALS-DILITHIUM uses MLWE and RLWE, and can be highly optimized, while other algorithms like SPHINCS+, which use a stateless hash-based system can only be optimized to provide higher speed in certain areas. The Classic McEliece algorithm, which is a code-based algorithm has some of the highest latency of any other encryption or KEM algorithm, but does not provide a fair comparison, as it is tested for the highest security level (level 5), which no other algorithm was tested on. There will always be gaps in the data, but for hardware systems, one of the most important things is tailoring the algorithm to the task at hand. Certain algorithms are much better for specific applications, or for different security levels. However, Classic McEliece was shown to provide the highest security with only minimally higher latency than other algorithms that had the lowest security level, and algorithms like SPHINCS+ are best suited for lightweight hardware signature implementations, while NTRU-HRSS is best suited for lightweight hardware encryption implementations.

The NSF [11] provided a second key set of data, which was comparisons of these implementations on software-hardware co-design systems. This provides a better look at the speed of the algorithms on software systems. One of the biggest problems again was an equitable optimization of each algorithm for the comparison, but another problem is that this paper is from 2019, meaning that some of the algorithms are no longer in the competition. Looking through the comparisons and graphs, algorithms like CRYSTALS-KYBER and New Hope have some of the lowest latencies for both encapsulation and decapsulation (for KEMs), while other algorithms like FrodoKEM, have incredibly high latencies while providing approximately the same level of security as other algorithms. This again is in part due to the different types of algorithm used, as well as the mathematics behind them. For example, while FrodoKEM and NTRU-HRSS are both lattice-based, NTRU-HRSS uses optimized Fast Fourier Transforms, and simpler mathematics overall. This helps demonstrate again that each algorithm has limitations and can be better suited for certain implementations over others.

It is hard to say if there is one best algorithm, because there isn't. Generally, each algorithm has a task that it could best be suited for, but there are some key algorithms that appear to have promise in terms of security, speed, or overhead. SPHINCS+ for signature algorithms appears to work well for lightweight signature systems. Classic McEliece appears to provide some of the most stable and secure encryption, and SABER appears to be a good compromise between speed and security for hardware. For software-hardware co-design systems, SABER still appears to provide a good compromise, while algorithms like New Hope and NTRU-HRSS had much lower latencies than other Algorithms like FrodoKEM because of the time that it takes them to switch between the hardware and software systems. Overall, optimization is an important

