# Cryptanalysis

Lattices

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#### Lattices

- The set  $\Lambda = \mathbb{Z}b_1 + \mathbb{Z}b_2 + ... + \mathbb{Z}b_n$ , where  $b_1, b_2, ..., b_n$  are linearly independent is called a lattice.
- $\Lambda^* = \{ y \in \mathbb{Z}^n : (x, y) \in \mathbb{Z}, \forall x \in \Lambda \}$
- $vol(\Lambda) = \det(b_1, b_2, ..., b_n)$ , where  $b_1, b_2, ..., b_n$  are the generators of  $\Lambda$ . Note that any set of generators will do since they are related by unimodular transformations.
- Let Λ be a lattice
  - The CVP problem is: Find  $v \in \Lambda$ :  $||v|| = min_{w \in \Lambda, w \neq 0}(||w||)$
  - The  $CVP_{\gamma}$  problem is: Find  $v \in \Lambda$ :  $||v|| \le \gamma \cdot min_{w \in \Lambda, w \ne 0}(||w||)$
- Volume of n-dimensional sphere:  $V_n(r) \approx \frac{1}{\sqrt{n\pi}} (\sqrt{\frac{2\pi e}{n}} r)^n$

#### **Definitions**

Hermite Normal Form (HNF)

$$\begin{bmatrix} > 0 & 0 & 0 & \cdots & 0 & 0 & \dots & 0 \\ \ge 0 & > 0 & 0 & 0 & 0 & 0 & \dots & 0 \\ \ge 0 & \vdots & > 0 & \ddots & \vdots & 0 & \dots & 0 \\ \ge 0 & \ge 0 & \ge 0 & \dots & 0 & 0 & \dots & 0 \\ \ge 0 & \ge 0 & \ge 0 & \cdots & > 0 & 0 & \dots & 0 \end{bmatrix}$$

#### Minkowski's Theorem

Let  $\Lambda$  be a lattice in  $\mathbb{R}^n$  and suppose  $S \subseteq \mathbb{R}^n$  is a convex, centrally symmetric region. If  $vol(S) > 2^n \det(\Lambda)$  then S has a non-zero lattice point of  $\Lambda$ . Suppose first that  $\Lambda'$  is the simple lattice generated by  $e_1, e_2, \dots e_n$ . Represent a point  $r \in S$  as  $r = (\alpha_1 + x_1, \alpha_2 + x_2, ..., \alpha_n + x_n)$  with  $\alpha_i \in \mathbb{Z}$  and  $|x_i| \le 1$ , for  $1 \le i \le n$ . Define  $T(r) = (x_1, x_2, ..., x_n)$ . If  $S_1 \cap S_2 = \emptyset$ ,  $vol(S_1 \cup S_2) = vol(S_1) + vol(S_2)$ . So, if S has the property that  $T(t) \neq T(s), \forall s \neq t \in S$ , then vol(S) = vol(T(S)). Note that  $vol(T(S)) \le 1$ . So, if vol(S) > 1, there are at least two points  $r^{(1)} =$  $(\alpha_1^{(1)} + x_1, \alpha_2^{(1)} + x_2, ..., \alpha_n^{(1)} + x_n), r^{(2)} = (\alpha_1^{(2)} + x_1, \alpha_2^{(2)} + x_2, ..., \alpha_n^{(2)} + x_n^{(2)})$  $(x_n)$ , where  $\alpha_i^{(1)} \neq \alpha_i^{(2)}$  for some i. Since S is centrally symmetric,  $-r^{(1)}$ ,  $-r^{(2)} \in S$ ; finally, note that  $0 \neq r^{(1)} - r^{(2)} \in \mathbb{Z}^n$ . Similarly, if  $vol(S) > 2^n$ , there are at least  $2^n+1$  points  $r^{(i)}$ ,  $1 \le i \le 2^n+1$  with  $0 \ne r^{(i)}-r^{(j)} \in \mathbb{Z}^n$ ,  $i \ne j$  for at least two, say  $r^{(i)}$  and  $r^{(j)}$ , all corresponding coordinates in  $r^{(i)}-T(r^{(i)})$  and  $r^{(j)}-T(r^{(j)})$ are equal  $(mod\ 2)$ . Thus,  $0 \neq \frac{r^{(i)}-r^{(j)}}{2} \in \mathbb{Z}^n$ . But since S is convex,  $\frac{r^{(i)}-r^{(j)}}{2} \in S$ . So, the result holds for the simple lattice. Suppose now that  $\Lambda$  is generated by  $a_1, a_2, ... \ a_n$  and put  $A = [a_1, a_2, ... \ a_n]. \ e_i = A^{-1}(a_i)$ , so  $vol(\Lambda') = \frac{vol(\Lambda)}{\det(\Lambda)}$  and the simple lattice result thus implies the general theorem.

# q-ary lattices and other definitions

- Definition: If  $q \in \mathbb{Z}$ , a lattice,  $\Lambda$ , is called q-ary if  $q\mathbb{Z}^n \subseteq \Lambda \subseteq \mathbb{Z}^n$ .
- Suppose  $A \in \mathbb{Z}^{m \times n}$ ,  $\Lambda_q(A) = \{ y \in \mathbb{Z}^n : y = A^T x \pmod{q}, x \in \mathbb{Z}_q^m \}$ . Note  $\Lambda_q(A)$  is q-ary.
- $\Lambda_q^{\perp}(A) = \{ y \in \mathbb{Z}^n : Ay = 0 \pmod{q} \}$
- $\lambda_1(\Lambda) = \left| \min_{v \in \Lambda} ||v| \right| |$
- $\lambda_n(\Lambda) = \min_S(\max_{v \in S} ||v||)$ , where  $S \subseteq \Lambda$  is a set of linearly independent vectors, |S| = n
- Solving CVP in  $\Lambda_q^{\perp}(A)$  when A is chosen uniformly at random is as hard as worse case CVP.

# Some simple results

- Remember S is centrally symmetric if  $s \in S$  implies  $-s \in S$ , and S is convex if  $s, t \in S$  implies  $us + (1 u)t \in S, u \in [0,1]$ . We used this in proving Minkowski's Theorem.
- Theorem:  $\lambda_1(\Lambda) \leq \sqrt{n} \det(\Lambda)^{\frac{1}{n}}$

Let  $B_r$  be a ball centered at 0 having radius  $r = \sqrt{n} \det(\Lambda)^{\frac{1}{n}}$ . Let  $(x_1, x_2, ..., x_n)$  be the coordinates of a vector v, with respect to the basis generating the lattice  $\Lambda$ , if  $|x_i| \le 1$  for  $1 \le i \le n$ ,  $v \in B_r$ . So  $-\det(\Lambda)^{\frac{1}{n}}$  (1,1,...,1) and  $\det(\Lambda)^{\frac{1}{n}}$  (1,1,...,1) as well as the line joining them are in  $B_r$  so  $vol(B_r) \ge 2^n \det(\Lambda)$  and the result follows from Minkowski's theorem.

#### **Reduced Basis**

- $\langle v_1, v_2 \rangle$  is reduced if
  - $||v_2|| \le |v_1||$ ; and,
  - $-1/2||v_1||^2 \le (v_1, v_2) \le 1/2||v_1||^2.$



# Good basis and Gram-Schmidt Orthogonalization

- Good basis for lattices are orthonormal when that is possible. If a basis,  $b_1, b_2, ..., b_n$  for  $\Lambda$ , is orthonormal, then, for example,  $vol(\Lambda) = ||b_1|| \cdot ||b_2|| \cdot ... \cdot ||b_n||$
- The orthogonality defect of a basis  $b_1, b_2, ..., b_n$  is  $\frac{||b_1|| \cdot ||b_2|| \cdot ... \cdot ||b_n||}{\det(b_1, b_2, ..., b_n)}$
- Given a space generated by  $b_1, b_2, ..., b_n$  can also be generated by a set of vectors,  $b_1^*, b_2^*, ..., b_n^*$  with the property that  $(b_i^*, b_j^*) = 0, i \neq j$ . Th Gram-Schmidt orthogonalization procedure computes this.

GSO, given, 
$$b_1, b_2, ..., b_n$$
, compute  $b_1^*, b_2^*, ..., b_n^*$ 

1. put  $b_1^* = b_i$ .

2. for  $i = 2, i \le n$ 

$$b_i^* = b_i - \sum_{i=1}^{i-1} \mu_{i,j} b_j, \ \mu_{i,j} = \frac{\left(b_j^*, b_i\right)}{\left(b_j^*, b_j^*\right)}$$

#### Size Reduction

- Definition: A basis  $b_1, b_2, ..., b_n$  is size reduced if  $\left|\mu_{i,j}\right| \leq \frac{1}{2}$ , in the Gram-Schmidt orthogonalization procedure.
- If  $b_1, b_2, \ldots, b_n$  is a basis for  $\Lambda$ , in general,  $b_1^*, b_2^*, \ldots, b_n^*$  is not also a lattice basis because  $\mu_{i,j}$  is generally not an integer. We can find a "nearly" orthogonal set of vectors  $b_1', b_2', \ldots, b_n'$  in  $\Lambda$ , by rounding the  $\mu_{i,j}, b_1', b_2', \ldots, b_n'$  is also a basis for the lattice and has the same gram Schmidt basis,  $b_1^*, b_2^*, \ldots, b_n^*$ . When performing GSO on this *reduced* basis,  $|\mu_{i,j}| \leq \frac{1}{2}$ .

