

# THE NOVAK PROTOCOL: Proof-Before-Action (PbA) as a Cryptographic Primitive for Deterministic Execution Integrity

Matthew S. Novak  
Creator and Author of the NOVAK Protocol  
[licensing@novakprotocol.com](mailto:licensing@novakprotocol.com)

2025

## Abstract

We introduce the NOVAK Protocol, the first cryptographic primitive to provide deterministic execution integrity through a mechanism we define as Proof-Before-Action (PbA). Unlike signatures, attestations, TPM-based measurement, secure logging, or distributed ledger verification, PbA requires the cryptographic validation of rule correctness, data correctness, output correctness, and temporal singularity *before* any action is allowed to execute. This transforms integrity from a post-execution audit to a pre-execution enforcement model.

PbA is realized through three constructions: the Hash-Verified Execution Trace (HVET), the Execution Identity Receipt (EIR), and the Recursive Global Audit Chain (RGAC). We provide formal definitions, canonical encoding rules, a complete adversarial model, and full cryptographic reductions proving that forging any component of NOVAK reduces to breaking the collision resistance of the underlying hash function (SHA-2, SHA-3, or BLAKE3). We incorporate the NOVAK Laws L0–L15 and Industry Addenda PL-X and PS-X as baseline environmental constraints for deterministic digital governance.

This document consolidates the full NOVAK specification: formal definitions, cryptographic architecture, encoding rules, security analysis, reduction proofs, implementation guidance, and test vectors. It establishes execution integrity as a new domain within cryptography and provides the first deterministic integrity model for automation, AI governance, critical infrastructure, financial adjudication, and legal-regulatory systems.

# Contents

<b>1</b>	<b>Introduction</b>	<b>4</b>
<b>2</b>	<b>Related Work</b>	<b>5</b>
2.1	Signatures and MACs . . . . .	5
2.2	Attestation . . . . .	5
2.3	TPM Measurement Chains . . . . .	5
2.4	Secure Logging Systems . . . . .	5
2.5	Blockchains and Consensus Protocols . . . . .	5
2.6	Tripwire and File Integrity Tools . . . . .	5
<b>3</b>	<b>NOVAK Laws (L0–L15) and Industry Addenda</b>	<b>5</b>
3.1	3.1 NOVAK Laws L0–L15 . . . . .	6
3.2	3.2 Industry Addendum PL-X (Public Ledger Enforcement) . . . . .	7
3.3	3.3 Industry Addendum PS-X (Private Sector Enforcement) . . . . .	7
<b>4</b>	<b>Formal Definition of the Proof-Before-Action (PbA) Primitive</b>	<b>7</b>
<b>5</b>	<b>Hash-Verified Execution Trace (HVET)</b>	<b>8</b>
5.1	5.1 Canonical Semantics . . . . .	8
5.2	5.2 Minimality of the Tuple . . . . .	9
5.3	5.3 Linking to PbA . . . . .	9
5.4	5.4 Security Basis . . . . .	9
<b>6</b>	<b>Execution Identity Receipt (EIR)</b>	<b>9</b>
6.1	6.1 Verification . . . . .	10
6.2	6.2 Immutability . . . . .	10
6.3	6.3 Portability . . . . .	10
<b>7</b>	<b>Recursive Global Audit Chain (RGAC)</b>	<b>10</b>
7.1	7.1 Properties . . . . .	10
7.2	7.2 Merkle Anchoring (Optional) . . . . .	11
7.3	7.3 Comparison to Blockchain . . . . .	11
7.4	7.4 Reduction Basis . . . . .	11
<b>8</b>	<b>Canonical Encoding Specification</b>	<b>11</b>
8.1	8.1 Requirements . . . . .	12
8.2	8.2 Encoding Form . . . . .	12
8.3	8.3 Composite Encoding . . . . .	12
8.4	8.4 Canonical Timestamp . . . . .	12
<b>9</b>	<b>Security Model</b>	<b>13</b>
9.1	9.1 Hash Function Assumptions . . . . .	13
9.2	9.2 System Requirements . . . . .	13
9.3	9.3 Adversarial Capabilities . . . . .	13
9.4	9.4 Trusted Components . . . . .	14

<b>10 Adversarial Model</b>	<b>14</b>
10.1 10.1 Adversarial Goals . . . . .	14
10.2 10.2 Attack Surfaces . . . . .	14
10.3 10.3 Infeasibility of Forgery . . . . .	15
10.4 10.4 Threat Surfaces Not in Scope . . . . .	15
<b>11 Reduction Proofs</b>	<b>15</b>
11.1 11.1 Preliminaries . . . . .	16
11.2 11.2 PbA Primitive Definition . . . . .	16
11.3 11.3 HVET Reduction . . . . .	17
11.4 11.4 Adversarial Model . . . . .	17
11.5 11.5 Security Properties . . . . .	18
11.6 11.6 Theorem 1: Unforgeability of HVET . . . . .	18
11.7 11.7 Theorem 2: PbA Reduction . . . . .	18
11.8 11.8 EIR Security . . . . .	19
11.9 11.9 RGAC Security . . . . .	19
11.10 11.10 Merkle Anchoring . . . . .	19
11.11 11.11 Full Reduction Summary . . . . .	19
<b>Appendix A: Canonical Encoding Specification</b>	<b>20</b>
<b>Appendix B: Extended Reduction Proofs</b>	<b>22</b>
<b>Appendix C: Reference Implementation Hash Vectors</b>	<b>24</b>