aspect, and while there is not one best algorithm, Classic McEliece appears to provide good encryption speed and security.
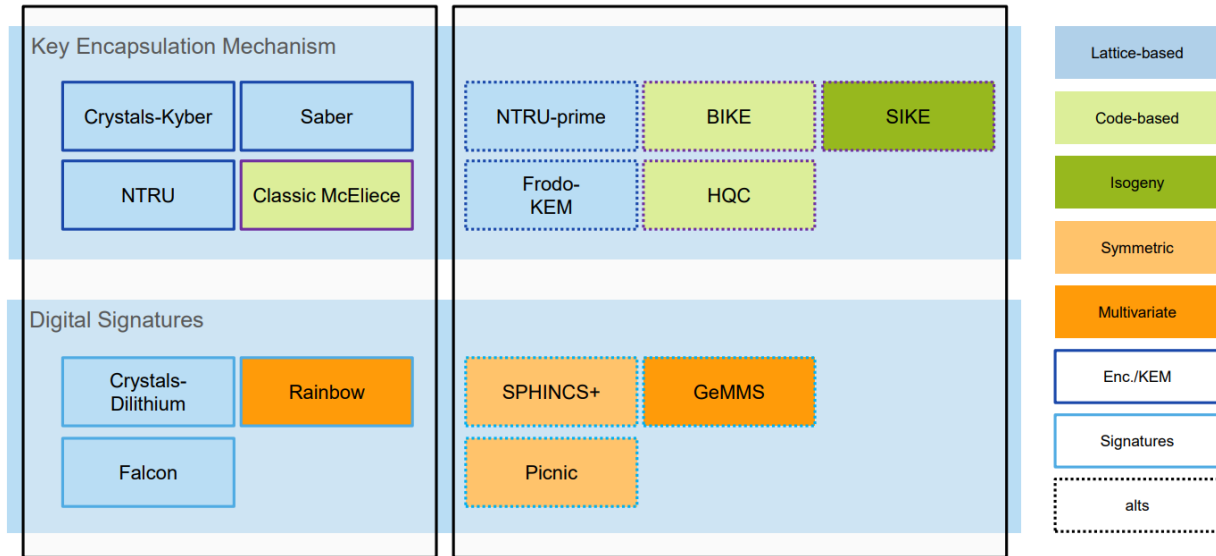
5 Charts
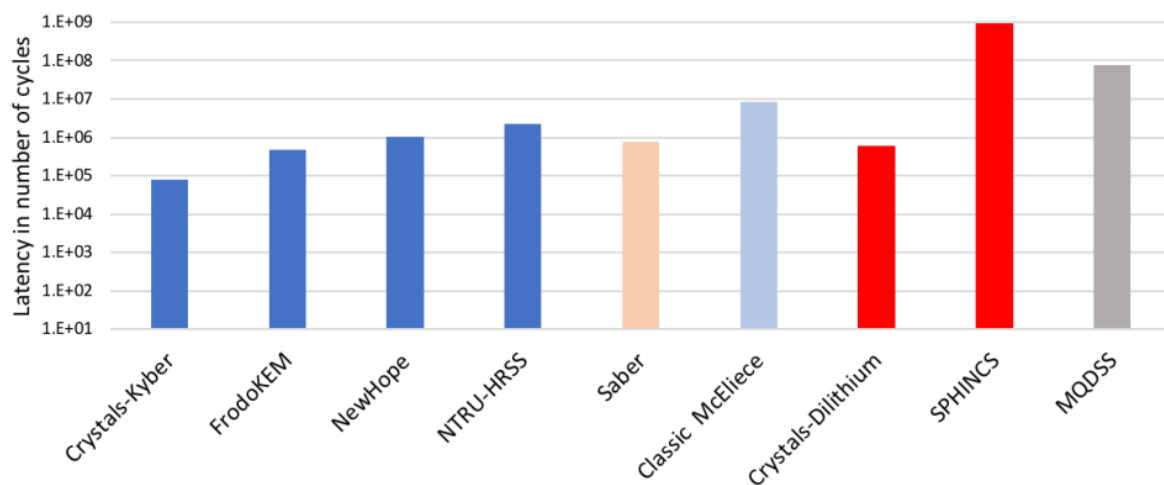

Fig. 5: NXP Nist Post-Quantum Finalists Chart [14]