#### Size-reduction

```
\begin{aligned} \text{for } i &= 2, \, i \leq n \\ \text{for } j &= i-1, \, j \geq 1 \\ b_i &\leftarrow b_i - \!\! \upharpoonright \mu_{ij} \downarrow b_j \\ \text{for } k &= 1, k \leq j \\ \mu_{ik} &\leftarrow \mu_{ik} - \!\! \upharpoonright \mu_{ij} \downarrow \mu_{jk} \end{aligned}
```

# Size reduction and basis reordering

• Let  $b_1, b_2, ..., b_n$  be a basis for  $\Lambda$ , and  ${b_1}^*, {b_2}^*, ..., {b_n}^*$  the resulting GSO basis. Let  $B_i = ||b_i||^2$ . Then  $b_1, b_2, ..., b_n$  satisfies the *Lovasz condition* with factor  $\delta$  if it is size reduced and  $(\delta - \mu_{i+1,i}^2)B_i \leq B_{i+1}$ . The LLL algorithm calculates such a basis.

#### LLL Algorithm

Given  $b_1, b_2, ..., b_n$  generating  $\Lambda$ , calculate the LLL reduced basis

- 1. Reduce the basis  $b_1, b_2, \dots, b_n$  with the size reduction algorithm and calculate  $b_1^*, b_2^*, \dots, b_n^*$  and  $\mu_{ij}$
- 2. Compute  $B_i = ||b_i^*||^2$ , i = 1, 2, ..., n
- 3. for i = 1, i < n
  - 4. If  $((\delta \mu_{i+1,i}^2)B_i > B_{i+1})$ 
    - 5. Swap  $b_i$  and  $b_{i+1}$
    - 6. Go to 1
- 7. return  $b_1, b_2, ..., b_n$

## Example (LLL including GSO)

- LLL  $(\delta = \frac{3}{4})$
- $b_1 = (2,3,14)^T$ ,  $b_2 = (0,7,11)^T$ ,  $b_3 = (0,0,23)^T$ .
  - GSO:  $b_1^* = b_1$ ,  $b_2^* = b_2 \mu_{21}b_1$ ,  $\mu_{21} = \frac{(b_1^*, b_2)}{(b_1^*, b_1^*)} = \frac{21 + 154}{4 + 9 + 196} = \frac{175}{209}$ ,  $\mu_{31} = \frac{322}{209}$ ,  $\mu_{31} = \frac{3473}{4905}$ .  $b_2^* = (-\frac{350}{209}, \frac{938}{209}, -\frac{151}{209})^T$
  - Size reduction:  $b_2 = b_2 \uparrow \mu_{21} \downarrow b_1 = (-2,4,-3)^T$ ,  $\mu_{21} = \mu_{21} \uparrow \mu_{21} \downarrow = -\frac{34}{209}$ ;  $b_3 = b_3 \uparrow \mu_{32} \downarrow b_2 = (-2,4,20)^T$ ,  $\mu_{31} = \mu_{31} \uparrow \mu_{31} \downarrow = -\frac{1432}{4905}$ ; last change is  $b_3 = b_3 \uparrow \mu_{31} \downarrow b_1 = (-4,1,6)^T$ ,  $\mu_{31} = \mu_{31} \uparrow \mu_{31} \downarrow = -\frac{79}{209}$ .
  - Now,  $b_1 = (2,3,14)^T$ ,  $b_2 = (-2,4,-3)^T$ ,  $b_3 = (-4,1,6)^T$ .
  - $B_1 = 209$ ,  $B_2 = \frac{4905}{209}$ ,  $B_3 = \frac{103684}{4905}$ . Lovasz condition is not satisfied for i = 1: since  $(\delta \mu_{21}^2)B_1 > B_2$ . So swap  $b_1$  and  $b_2$ .
  - Applying GSO we get  $\mu_{21} = \frac{-34}{29}$ ,  $\mu_{31} = \frac{-6}{29}$ , and  $\mu_{32} = \frac{2087}{4905}$ .
  - Size reduction produces:  $b_2 = b_2 1 \mu_{21} + b_1 = (0,7,11)^T$  and  $\mu_{21} = \frac{-6}{29}$ .  $\mu_{31}$  and  $\mu_{32}$  don't change.  $\mu_{32}$

## Example (LLL including GSO) - continued

- Now Lovasz condition is satisfied for i=1 since  $(\delta-\mu_{21}{}^2)B_1 < B_2$ . but not i=2 since  $(\delta-\mu_{32}{}^2)B_2 < B_3$ . swap  $b_2$  and  $b_3$ .
  - Now,  $b_1 = (-2,4,-3)^T$ ,  $b_2 = (-4,1,6)^T$ ,  $b_3 = (0,7,11)^T$ .  $B_1 = 29$ ,  $B_2 = \frac{1501}{29}$ ,  $B_3 = \frac{103684}{1501}$ . GSO coefficients are  $\mu_{21} = \frac{-6}{29}$ ,  $\mu_{31} = \frac{-5}{29}$ , and  $\mu_{32} = \frac{2087}{1501}$ . Applying size reduction does not affect  $b_2$  or  $\mu_{21}$ .  $b_3 = b_3 1$   $\mu_{32} + 1$   $b_2 = (4,6,5)^T$ ,  $\mu_{31} = \mu_{31} 1$   $\mu_{32} + 1$   $\mu_{21} = \frac{1}{29}$ ,  $\mu_{31} = \frac{586}{1501}$ . Both Lovasz conditions now hold.
  - LLL basis is thus  $b_1 = (-2,4,-3)^T$ ,  $b_2 = (-4,1,6)^T$ ,  $b_3 = (4,6,5)^T$ . Notice  $||b_1||$  is actually the shortest vector in  $\Lambda$ .

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#### **LLL Properties**

• Suppose we apply LLL to  $b_1,b_2,\ldots,b_n$ , with  $b_1^*,b_2^*,\ldots,b_n^*$  and  $B_1,B_2,\ldots,B_n$  defined as above. With  $X=min_{v\in\Lambda}(\left||b_i|\right|)$  and  $\frac{1}{4}<\delta<1$ , LLL runs in  $O(n^6\ln(x)^3)$ .

1. 
$$B_i \le ||b_i||^2 \le (\frac{1}{2} + 2^{i-2})B_i$$

2. 
$$||b_i|| \le 2^{\frac{i-1}{2}} ||b_i^*||$$

3. 
$$\lambda_1(\Lambda) \geq \min_i(||b_i^*||)$$

4. 
$$||b_1|| \le 2^{\frac{n-1}{2}} \lambda_1(\Lambda)$$

5. 
$$\det(\Lambda) \le \prod_{i=1}^{n} ||b_i|| \le 2^{\frac{n(n-1)}{4}} \det(\Lambda)$$

6. 
$$||b_i|| \le 2^{\frac{(n-1)}{4}} \det(\Lambda)^{\frac{1}{n}}$$

• If w is a vector in  $\mathbb{R}^n$  and the lattice basis for  $\Lambda$  is  $b_1, b_2, \ldots, b_n$  with  $B = [b_1, b_2, \ldots, b_n]$ , the coefficients for w are  $u = B^{-1}(w)$ . w is not necessarily in the lattice but if we take each element in u and round it,  $B \downarrow B^{-1}(w)$   $1 \in \Lambda$ . This is *Babai rounding*.

#### Attack on RSA using LLL

- Attack applies to messages of the form "M xxx" where only "xxx" varies (e.g.-"The key is xxx") and xxx is small.
- From now on, assume M(x) = B + x where B is fixed
  - |x| < Y.
  - Not that  $E(M(x)) = c = (B + x)^3 \pmod{n}$
  - $f(x)=(B+x)^3-c=x^3+a_2x^2+a_1x+a_0 \pmod{n}$ .
- We want to find x:  $f(x) = 0 \pmod{n}$ , a solution to this, m, will be the corresponding plaintext.

#### Attack on RSA using LLL

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• To apply LLL, let:
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- v_1 = (n, 0, 0, 0),

- v_2 = (0, Yn, 0, 0),

- v_3 = (0, 0, Y^2n, 0),

- v_4 = (a_0, a_1Y, a_2Y^2, a_3Y^3)
```

• When we apply LLL, we get a vector,  $b_1$ :

$$- ||b_1|| \le 2^{3/4} |\det(v_1, v_2, v_3, v_4)| = 2^{3/4} n^{3/4} Y^{3/2}$$

.... Equation 1.

• Let  $b_1 = c_1v_1 + ... + c_4v_4 = (e_0, Ye_1, Y^2e_2, Y^3e_3)$ . Then:

### Attack on RSA using LLL

- Now set  $g(x) = e_3x^3 + e_2x^2 + e_1x + e_0$ .
- From the definition of the  $e_i$ ,  $c_4 f(x) = g(x) \pmod{n}$ , so if m is a solution of  $f(x) \pmod{n}$ ,  $g(m) = c_4 f(m) = 0 \pmod{n}$ .
- The trick is to regard g as being defined over the real numbers, then the solution can be calculated using an iterative solver.
- If  $Y < 2^{(7/6)} n^{(1/6)}$ ,  $|g(x)| \le 2||b_1||$ .
- So, using the Cauchy-Schwartz inequality,  $||b_1|| \le 2^{-1}n$ .
- Thus |g(x)| < n and g(x) = 0 yielding 3 candidates for x.
- Coppersmith extended this to small solutions of polynomials of degree d using a d+1 dimensional lattice by examining the monic polynomial  $f(T) = 0 \pmod{n}$  of degree d when  $|x| \le n^{1/d}$ .

### Example attack on RSA using LLL

- p= 757285757575769, q= 2545724696579693.
- n= 1927841055428697487157594258917.
- B= 200805000114192305180009190000.
- $c = (B + m)3, 0 \le m \le 100.$
- $f(x) = (B+x)3 c = x^3 + a_2x^2 + a_1x + a_0 \pmod{n}$ .
  - $a_2 = 602415000342576915540027570000$
  - $-a_1$ = 1123549124004247469362171467964
  - $-a_0$ = 587324114445679876954457927616
  - $v_1 = (n,0,0,0)$
  - $v_2 = (0,100n,0,0)$
  - $v_3 = (0,0,10^4 n,0)$
  - $v_4 = (a_0, a_1 100, a_2 10^4, 10^6)$

### Example attack on RSA using LLL

- Apply LLL,  $b_1$ =
  - $-308331465484476402v_1 + 589837092377839611v_2 +$
  - $-316253828707108264v_3 + (-1012071602751202635)v_4 =$
  - (246073430665887186108474, -577816087453534232385300, 405848565585194400880000, -1012071602751202635000000)
- g(x)= (-1012071602751202635) t<sup>3</sup> + 40584856558519440088 t<sup>2</sup> + (-57781608745353442323853) t +246073430665887186108474.
- Roots of g(x) are 42.0000000, (-.9496±76.0796i)
- The answer is 42.

### **GGH Public Key System**

- Pick  $n, M \in \mathbb{N}$  and  $\sigma$  is "small", say  $\sigma = 4$
- Plaintext:  $\mathcal{M} = \{x : -M \le x \le M\}$ , Cipher-space:  $\mathcal{C} \in \mathbb{Z}^n$ .
- Gen:
  - 1. Choose  $B \in \mathbb{Z}^{n \times n}$  with small entries  $|B_{ij}| \leq \sigma$
  - 2. Check *B* is invertible. *B* is the secret key.
  - 3. H = HNF(B)
- Enc
  - 1. For  $\vec{m} \in \mathcal{M}^n$ , choose  $\vec{r} \in (-\sigma, \sigma)^n$  uniformly at random
  - 2.  $\vec{c} = H\vec{m} + \vec{r}$
- Dec
  - 1. Babai round  $\overrightarrow{m} = H^{-1}B \downarrow ((B^{-1}(\overrightarrow{c})))$
- Works if  $\ \ B^{-1}(r) = 0$ .

#### **GGH Example**

• 
$$B = \begin{bmatrix} 2 & -3 & 1 & -4 \\ -2 & 1 & 0 & 4 \\ -1 & 3 & 2 & 1 \\ -1 & -4 & 3 & -2 \end{bmatrix}$$
,  $H = \begin{bmatrix} 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ 44 & 18 & 4 & 49 \end{bmatrix}$ 

• 
$$B^{-1} = \frac{1}{49} \begin{bmatrix} 61 & 45 & 10 & -27 \\ -10 & -13 & 8 & -2 \\ 29 & 23 & 16 & -4 \\ 33 & 38 & 3 & -13 \end{bmatrix}$$
,  $H^{-1} = \begin{bmatrix} 1 & 0 & 0 & 0 \\ 0 & 1 & 0 & 0 \\ 0 & 0 & 1 & 0 \\ \frac{-44}{49} & \frac{-18}{49} & \frac{-4}{49} & \frac{1}{49} \end{bmatrix}$ 

- $m = (3, -4, 1, 3)^T$ ,  $r = (-1, 1, 1, -1)^T$ ,  $c = Hm + r = (2, -3, 2, 210)^T$
- $B^{-1}c = \frac{1}{7}(-809, -55, -117, -396)^T$ ,  $Arg B^{-1}c = (-116, -8, -17, -57)^T$
- $B \downarrow B^{-1}c = (3, -4, 1, 211)^T$
- $m = H^{-1}B \mid B^{-1}c \mid 1 = (3, -4, 1, 3)^T$

## Learning with Errors (LWE)

- Based on solving noisy linear equations  $mod\ q$ . Choose  $\overrightarrow{a_i} \in \mathbb{Z}_q^n$  uniformly at random.  $\overrightarrow{s} \in \mathbb{Z}_q^n$  is a secret and  $m \ge n$  approximate equations  $\overrightarrow{a_i} \cdot \overrightarrow{s} = b_i \pmod{q}$ . Errors,  $e_1, e_2, \dots, e_n$  are chosen from distribution  $\chi$ .
- Reduces to LWE:
  - Search LWE problem: Given  $a_{ij}$ ,  $(\vec{b} + \vec{e})$  find  $\vec{s}$ .
  - Decision LWE: Distinguish, with non-negligible probability, between  $\vec{b}=A\vec{s}+\vec{e}$  and  $\vec{b}\in\mathbb{Z}_q^{\ m}$  chosen uniformly at random given  $A,\vec{b}$
- Errors chosen from distribution,  $p(x) = \frac{1}{\sigma\sqrt{2\pi}} \exp(-\frac{x^2}{2\sigma^2})$ . Often use  $s = \sigma\sqrt{2\pi}$  as parameter specifying distribution.
- Regev's showed it is possible to pick parameters so that solving an LWE cipher is equivalent to solving worst-case LWE.
  - Theorem (Regev): Let  $n \in \mathbb{N}$  be a security parameter,  $m, q \in \mathbb{N}$ , polynomial in n and  $\chi = D_{\mathbb{Z},S}$  a discrete Gaussian distribution with  $s = \alpha q > 2\sqrt{n}$ ,  $0 < \alpha < 1$ . Then solving the LWE decision problem is at least as hard as quantumly solving  $SIVP_{\Upsilon}$  on an arbitrary n-dimensional lattice where  $\gamma = \widetilde{O}(n/\alpha)$ .

#### LWE cryptosystem

- Given  $(n \ge m, l, t, r, q, \chi)$  where  $\chi$  is a probability distribution  $\mathbb{Z}_q$ , message space is  $\mathbb{Z}_2^l$  and cipher space is  $\mathbb{Z}_q^n \times \mathbb{Z}_q^l$ .
- Key Gen
  - 1. Choose  $S \in \mathbb{Z}_q^{n \times l}$ , uniformly from the distribution  $\chi$ .
  - 2. Choose  $A \in \mathbb{Z}_q^{m \times n}$ , and  $E \in \mathbb{Z}_q^{m \times l}$  uniformly from the distribution  $\chi$ .
  - 3. Private key is S, public key is (A, P = AS + E)
- Enc
  - 1. For  $\vec{v} \in \mathbb{Z}_2^l$ , choose  $\vec{a} \in \{0,1\}^m$ , uniformly at random

2. 
$$\overrightarrow{CT} = (\overrightarrow{u} = A^T \overrightarrow{a}, \overrightarrow{c} = P^T \overrightarrow{a} + \lceil \frac{q}{2} \rfloor \overrightarrow{v}))$$

- Dec
  - 1. Compute  $\lceil (\lceil \frac{q}{2} \rfloor)^{-1} (\vec{c} S^T \vec{u}) \rceil \pmod{2}$
- Decryption may have errors. Suppose  $\chi$  is a discrete Gaussian  $D_{\mathbb{Z},s}$ . Then  $E^T\vec{a}$  has magnitude  $\leq \sqrt{m}s$  with high probability. Error occurs if  $E^T\vec{a} \geq \frac{q}{4}$ . One can show that for any n,  $\exists q$ , m, s such that the error is small and the underlying LWE problem is hard.

• 
$$n = 4, q = 23, m = 8, \alpha = \frac{5}{23}, s = 5, \sigma = \frac{s}{\sqrt{2\pi}}, l = 4$$

$$A^{m \times n} = A = \begin{bmatrix} 9 & 5 & 11 & 13 \\ 13 & 6 & 6 & 2 \\ 6 & 21 & 17 & 18 \\ 22 & 19 & 20 & 8 \\ 2 & 17 & 10 & 21 \\ 10 & 8 & 17 & 11 \\ 5 & 16 & 12 & 2 \\ 5 & 7 & 11 & 7 \end{bmatrix}, S^{n \times l} = S = \begin{bmatrix} 5 & 2 & 9 & 1 \\ 6 & 8 & 19 & 1 \\ 19 & 18 & 9 & 18 \\ 9 & 2 & 14 & 18 \end{bmatrix}$$

$$E^{m \times l} = E = \begin{bmatrix} 0 & 22 & 1 & 21 \\ 0 & 22 & 22 & 22 \\ 6 & 21 & 17 & 18 \\ 22 & 22 & 22 & 0 \\ 0 & 0 & 0 & 0 \\ 0 & 0 & 1 & 2 \\ 1 & 22 & 1 & 22 \\ 22 & 0 & 0 & 1 \end{bmatrix}, P^{m \times l} = P = \begin{bmatrix} 10 & 5 & 21 & 7 \\ 3 & 1 & 13 & 1 \\ 19 & 15 & 6 & 13 \\ 22 & 22 & 22 & 0 \\ 9 & 20 & 20 & 17 \\ 15 & 21 & 1 & 2 \\ 0 & 12 & 3 & 19 \\ 16 & 2 & 7 & 15 \end{bmatrix}$$

- Encrypt  $\vec{v} = (1,0,1,1)^T$ , using  $a = (1,1,0,1,0,0,0,1)^T$ -  $l \frac{23}{2} \vec{v} = (12,0,12,12)^T$ , -  $(u,c) = (A^T a, P^T a + l \frac{23}{2} m 1) = ((3,14,2,7)^T, (4,5,7,5)^T) (mod 23)$
- Decrypt:
  - $-\vec{v}' = c S^T u = (11,21,12,10)^T \pmod{23},$
  - $\downarrow \frac{1}{12} \vec{v}' \uparrow (mod 2) = (1,0,1,1)^T$

- Encrypt  $m = (1,0,1,1)^T$ , using  $a = (1,1,0,1,0,0,0,1)^T$ 
  - $\lim_{T \to T} \frac{23}{2} m = (12,0,12,12)^T$
  - $(u,c) = \left(A^{T}a, P^{T}a + \frac{23}{2}m \right) = ((3,14,2,7)^{T}, (4,5,7,5)^{T})(mod 23)$
- Decrypt:
  - $-m'=c-S^Tu=(11,21,12,10)^T \pmod{23},$
  - $\downarrow \frac{1}{12}m' \uparrow (mod 2) = (1,0,1,1)^T$

From Heiko Knopse

# LWE/Ring-LWE parameters

Level	n	q	S	Р	P&A	С	Exp
Low	128	4093	8.87	$2.9 \times 10^5$	$7.4 \times 10^5$	$3.8 \times 10^{3}$	30
High	320	4093	8	$4.9 \times 10^5$	$17.7 \times 10^{5}$	$17.4 \times 10^3$	42

Ring-LWE cuts ciphertext by factor of n

#### Ring-LWE

- Put  $R = R_{n,q} = \frac{\mathbb{Z}_q[x]}{x^{n+1}}$ ,  $n = 2^k$ ,  $R \approx \mathbb{Z}_q^n$ .  $a \in R$ , generates ideal (a) corresponding to a q-ary ideal lattice.
- Ring LWE: Given  $a \in R$ , and b = as + e, for  $s, e \in R$ , find s.
- Solving R-LWE is at least as hard as solving  $CVP_{\gamma}$  on arbitrary ideal lattices

#### NTRU Public Key System

- NTRU is a ring lattice-based system.
- $R = \frac{\mathbb{Z}[x]}{x^{N-1}}, R_p = \frac{\mathbb{Z}_p[x]}{x^{N-1}}, R_q = \frac{\mathbb{Z}_q[x]}{x^{N-1}}$
- $(c_0 + c_1 x + \dots + c_{N-1}) = (a_0 + a_1 x + \dots + a_{N-1}) \otimes (b_0 + b_1 x + \dots + b_{N-1})$ , where  $c_k = \sum_{i+j=k \ (mod \ N)} a_i b_j$
- $\mathcal{T}(d_1,d_2)$  is the set of "ternary" polynomials of degree < N, having  $d_1$  coefficients equal to 1, having  $d_2$  coefficients equal to -1, and remaining coefficients equal to 0.
- Pick N, p prime and  $q, d \in \mathbb{N}, (p, q) = (N, q) = 1, q > (6d + 1)p$ .

#### NTRU Public Key System

#### KeyGen

- 1. Pick  $f, g \in R, f \in \mathcal{T}(d+1,d), g \in \mathcal{T}(d,d)$ .
- 2. Find  $f_p, f_q: f \cdot f_p = 1 \pmod{p}, \ f \cdot f_q = 1 \pmod{q}, \ h = f_q \cdot g \pmod{q}$ .
- 3. Public key is (N, p, q, h), private key is f.
- Plaintext is  $m \in R_p$ , ciphertext is  $c \in R_q$
- Encryption
  - 1. Chose random  $r \in R, r \in \mathcal{T}(d, d)$ .
  - 2.  $c = prh + m \pmod{q}$ .
- Decryption
  - 1. Compute  $a = fc \pmod{q}$
  - 2. Plaintext is  $f_p$ a.
  - 3. Verify that  $a = fc = f(prh + m)(mod q) = pfrf_q g + fm(mod q) = prg + fm(mod q)$ .

#### NTRU Example

• 
$$N = 5, p = 3, q = 29, d = 1, f = x^4 + x^3 - 1, g = x^3 - x^2$$

• 
$$f_p = -x^3 - x^2 + x - 1$$
,  $f_q = -5x^4 + 8x^3 + 3x^2 + 11x + 13$ 

• 
$$h = f_q g = 8x^4 + 2x^3 + 11x^2 + 13x - 5 \pmod{29}$$

$$\bullet \quad r = x^4 - x$$

• 
$$c = prh + m = 8x^4 + 21x^3 + 25x^2 + 20x + 15 \pmod{29}$$

• 
$$a = fc = -2x^4 + 2x^3 + 4x^2 - 3x + 1 \pmod{29}$$

- We check a = prg + fm in R
- $m = x^3 + x$

#### Some NIST Round 3 entries

- Public-Key Encryption/KEMs
  - Classic McEliece
  - CRYSTALS-KYBER
  - NTRU
  - SABER
- Digital Signatures
  - CRYSTALS-DILITHIUM
  - FALCON
  - Rainbow

- Public-Key Encryption/KEMs (Alternates)
  - BIKE;
  - FrodoKEM
  - HQC
  - NTRU Prime
  - SIKE
- Digital Signatures
  - GeMSS
  - Picnic
  - SPHINCS+

Winner: Dilithium (signing), Kyber (key-encapsulation)

# Some common features of Dilithium and Kyber

- Ring is  $\mathbb{Z}_p[x]/(x^{256}+1)$  in both cases
  - p = 3329 for Kyber
  - $p = 2^{23} 2^{13} + 1 = 8380417$  for Dilithium
  - So, the same modular arithmetic we all grew up with.
- For p=3329, there is a primitive (and hence 128 primitive) 256<sup>th</sup> roots of unity (You are not expected to understand this).
  - As a result,  $x^{256} + 1$  factors into coprime 128 quadratics
  - Allows us to perform a "Number Theory Transform" that turns convolution into pointwise multiplication for ring operations giving a nice speedup
- For p=8380417, there is a primitive (and hence 256 primitive) 512th roots of unity
  - As a result,  $x^{256} + 1$  factors into coprime 256 linear polys
    - Allows us to perform a "Number Theory Transform" that turns convolution into pointwise multiplication for ring operations giving a nice speedup

#### Useful definitions

- $r^+ = r \pmod{q}, q > r^+ \ge 0$
- $r' = r \mod^{\pm}(m)$  means  $r' = r \pmod{m}$  and  $-\frac{m}{2} \le r' \le \frac{m}{2}$ , if m is even;  $-\frac{m}{2} < r' \le \frac{m}{2}$ , if m is odd
- $decompose(r, \alpha, q)$ 
  - $r_0 = r^+ mod^{\pm}(\alpha)$
  - if  $r^+ r_0 == (q 1)$ 
    - $r_1 = 0$ ,  $r_0 = q 1$
  - else
    - $r_1 = \frac{r^+ r_0}{\alpha}$
  - return  $(r_1, r_0)$

#### Useful definitions

- $lowbits(x, \alpha, q)$ 
  - $(r_1, r_0) = decompose(x, \alpha, q)$
  - return  $r_0$
- $highbits(x, \alpha, q)$ 
  - $(r_1, r_0) = decompose(x, \alpha, q)$
  - return  $r_1$
- power2round(r, d, q)
  - $r^+ = r \mod(q)$
  - $r_0 = r^+ mod^{\pm}(2^d)$
  - return  $(\frac{r^+-r_0}{2^d}, r_0)$

# **Examples**

•  $decompose(r, \alpha, q)$  examples (second shows roundoff edge case)

q	α	r	$r  mod^{\pm}(\alpha)$	$r-r mod^{\pm}(\alpha)$	$r_0$	$r_1$
17	8	5	-3	8	-3	1
17	8	15	-1	16	-2	0
3329	104	50	50	0	50	0
3329	104	100	-4	104	-4	1

# SHAKE-256/SHAKE-128

- H(v,d) = SHAKE256(v,d)
- $H_{128}(v,d) = SHAKE128(v,d)$
- RAWSHAKE256(J, d) = KECCAK[512](J||11, d)
- SHAKE256(M,d) = RAWSHAKE256(M||11,d)
- RAWSHAKE128(J, d) = KECCAK[256](J||11, d)
- SHAKE128(M, d) = RAWSHAKE128(M||11, d)
- Note
  - $SHA3_{256}(M) = KECCAK[512](M||11,256)$
  - $SHA3_{512}(M) = KECCAK[1024](M||11,1024)$

# Number Theory Transform (NTT)

- $p = 3329, p 1 = 2^8 \cdot 13.$
- $\mathbb{Z}_p$  has a primitive 256th root of unity ( $\zeta = 17$  is a primitive root) but no 512 root of unity, so  $x^{256} + 1$  factors into 128 coprime quadratic factors of the form  $(x^2 \xi)$ ,  $17^{128} = -1$ .
- $x^{256} + 1 = \prod_{k=0}^{127} (x^2 \zeta^{2 \cdot bitrev_7(k) + 1}).$
- $bitrev_7(k)$  reverses the bit order in a 7-bit byte, k.

• 
$$x^{256} + 1 = (x^2 - 17) \cdot (x^2 - 17^{129}) \cdot \dots \cdot (x^2 - 17^{255})$$

- For p = 8380417,  $\zeta = 1753$  is a primitive 512<sup>th</sup> root of unity,
  - $p-1=2^{13}(2^{10}-1)=2^{13}\cdot 3\cdot 11\cdot 31$ .
- Because of this, an analog of the Chinese remainder theorem holds in  $R_p = \frac{\mathbb{Z}_p(x)}{x^{256}+1}.$

### NTT for Dllithium

• 
$$NTT: R_p \to T_p, f \mapsto \hat{f}, T_q = \prod_{i=0}^{255} \mathbb{Z}_q$$

- For  $f \in R_p$ 
  - $\hat{f} = \prod_{i=0}^{511} f \pmod{x \zeta^{2i+1}}$ ,  $\zeta = 1753$ , so each element in the vector is just an element of  $\mathbb{Z}_p$
  - If  $a(x) = a_0 + a_1x + a_2x^2 + \dots + a_{511}x^{255}$
  - $\hat{a} = (a(r_0), a(-r_0), ..., a(r_{127}), a(-r_{127})), r_i = \zeta^{i+128}$
- Multiplication is then pointwise

# Dilithium template