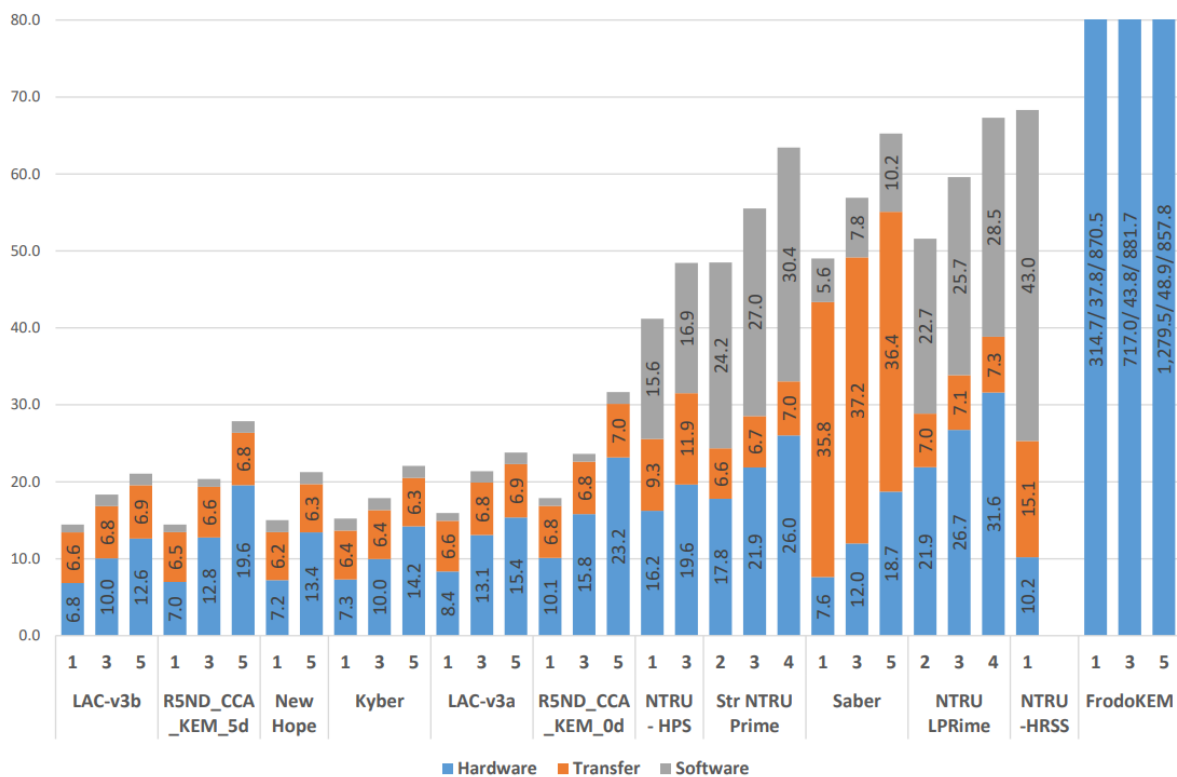Fig. 6: NIST's Hardware Comparison Chart [28]

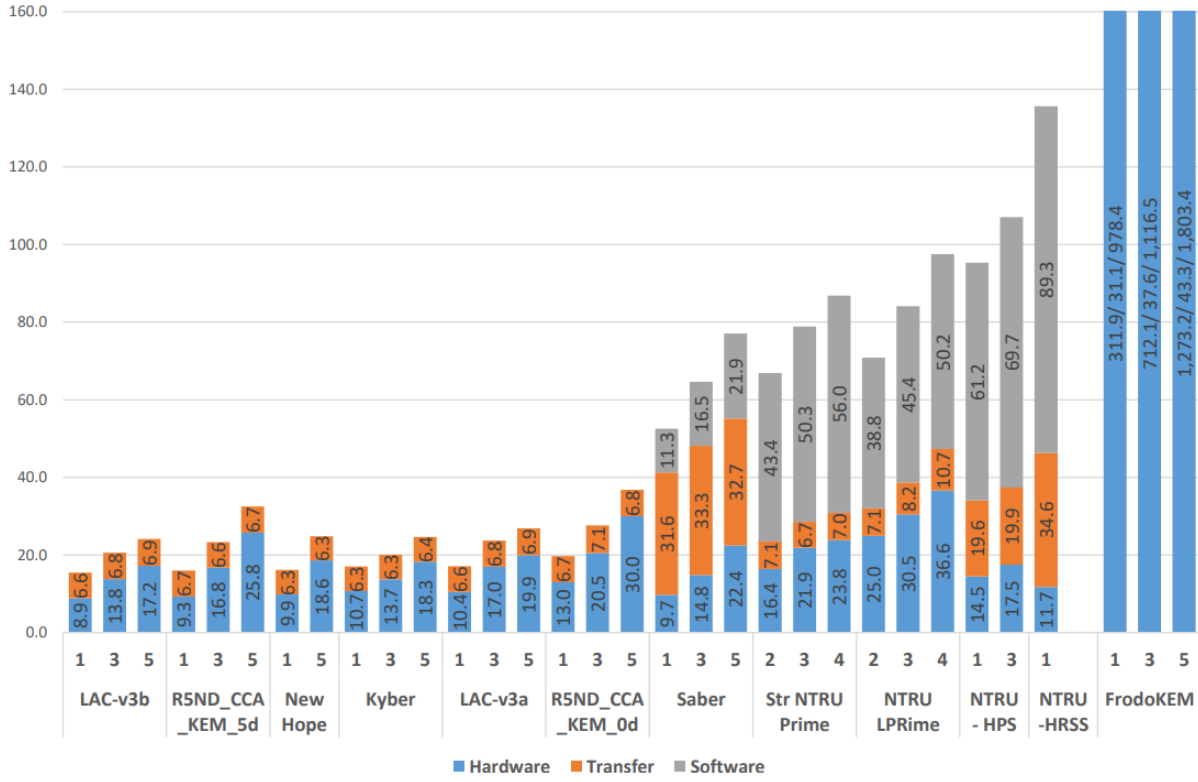Fig. 7: NSF Encapsulation Software/Hardware Co-Design Chart [11]