```
• Gen
```

- $A \leftarrow R_q^{k \times l}$ •  $(\mathbf{s_1}, \mathbf{s_2}) \leftarrow S_{\eta}^l \times S_{\eta}^k$
- $t = As_1 + s_2$
- return  $(pk = (A, t), sk = (A, t, s_1, s_2))$
- Verify $(pk, M, \sigma = (\mathbf{z}, c))$ 
  - $w_1' = highbits(Az ct, 2\gamma_2)$
  - return  $||z||_{\infty} < \gamma_1 \beta \land c == H(M||w_1'|)$

- Sign(*sk*, *m*)
  - z=⊥
  - while  $z == \bot$ 
    - $y \leftarrow S_{\gamma_1-1}^l$
    - $w_1 = highbits(Ay, 2\gamma_2)$
    - $-c \in B_{60}, c = H(M||w_1)$
    - // view c as polynomial in  $R_q$
    - $-z=y+cs_1$
    - if  $||\mathbf{z}||_{\infty} < \gamma_1 \beta \lor$  $||lowbits(Ay - cs_2, 2\gamma_2)||_{\infty} \ge \gamma_2 - \beta$ 
      - z=⊥
  - return  $\sigma = (\mathbf{z}, c)$

For real Dilithium, k = 5, l = 4

# Dilithium security argument -1

$$\eta = 5, \gamma_1 = \frac{q-1}{16}, \gamma_2 = \frac{\gamma_1}{2}, R_q = \frac{\mathbb{Z}_q[x]}{x^{256}+1}, q = 2^{23} - 2^{13} + 1, 
q - 1 = 2^{13} \cdot 3 \cdot 11 \cdot 31. k = 5, l = 4$$

1. 
$$A \leftarrow R_q^{k \times l}$$
,  $(s_1, s_2) \leftarrow S_\eta^l \times S_\eta^k$ ,  $t = As_1 + s_2$ ,  $pk = (A, t)$ ,  $sk = (A, t, s_1, s_2)$ ,  $S = R_q$ 

2. 
$$\mathbf{y} \leftarrow S_{\gamma_1-1}^l$$
,  $\mathbf{w}_1 = highbits_{2\gamma_2}(A\mathbf{y})$ 

- Write coefficients of  $\mathbf{w} = A\mathbf{y}$ , as  $\mathbf{w}^{[i]} = (2\gamma_1)\mathbf{w}_1^{[i]} + \mathbf{w}_0^{[i]}$
- $\mathbf{w_1} = highbits_{2\gamma_2}(A\mathbf{y})$  then  $\mathbf{w}_0^{[i]} < \gamma_2$
- 3.  $c \in B_{60}$ ,  $c = H(M||w_1)$ . Set  $\beta = \max_i((cs_1)^{[i]})$ . Then  $\beta \leq 60\eta$ .
- 4. Set  $z = y + cs_1$ , if any coefficient of  $z > \gamma_1 \beta$ , reject and start over.
- 5. If any coefficient of  $lowbits_{2\gamma_2}(A\mathbf{z}-c\mathbf{t}) > \gamma_2 \beta$ , reject and start over.
  - Note:  $A\mathbf{z} c\mathbf{t} = A\mathbf{y} c\mathbf{s}_2$
  - coefficients of  $\mathbf{z} \leq \gamma_1 \beta$ , coefficients of  $lowbits_{2\gamma_2}(A\mathbf{z} c\mathbf{t}) \leq \gamma_2 \beta$
- 6. Signature is  $\sigma = (\mathbf{z}, c)$ 
  - $c \in B_{60}$  is ensured by SampleInBall in the final algorithm.
  - Parameters chosen so that expected rejections in steps 4 and 5 is between 4 and 7.

# Dilithium security argument - 2

#### Verification

- $Az ct = Ay cs_2$
- To show  $highbits_{2\gamma_2}(A\mathbf{z}-c\mathbf{t})=highbits_{2\gamma_2}(A\mathbf{y})$ , we need only show  $highbits_{2\gamma_2}(A\mathbf{y})=highbits_{2\gamma_2}(A\mathbf{y}-c\mathbf{s_2})$ .
  - This follows because  $\left|lowbits_{2\gamma_2}(A\mathbf{y}-c\mathbf{s}_2)\right|_{\infty}<\gamma_2-\beta$ ; and,
  - The coefficients of  $||cs_2||_{\infty} < \beta$
  - Adding  $c\mathbf{s}_2$  never causes a carry of  $\gamma_2$  from the lowbits and, hence,  $highbits_{2\gamma_2}(A\mathbf{z}-c\mathbf{t})=highbits_{2\gamma_2}(A\mathbf{y})$
  - Now we can compute  $highbits_{2\gamma_2}(\pmb{w}_1)$  and hence  $H(M||\pmb{w}_1)$

# Template > Dilithium

- NTT is used to speed multiplications.
- Produce hint, h to help verifier calculate  $w'_1$  in verify.
  - $r_1 \leftarrow Highbits(r), \upsilon \leftarrow Highbits(r+z), h \leftarrow [[r_1 \neq v]]$
  - $h \leftarrow MakeHint(-\ll(ct_0)\gg, w-\ll cs_2\gg+\ll ct_0\gg)$
  - $\tilde{c} \leftarrow H(\mu||w_1,\lambda)$
- Drop d=13, bottom bits in t.  $\omega=75$  is man number of 1's in h.
- In final algorithm, A, is generated from a seed using SHAKE-128.
- Notes:
  - Compute  $w'_1 = highbits_{2\gamma_2}(Az ct)$  from the compressed public key.
  - SampleinBall, guarantees  $c \in B_{60}$  using Fisher-Yates shuffle on  $H(M||w_1)$

# Template → Dilithium

- $\xi \leftarrow H(\{0,1\}^{256}), (\rho, \rho', K) \leftarrow H(\xi, 512), \hat{A} \leftarrow Expand(\rho)$
- $tr \leftarrow H(pk, 512)$ , sign:  $\mu \leftarrow H(tr||M, 512)$ ,  $(\hat{s}_1, \hat{s}_2) \leftarrow ExpandS(\rho')$ .
- $(t_1, t_0) \leftarrow Power2Round(t, d), sk \leftarrow (\rho, K, tr, s_1, s_2, t_0)$
- $Usehint(h, w'_{appx}), r, z \in \mathbb{Z}_q$ 
  - $m \leftarrow \frac{q-1}{2\gamma_2}$ ,  $(r_1, r_0) \leftarrow decompose(r)$
  - If  $(h == 1 \land r_0 > 0)$  return  $(r_1 + 1) \mod m$
  - If  $(h == 1 \land r_0 \le 0)$  return  $(r_1 1) \mod m$
  - return  $r_1$

Algorithm	Public key	Private key size	Signature size
ML-DSA-87	4864	2592	4595

### Dilithium, unedited, motivation

- Basic scheme is Fiat-Shamir MSA-DL with aborts.
- Classic version with discrete log is:
  - Prover and verifier know  $(g, y = g^x)$ . Prover knows x.
  - 1. Prover generates r, sends commitment  $g^r$ .
  - 2. Verifier sends c.
  - 3. Prover returns s = r cx.
  - 4. Verifier can check  $g^s \cdot y^c = g^r$
- Non interactive version replaces c with hash of  $g^r || M$
- LWE version
  - Publish A,  $t = As_1 + s_2$
  - Prover: Pick, y, commit by sending  $w_{approx} = Ay + y_2$ ,  $y_2$  has small coefficients.
  - Verifier: Send challenge, c.
  - Prover:  $z = y + cs_1$
  - Verifier: Check z and  $Az tc \approx w_{approx}$

# Dilithium (simplified)

- Remember  $A^{k \times l}$  is generated randomly from  $R = \mathbb{Z}_p[x]/(x^{256} + 1)$ .
- $s_1$  is a vector of dimension l with entries from R has random coefficients  $\leq \eta$
- $s_2$  is a vector of dimension k with entries from R has random coefficients  $\leq \eta$
- $t = As_1 + s_2$

```
Sign y \coloneqq S_{\gamma_1-1}^{\quad l} w_1 \coloneqq \text{highbits}(Ay, 2\gamma_2) c \coloneqq SH(M||w_1) z \coloneqq y + cs_1 \text{return}(z, c)
```

```
Verify w_1'\coloneqq \text{highbits}(\text{Az}-\text{ct},2\gamma_2) c'\coloneqq SH(M||w_1') Check c'==c AND ||z||_{\infty}<\gamma_1-\beta
```

# Dilithium (less simplified)

**Parameters:** 
$$p = 8380417$$
,  $k = 5$ ,  $l = 4$ ,  $\gamma_1 = \frac{p-1}{16}$ ,  $\gamma_2 = \frac{\gamma_1}{2}$ ,  $\eta = 5$ ,  $\beta = 275$   $R_p = \frac{\mathbb{Z}_p[x]}{r^{256}+1}$ 

#### KeyGen

- $A \in \mathbb{R}_p^{k \times l}$ , selected from random distribution over  $\mathbb{R}_p$
- $(s_1, s_2) \in S_{\eta}^k \times S_{\eta}^l$ , selected at random,  $S_{\eta}^k$  consists of elements of  $R_p^k$  with coefficients  $\leq \eta$
- Set  $t = As_1 + s_2$
- Public key is (A, t), Private key is  $(s_1, s_2)$ For the sake of compression A is generated from a seed and SHAKE-256

### Dilithium

• Sign(pk, sk, M) --- simplified