Fig. 8: NSF Decapsulation Software/Hardware Co-Design Chart [11]

6 Conclusion

In this paper we have examined the threat that functional quantum computers create to our current cybersecurity ecosystem, we have provided background information, we have analyzed different types of algorithms, the eventual need for post-quantum symmetric encryption, and we have compared different algorithms. There is without a doubt a looming threat from quantum computers and algorithms like Shor's and Grover's algorithms. Cryptography relies on the hardness of problems, and Shor's and Grover's algorithms are capable of solving many of our current problems in record time. While it will not be an overnight loss of security and privacy, or even any real loss of security or privacy for an average person, ensuring the safety, security, and privacy of all technology is a necessity for modern interactions. As the interconnectedness of the world increases, as IoT systems become more and more integrated, as infrastructure becomes internet enabled, and as more transactions and data are stored online, the need for security will only increase, but so will the attacks on data and encryption.

As demonstrated in this paper, there are real and functional alternatives to current encryption standards, and while there are problems that each alternative faces, the biggest hurdle for all of them will be rolling them out to the public. This is likely where the most time, money, and energy will be spent. To help ensure the speed and efficiency of this, it is important to select the right algorithm that is capable of providing the right amount of security, scalability, and speed, while also allowing for easy roll out and acceptance. This is where real discussion is required, and while we discuss many of the current candidates, as demonstrated by NIST and NSF themselves, there is not one algorithm that can do everything that is needed. We will need a more diverse cryptographic ecosystem, with algorithms tailored to each task. There will need to be algorithms for lightweight hardware systems, for servers, for internet transactions, for users, for signatures, and more. Selecting the best one out of each of those categories is a slightly easier task, but one that is still incredibly difficult overall.

Based on the data from NIST, for the best security overall, the algorithm appears to be the Classic McEliece algorithm, which has stood the test of time, and provides the highest level of security, while only sacrificing minimal speed in comparison to other algorithms. For the best signature algorithm in the finalist pool, it appears to be CRYSTALS-DILITHIUM, which provides the best speed, and should provide some of the best security based on the hardness of MLWE and RLWE.

It is also worth discussing post-quantum symmetric encryption, which is not yet a necessity, nor will it be for the foreseeable future, but it is worth keeping in mind, as algorithms like eAES provide higher security alternatives to AES, while still remaining similar enough for a relatively easy switch over.

With all of this said though, the biggest takeaways are that there is a dire need for post-quantum cryptography, even if the worst fears about breaking encryption are never realized, having higher security algorithms will help ensure the safety, privacy, and security of citizens, organizations, governments, and their data for decades to come. There is not a single algorithm that can do everything, but there are algorithms that can be tailored to each problem, and using that knowledge, the roll out to newer standards can be expedited. Regardless of if Shor's and Grover's algorithms actually end up impacting average people's security and privacy, post-quantum cryptography is a necessity.

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