```
1. z = \bot
2. while (z = \bot) {
3. y = S_{\gamma_1}{}^l - 1
4. w_1 = highbits(Ay, 2\gamma_2)
5. c = SHAKE - 256(M||w_1)
6. z = y + cs_2
7. if (||z||_{\infty} \ge \gamma_1 - \beta) OR lowbits(Ay - cs_2, 2\gamma_1) \ge \gamma_2 - \beta) then z = \bot
8. }
Signature is (z, c)
```

 Real Dilithium uses a number of functions to generate A from a seed. It also has a hedged version and a deterministic version. The hedged version avoids some possible side channels.

### Dilithium

- Verify(pk, M,z, c) --- simplified
  - 1.  $w_1' = highbits(Az ct, 2\gamma_2)$
  - 2. Return true if  $||z||_{\infty} \le \gamma_1 \beta$  AND  $c = SHAKE 256(M||w_1'|)$ , otherwise return false

• usehint(h,r)•  $m=\frac{p-1}{2\gamma_2}$ •  $(r_1,r_0)=decompose(r,2\gamma_2,p)$ • If h==1 and  $r_0>0$  then return  $(r_1+1)mod(m)$ • If h==1 and  $r_0\leq 0$  then return  $(r_1-1)mod(m)$ • return  $r_1$ • makehint(z,r)•  $r_1=highbits(r)$ •  $v_1=highbits(r+z)$ • return  $r_1\neq v_1$ 

```
• RejNTTPoly(\rho) // returns NTT polynomial
     • c = 0; j = 0
     • while (j < 256)
         - \hat{a}[j] = coeffFromThreeBytes(H_{128}(\rho||c), H_{128}(\rho||c+1), \dots, H_{128}(\rho||c+2))
         - c += 3
         - If (\hat{a}[j] \neq \perp) then j + +
     • return \hat{a}
• RejBoundedPoly(\rho)
     • c = 0; j = 0
     • while (j < 256)
         -z = H(\rho)[c]
         - z_0 = CoeffFromHalfByte(z mod(16), \eta)
         - z_1 = CoeffFromHalfByte(\lfloor z/16 \rfloor, \eta)
         - If (z_0 \neq \perp)
             -a_{j}=z_{0}; j++
```

return a

• c++

- If  $(z_1 \neq \perp \text{ and } j < 256)$ 

 $- a_j = z_1; j + +$ 

```
ExpandA(\rho)
   • for(r = 0; r < k; k + +)
      for (s = 0; s < l)
         \hat{A}[r,s] = RejNTTPoly(\rho||IntegerToBits(s,8)||INtegerToBits(r,8))
   return Â
ExpandS(\rho)
   • for (r=0; r<1; r++)
      - s_1[r] = RejBoundedPoly(\rho||IntegerToBits(r, 16))
   • for (r=0; r<k; r++)
      - s_2[r] = RejBoundedPoly(\rho||IntegerToBits(r + l16))
return (s_1, s_2)
ExpandMask(\rho, \mu)
   • c = 1 + bitlen(\gamma_1 - 1)
   • for(r = 0; r < l; r + +)
      - n = IntegerToBits(\mu + r, 16)
      - v = (H(\rho||n)[32rc], H(\rho||n)[32rc+1], ..., H(\rho||n)[32rc+32c-1])
      -s[r] = BitUnpack(v, \gamma_1 - 1, \gamma_1)
     return s
```

```
• // Calculate c(x), coefficients are 1, -1 or 0

• SampleinBall(\rho, \tau)

• c(x) \coloneqq 0; k=8;

• for(i=256-\tau; i<256; i++)

- while(H(\rho)[[k]]>i) // H(\rho)[[k]] is kth byte k++

j=H(\rho)[k]

c_i=c_j

c_j=(-1)^{H(\rho)[i+\tau-256]} // [k] is bit position k

k++

• return c
```

SampleInBall generates an element of  $B_{60}$  pseudorandomly; it is based on the Fisher-Yates shuffe. The first 8 bytes of H( $\rho$ ) choose the signs of the nonzero entries of c; subsequent bytes choose the positions of those nonzero entries

Here H is SHAKE256 used as an XOF.

### NTT for Dilithium

```
NTT(w) --- outputs \widehat{w_i} = (w(\zeta_0), w(-\zeta_0), w(\zeta_1), w(-\zeta_1), ..., w(-\zeta_{127}))
  • for(j = 0; j < 256; j + +) \widehat{w}[j] = w[j]
      - k = 0; len = 128
      - while(len \geq 1)
         • start = 0
         • while (start < 256)
           - k + +
           - zeta = \zeta^{bitrev(k)} \mod(q)
           - for(j = start; j \le start + len - 1)
             • t = zeta \cdot \widehat{w}[j + len]
             • \widehat{w}[j + len] = \widehat{w}[j] - t
             • \widehat{w}[j] = \widehat{w}[j] + t
           - start += 2 \cdot len
         • len = len/2
```

### NTT for Dilithium

```
• NTT^{-1}(\widehat{w})
    • for(j = 0; j < 256; j + +) w[j] = \widehat{w}[j]
    • k = 256; len = 1
    • while(len < 256)
       - start = 0
       while (start < 256)</li>
          • k — —
          • zeta = \zeta^{bitrev(k)} mod(q)
          • for(j = start; j \le start + len - 1)
           -t=w|j|
           -w[j] = t + w[j + len]
           -w[j+len] = t-w[j+len]
           -w[i+len] = zeta \cdot w[i+len]
           - start += 2 \cdot len
       - len = len/2
    • f = 8347861
    • for(j = 0; j < 256; j + +) w[j] = f \cdot w[j]
```

### Dilithium, unedited, motivation

- Preliminary lattice version is prover generates:  $A \in \mathbb{Z}_q^{k \times l}$ ,  $S_1 \in \mathbb{Z}_q^{l \times n}$ ,  $S_2 \in \mathbb{Z}_q^{k \times n}$ , with short coefficients and computes  $t = AS_1 + S_2$ . Public key is (A, t). Private key is  $(S_1, S_2)$ 
  - 1. Prover generates  $y \in \mathbb{Z}_q^l$  with "small coefficients". Sends commitment as Ay
  - 2. Verifiers sends challenge  $c \in \mathbb{Z}_q^n$  with small coefficients
  - 3. Prover returns  $z = y + S_1 c$ .
  - 4. Verifier checks coefficients of z are small and that  $Az tc \approx Ay$
- To avoid having z leak  $S_1$ , signer applies rejection sampling to z.

#### Dilithium

- 1. Uses elements of  $R_q = \frac{\mathbb{Z}_q[x]}{x^{256}+1}$  rather than  $\mathbb{Z}_q$ .
- 2. Uses a seed,  $\rho$ , to generate A, compresses t by dropping low order bits.
- 3. Signs a message representative,  $\mu$ , which is a hash of the public key and the message
- 4. Uses a rounded version of w = Ay,  $w_1$ .
- 5. Provides a hint, h, to help reconstruct  $w_1$  from z

# Dilithium parameters for security category 5

Parameter	Meaning	Value
q	modulus	8380417
d	# dropped bits from t	13
τ	# $\pm 1$ s in $c(x)$	60
λ	Collision strength	256
$\gamma_1$	Coefficient range of y	2 <sup>19</sup>
$\gamma_2$	Low order rounding range	$\frac{q-1}{32}$
(k, l)	Dimensions of A	(8,7)
$\eta$	Private key range	2
$\beta = \tau \cdot \eta$		120
ω	Max # of 1's in hint	75

# Dilithium, Keygen

#### Keygen

- 1.  $\xi \coloneqq \mathbb{Z}_2^{256}$  (random)
- 2.  $(\rho, \rho', K) := H(\xi, 1024)$ , (256, 512, 256) bits respectively
- 3.  $\hat{A} := ExpandA(\rho)$
- 4.  $(s_1, s_2) := ExpandS(\rho')$
- 5.  $t := NTT^{-1} \left( \hat{A} NTT(s_1) \right) + s_2$
- 6.  $(t_1, t_0) := Power2Round(t, d)$
- 7.  $pk := pkEncode(\rho, t_1)$
- 8. tr := H(BytesToBits(pk), 512)
- 9.  $sk := skEncode(\rho, K, tr, s_1, s_2, t_0)$
- 10. return (pk, sk)

# Dilithium, Sign

```
1. (\rho, K, tr, s_1, s_2, t_0) = skdecode(sk)
2. \widehat{s_1} := NTT(s_1), \widehat{s_2} := NTT(s_2), \widehat{s_1} := NTT(t_0); \widehat{A} := ExpandA(\rho)
3. \mu := H(tr||M,512); rnd := \mathbb{Z}_2^{256}
4. \rho' := H(K||rnd||\mu, 512)
5. \kappa = 0
6. while(1) {
           a. y = ExpandMask(\rho', \kappa)
           b. w := NTT^{-1}(\widehat{A}NTT(y)), \quad w_1 := highbits(w, 2\gamma_2)
           c. \tilde{c} := H(\mu||w1Encode(w_1), 2\lambda)
           d. (\hat{c}_1, \hat{c}_2) := first 256 and last 256 – 2\lambda bits
           e. c := SampleBall(\hat{c}_1); \hat{c} = NTT(c)
           f. cs_1 := NTT^{-1}(\hat{c} \hat{s}_1); cs_2 := NTT^{-1}(\hat{c} \hat{s}_2);
           g. z := y + cs_1
           h. r_0 := lowbits(w - cs_2)
           i. If (||z||_{\infty} \ge \gamma_1 - \beta \text{ or } ||r_0||_{\infty} \ge \gamma_2 - \beta \text{ then continue}
           j. ct_0 := NTT^{-1}(\tilde{c}t_0); h := makehint(-ct_0, w - cs_2 + ct_0)
           k. If (||ct_0||_{\infty} < \gamma_2 and # 1's in h \le \omega) then break
           l \kappa += l
       9. \sigma := sigEncode(\tilde{c}, z mod^{\pm}(q), h)
```

# Dilithium, Verify

#### Verify

```
1. (\rho, t_1) \coloneqq pkdecode(pk)

2. (\tilde{c}, z, h) \coloneqq sigdecode(\sigma)

3. \hat{A} \coloneqq ExpandA(\rho)

4. tr \coloneqq H(BytestoBits(pk), 512)

5. \mu \coloneqq H(tr||M, 512)

6. (\tilde{c}_1, \tilde{c}_2) \coloneqq \text{first } 256 \text{ and } \text{last } 256 - 2\lambda \text{ bits}

7. c \coloneqq SampleBall(\tilde{c}_1)

8. w'_{appx} \coloneqq NTT^{-1}(\tilde{A} \cdot NTT(z) - NTT(c)NTT(t_12^d))

9. w'_1 \coloneqq usehint(h, w'_{appx})

10. \tilde{c}' \coloneqq H(\mu||w1Encode(w'_1, 2\lambda))

11. \text{return } ||z||_{\infty} < \gamma_1 - \beta \text{ and } \tilde{c} == \tilde{c}' \text{ and } \# 1\text{'s in } h \le \omega
```

# Kyber

- Kyber is a key encapsulation algorithm that uses a public key encryption algorithm similar to Dilithium in conjunction with an encapsulation mechanism (Fujisaki-Okamoto transform) which converts a conditionally secure encryption into a CCA safe encapsulation. Here are some definitions.
  - $PRF_{\eta,b}(s,b) = shake256(s||b,64 \cdot \eta)$
  - $XOF(\rho, i, j) = shake128(\rho||i||j)$
  - $H(s) = sha3_{256}(s)$
  - $I(s) = shake256_{32}(s)$
  - $G(s) = sha3_{512}(s)$
  - NTT and  $NTT^{-1}$  are different for Kyber and Dilithium
- Fujisaki-Okamoto transform:
  - $\mathcal{E}_{pk}^{hy}(m) = \mathcal{E}_{pk}^{asym}(\sigma, H(\sigma, m)) || \mathcal{E}_{G(\sigma)}^{sym}(m)$
  - $\sigma$  is random string, G, H are hash functions,  $\mathcal{E}_{G(\sigma)}^{sym}$  is symmetric encryption with key  $G(\sigma)$  and  $\mathcal{E}_{pk}^{asym}$  is original asymmetric encryption algorithm.

```
• Parse: \mathcal{B}^* \to R_q^n
  Input: B = b_0, b_1, \dots \in \mathcal{B}^*
• Output: \hat{a} \in R_a^n,
      i = 0; j = 0;
      while j < i
          d = b_i + 256 \cdot b_{i+1}
           if d < 19q
              \widehat{a_i} = d
             j + +
          i += 2
      return \hat{a}_0 + \hat{a}_1 x + \cdots + \hat{a}_{n-1} x^{n-1}
```

- $SamplePolyCBD(B,\eta))$  --- samples from (Central Binomial) distribution  $D_{\eta}(R_q)$  Output:  $f \in R_q^{256}$   $b \coloneqq ByteToBits(B)$  for(i=0;i<256;i++)  $x = \sum_{j=0}^{\eta-1}b[2i\eta+j]; y = \sum_{j=0}^{\eta-1}b[2i\eta+\eta+j]$   $f[i]\coloneqq (x-y)\ mod(q)$  return f
- $Sample(a_1, a_2, ..., a_{\eta}, b_1, ..., b_{\eta}) \leftarrow \{0,1\}^{2\eta}$ , output  $\sum_{i=1}^{\eta} (a_i b_i)$
- For central binomial distribution with N=10000,  $p=rac{1}{2}$  ,  $\sigma=\sqrt{Np(1-p)}$  ,

• 
$$P(4900 \le n_1 \le 5100) = \sum_{j=4900}^{5100} {N \choose j} p^j (1-p)^{N-j} \approx \Phi(\frac{5100-5000}{50}) - \Phi(\frac{5100-5000}{50}),$$

Φ is CDF for normal distribution

- $encode_d(x)$ , x is an array of length 256,  $m=2^d$ ,  $1 \le d \le 12$  for (i = 0; i < 256; i++)

   a = x[i]• for (j=0; j < d; j++)

    $b[d \cdot i + j] = a \pmod{2}$   $a = \frac{a-b[d \cdot i+j]}{2}$ 
  - return bits-to-bytes(b)
- $decode_d(x)$ , x is a byte array of length 32d,  $m=2^d$ ,  $1 \le d \le 12$ 
  - b = bytes to bits(x)
  - for (i=0; i < 256; i++)</li>
    - $out[i] = \sum_{j=0}^{d-1} b[i \cdot d + j] \cdot 2^{j}$
  - return out

```
• SampleNTT() --- samples uniformly from T_q i \coloneqq 0; j \coloneqq 0 while (j < 256) d_1 = b[i] + 256(b[i+1]mod(16)) d_2 = b[i+1]/16 + 16(b[i+2]) If (d_1 < q) \hat{a}[j] = d_1; j+1 If (d_2 < q) and (d_2 < q) and (d_3 < q) (d
```

- $compress(x, d, q) --- compress_d: \mathbb{Z}_q \to \mathbb{Z}_{2^d}, x \to \stackrel{?}{\uparrow} \frac{2^d}{q} \cdot x \uparrow$   $x \to \stackrel{?}{\downarrow} \frac{2^d}{q} \cdot x \downarrow$
- $decompress(y, d, q) \longrightarrow decompress_d: \mathbb{Z}_{2^d} \to \mathbb{Z}_q, y \to \stackrel{q}{\vdash} \frac{q}{2^d} \cdot y \downarrow$

$$y \to \uparrow \frac{q}{2^d} \cdot y \downarrow$$

- compress(decompress(x, d, q), d, q) = x
- $decompress(compress(y,d,q),d,q) = t, (t-y)mod^{\pm}(q) \le \lceil \frac{q}{2^{d+1}} \rfloor$

### NTT for Kyber

```
• NTT: R_p \to T_p, f \mapsto \hat{f}

• For f \in R_p

• \hat{f} = \left(f \left(mod \ x^2 - \zeta^{2rev_7(0)+1}\right)\right)

• NTT(f) = (\hat{f_0}, \hat{f_1}, ..., \hat{f_{255}})

• For \hat{h} = \hat{f} \cdot \hat{g},

• \hat{h}_{2i} + \hat{h}_{2i+1} x = (\hat{f}_{2i} + \hat{f}_{2i+1} x) \cdot (\hat{g}_{2i} + \hat{g}_{2i+1} x) (mod \ x^2 - \zeta^{2rev_7(i)+1})
```

# NTT for Kyber

```
• NTT(f)

• \hat{f} = f; k = 1

• for(len = 128; len \ge 2; len = len/2)

- for(start = 128; start < 256; start += 2len)

- zeta = \zeta^{bitrev(k)} \ mod(q); k + +

- for(j = start; j < start + len; j + +)

• t = zeta \cdot \hat{f}[j + len] \ mod(q)

• \hat{f}[j + len] = \hat{f}[j] - t \ mod(q)

• \hat{f}[j] = \hat{f}[j] + t \ mod(q)

• return(\hat{f})
```

# NTT for Kyber

```
• NTT^{-1}(\hat{f})

• f = \hat{f}; k = 127

• for(len = 2; len \le 128 \le ; len = 2 \cdot len)

- for(start = 0; start < 256; start += 2len)

- zeta = \zeta^{bitrev(k)} mod(q); k -= 1

- for(j = start; j < start + len; j + +)

• t = f[j] mod(q)

• f[j] = f[j] + f[j + len] mod(q)

• f[j + len] = zeta \cdot (f[j + len] - t) mod(q)

• return(f \cdot 3303 mod(q))
```

# Kyber (simplified a little)

- Parameters:  $(p = 3329, \zeta = 1753, R_p = \frac{\mathbb{Z}_p[x]}{x^{256}+1}, k = 4, \eta = 2), \hat{x} = NTT(x)$
- Make public key
  - 1.  $KeyGen_{PKE}$ , generates a Dilithium-like key (see full version)
  - 2.  $\hat{t} = \hat{A}\hat{s} + \hat{e}$ , A is generated from seed  $\rho$ .  $A \in \mathbb{R}_p^{k \times k}$ ,  $s, e \in \mathbb{R}_p^k$
- $Enc_{PKE}(m,r)$  [ $r \in R_p^k$  is generated from  $CDB_{\eta_1}$ ,  $e_1$  is generated from  $CDB_{\eta_2}$ ]
  - 1.  $\hat{r} = NTT(r)$
  - 2.  $u(x) = NTT^{-1}(\hat{A}^T\hat{r}) + e_1$
  - 3.  $\mu = decompress_1(decode_1(m)), \nu = NTT^{-1}(\hat{t}^T \cdot \hat{r}) + e_2 + \mu$
  - 4.  $c_1 = encode_{d_u}(compress_{d_u}(u)), c_2 = encode_{d_v}(compress_{d_v}(r))$
  - 5. return  $(c_1, c_2)$
- $Dec_{PKE}(c_1, c_2)$ 
  - 1.  $w = v NTT^{-1}(\hat{s} \cdot NTT(u))$
  - 2. return  $encode_1(compress_1(w))$

# Kyber simplified a little

- KEMKeygen
  - $z = \mathbb{Z}_2^{256}$ (random)
  - $(ek_{PKE}, dk_{PKE}) = KeyGen_{PKE}()$
  - $ek_{KEM} = ek_{PKE}$ ;  $dk_{KEM} = dk_{PKE} ||e_{PKE}|| H(e_{PKE}) ||z|$
  - return  $(ek_{KEM}, dk_{KEM})$
- $KEMencaps(pk_{KEM})$ 
  - 1. m is a random 32-byte value
  - 2.  $(K,r) = SHA3_{512}(m||H(e_{PKE}))$
  - 3.  $c = Enc_{PKE}(ek, m, r)$
  - 4. return (K, c)
- $KEMdecaps(sk_{KEM})$ 
  - 1.  $m' = Dec_{PKE}(dk, c)$
  - 2.  $(K',r') = SHA3_{512}(m'||H(e_{PKE}))$
  - 3.  $\overline{K} = SHAKE256 (z||c,32)$
  - 4.  $c' = Enc_{PKE}(e_{PKE}, m', r')$
  - 5. If (c == c') return K' else error

# Kyber parameters

Alg	n	$\boldsymbol{q}$	k	$\eta_1$	$\eta_2$	$d_u$	$d_v$	Strength
KEM-512	256	3329	2	3	2	10	768	128
KEM-768	256	3329	3	2	2	10	1088	192
KEM-1024	256	3329	4	2	2	11	1568	256

ML-KEM-1024 is security category 5

Туре	Encap-key	Decap-key	Ciphertext	Key
KEM-512	800	1632	768	32
KEM-768	1184	2400	1088	32
KEM-1024	1568	3168	1568	32

Size in bytes

```
    KeyGen<sub>PKE</sub>

    1. d = \mathbb{Z}_2^{256}, random
    2. (\rho, \sigma) = G(d); N = 0
    3. for(i = 0; i < k; i + +)
       - for(j = 0; j < k; j + +)
          • \hat{A}[i,j] = SampleNTT(XOF(\rho,i,j))
    4. for(i = 0; i < k; i + +)
          • s[i] = SamplePolyCBD(PRF_{\eta_1}(\sigma, N)); N + +
    5. for(i = 0; i < k; i + +)
          • e[i] = SamplePolyCDB(PRF_{\eta_1}(\sigma, N)); N + +
    6. \hat{s} = NTT(s); \hat{e} = NTT(e)
    7 \hat{t} = \hat{A}\hat{s} + \hat{e}
    8. ek_{PKE} = ByteEncode_{12}(\hat{t})||\rho; dk_{PKE} = ByteEncode_{12}(\hat{s})|
    9. return (e_{PKE}, d_{PKE})
```

```
Enc_{PKE}(m,r)
     N = 0; \hat{t} = ByteDecode_{12}(ek_{PKE}[0:384k]); \rho = ek_{PKE}[384k + 384k + 32]
       for(i = 0; i < k; i + +)
          for (j = 0; j < k; j + +)
            \hat{A}[i,j] = SampleNTT(XOF(\rho,i,j))
       for(i = 0; i < k; i + +)
           r[i] = SamplePolyCBD_{\eta_1}(PRF_{\eta_2}(r, N)); N + +
       for(i = 0; i < k; i + +)
         e_1[i] = SamplePolyCBD_{\eta_2}(PRF_{\eta_2}(r, N)); N + +
     e_2 = SamplePolyCBD_{\eta_2}(PRF_{\eta_2}(r, N))
     \hat{r} = NTT(r)
     \mathbf{u}(x) = NTT^{-1}(\hat{A}^T\hat{r}) + e_1
     \mu = decompress_1(decode_1(m)), v = NTT^{-1}(\hat{t}^T \cdot \hat{r}) + e_2 + \mu
     c_1 = encode_{d_n}(compress_{d_n}(u)), c_2 = encode_{d_n}(compress_{d_n}(r))
    return (c_1, c_2)
```

```
• Dec_{PKE}(c_1, c_2)

1. c_1 = c[0:32d_uk]; c_2 = c[32(d_uk + d_v)]

2. u = decompress_{d_u}(ByteDecode_{d_u}(c_1))

3. v = decompress_{d_v}(ByteDecode_{d_v}(c_2))

4. \hat{s} = ByteDecode_{12}(d_{PKE})

5. w = v - NTT^{-1}(\hat{s}^T \cdot NTT(u))

6. m = ByteEncode_1(compress_1(w))

7. return m
```

•  $Keygen_{KEM}$ •  $z=\mathbb{Z}_2^{256}$  (random) •  $(ek_{PKE},dk_{PKE})=KeyGen_{PKE}$ () •  $ek_{KEM}=ek_{PKE};dk_{KEM}=dk_{PKE}||ek_{PKE}||H(ek_{PKE})||z)$ • return  $(ek_{KEM},dk_{KEM})$ •  $\hat{t}=\hat{A}\hat{s}+\hat{e},A$  is generated from seed  $\rho$ 

• return  $(ek_{PKE}, dk_{PKE})$ 

- $KEMencaps(pk_{KEM})$ 
  - 1. m is a random 32-byte value
  - 2. (K,r) = G(m||H(ek))
  - 3.  $c = Enc_{PKE}(ek, m, r)$
  - 4. return (K, c)

- KEMdecaps(c,dk)
  - 1.  $dk_{PKE} = dk[0:384k]$
  - 2.  $ek_{PKE} = dk[384k:768k + 32]$
  - 3. h = dk[768k + 32:768k + 64]
  - 4. z = dk[768k + 64:768k + 96]
  - 5.  $m' = Dec_{PKE}(dk, c)$
  - 6.  $(K', r') = G(m'||H(e_k))$
  - 7.  $\overline{K} = J(z||c,32)$
  - 8.  $c' = Enc_{PKE}(ek, m', r')$
  - 9. If (c == c') return K' else error

### **Kyber Notes**

- Define  $Adv_{m,k,\eta}^{mlwe} = |\Pr[b'=1, A \leftarrow R_q^{m \times k}; (\mathbf{s}, \mathbf{e}) \leftarrow \beta_\eta^k \times \beta_\eta^m; \mathbf{b} = A\mathbf{s} + \mathbf{e}; b' = A(A, \mathbf{b})] \Pr[(b'=1, A \leftarrow R_q^{m \times k}; b \leftarrow R_q^m); b' = A(A, \mathbf{b})]|.$
- Theorem: Suppose XOF and G are random oracles. For all adversaries, A, there are adversaries, B, C:  $Adv_{kvber,CPAPKE}^{cpa}((A) \le 2 \ Adv_{k+1,k,\eta}^{mlwe}(B) + Adv_{PRF}^{prf}(C)$
- **Theorem**: Suppose XOF and G are random oracles. For any classical adversary, A, that make at most  $q_{RO}$  to random oracles XOF, H, G there are adversaries B, C of the same running time:  $\mathbf{Adv}_{kyber,CCAKEM}^{cca}((A) \leq 2 \ \mathbf{Adv}_{k+1,k,\eta}^{mlwe}(B) + \mathbf{Adv}_{PRF}^{prf}(C) + 4\delta q_{RO}$
- **Theorem**: Suppose XOF and G are random oracles. For any quantum adversary, A, that make at most  $q_{RO}$  to random oracles XOF, H, G there are adversaries B, C of the same running time:  $\mathbf{Adv}_{kyber,CCAKEM}^{cca}((A) \leq 4q_{RO}\sqrt{\mathbf{Adv}_{k+1,k,\eta}^{mlwe}(B)} + \mathbf{Adv}_{DDE}^{prf}(C) + 8\delta q_{RO}^{2}$

# **Kyber Parameters**

Alg	Failure rate	Alg	Failure rate	Alg	Failure rate
KEM-512	$2^{-139}$	KEM-768	$2^{-164}$	KEM-1024	$2^{-174}$

Failure rates

#### **Attacks**

The Blum-Kalai-Wasserman (BKW) algorithm is a combinatorial algorithm used to solve the Learning With Errors (LWE).

The attack typically involves two main phases:

Reduction Phase: This phase progressively reduces the dimension of the LWE/LWR problem, essentially trying to simplify the equations involved. This is achieved by combining samples (vectors with associated 'noise' or errors) in a way that eliminates certain positions in the vectors, albeit at the cost of increasing the noise in the remaining positions.

Solving Phase: Once the problem is reduced to a manageable size, the remaining entries of the secret are recovered. This often involves techniques like hypothesis testing to distinguish the correct guess of the secret subvector from incorrect ones.

# End

#### **LLL Theorem**

• Let L be the n-dimensional lattice generated by  $\langle v_1, ..., v_n \rangle$  and I the length of the shortest vector in L. The LLL algorithm produces a reduced basis  $\langle b_1, ..., b_n \rangle$  of L.

- 1.  $||b_1|| \le 2^{(n-1)/4} D^{1/n}$ .
- 2.  $||b_1|| \le 2^{(n-1)/2}|$ .
- 3.  $||b_1|| ||b_2|| ... ||b_n|| \le 2^{n(n-1)/4} D.$
- If ||b<sub>i</sub>||<sup>2</sup>≤C algorithm takes O(n<sup>4</sup> lg(C)).

### Gauss again

• Let  $\langle v_1, v_2 \rangle$  be a basis for a two-dimensional lattice L in R<sup>2</sup>. The following algorithm produces a reduced basis.

```
for(;;) {
    if(||v<sub>1</sub>||>||v<sub>2</sub>||)
        swap v_1 and v_2;
    t= [(v_1, v_2)/(v_1, v_1)]; // [] is the "closest integer" function
    if(t==0)
        return;
    v<sub>2</sub> = v_2-tv<sub>1</sub>;
    }
```

•  $\langle v_1, v_2 \rangle$  is now a reduced basis and  $v_1$  is a shortest vector in the lattice.

#### Useful definitions

- Usehint, makehint
- Smallball, etc
- $SamplePolyCBD_{\eta}(x)$
- $PRF_{\eta}(x)$
- SampleNTT(x)
- MultiplyNTT
- BaseCaseMultiply
- *NTT*
- $NTT^{-1}$