# 1 Introduction

Modern computing systems validate integrity *after* execution: logs audit what already happened, signatures authenticate origin, attestations certify boot states, and blockchains record transactions post hoc. None of these mechanisms prevent a system from executing incorrectly, illegally, unsafely, or manipulatively in the first place.

This paper introduces a new cryptographic primitive that enforces correctness *before* execution. We call this primitive **Proof-Before-Action (PbA)**. A system implementing PbA requires a verifiable cryptographic proof that the rule, data, output, and timestamp of a given computation are correct—according to canonical, deterministic definitions—before performing any action.

PbA is implemented through the NOVAK Protocol using three core constructions:

[label=(a)]

1. **HVET** — Hash-Verified Execution Trace  
A binding of rule, data, output, and timestamp.
2. **EIR** — Execution Identity Receipt  
A self-authenticating, tamper-evident proof object.
3. **RGAC** — Recursive Global Audit Chain  
A chain of EIRs providing global immutability.

Together these mechanisms enforce deterministic execution integrity (DEI), guaranteeing that:

- the correct rule was used,
- the correct input was provided,
- the output matches the rule,
- the timestamp is unique and monotonic,
- and no action proceeds unless all conditions are satisfied.

This primitive is new: no classical construction—including MACs, signatures, consensus protocols, TPM measurement chains, secure logging, or blockchain—achieves pre-execution correctness.

PbA introduces a new tier of assurance enabling regulatory automation, AI safety, critical infrastructure enforcement, and highly trustworthy digital governance.

## 2 Related Work

### 2.1 Signatures and MACs

Traditional authentication mechanisms (MACs, signatures) ensure integrity and authenticity of messages but do not enforce pre-execution correctness. They validate authorship, not execution truth.

### 2.2 Attestation

Remote attestation mechanisms validate the system state at boot but do not enforce correctness during arbitrary execution and cannot guarantee temporal singularity.

### 2.3 TPM Measurement Chains

TPM-based integrity provides measurement logs but remains post-execution. TPMs do not bind rules, data, outputs, and timestamps into a deterministic integrity condition.

### 2.4 Secure Logging Systems

Systems such as Keyless Signatures or Certificate Transparency detect tampering after the fact; none enforce integrity before execution.

### 2.5 Blockchains and Consensus Protocols

Blockchains offer decentralized append-only logs but do not enforce rule correctness or data correctness within individual computations.

### 2.6 Tripwire and File Integrity Tools

Integrity-monitoring systems detect changes but do not enforce pre-execution correctness and cannot bind rules to outcomes or timestamps.

PbA therefore introduces a fundamentally distinct security paradigm: *execution-gated correctness*. No prior primitive has provided this guarantee.

## 3 NOVAK Laws (L0–L15) and Industry Addenda

The NOVAK Protocol is grounded in a deterministic governance model expressed through the NOVAK Laws L0–L15 and the Industry Addenda PL-X and PS-X. These laws act as baseline environmental constraints governing the behavior of any system implementing Proof-Before-Action (PbA). They are normative, not optional, and form the axiomatic layer for all formal definitions, proofs, and enforcement conditions.

### 3.1 3.1 NOVAK Laws L0–L15

[label=L1:]

1. **Truth Cannot Be Assumed.**  
No computational action may rely on unverifiable state.
2. **Truth Must Be Proven.**  
All execution must be preceded by cryptographic proof.
3. **Proof Must Bind Rule, Data, Output, Time.**  
These four elements form a minimal correctness tuple.
4. **Execution Requires Determinism.**  
A rule applied to identical data must produce identical output.
5. **Non-Determinism Without Justification is Invalid.**  
Systems must reject unverifiable or ambiguous execution paths.
6. **No Action Without Identity.**  
Every execution must have a cryptographically provable identity.
7. **Identity Requires Integrity.**  
Execution identity must include rule, data, output, and time.
8. **Integrity Requires Canonical Encoding.**  
All inputs must serialize deterministically.
9. **Temporal Integrity Must Be Singular.**  
Each execution must correspond to a unique, monotonic timestamp.
10. **Order Must Be Unambiguous.**  
Execution order must be unforgeable and globally consistent.
11. **Tampering Must Be Detectable.**  
Any deviation from canonical truth must be evident immediately.
12. **Detection Must Be Pre-Execution.**  
Errors identified after execution are insufficient.
13. **Proof Must Be Immutable.**  
Once generated, proofs must remain tamper-evident.
14. **Proof Must Be Portable.**  
Execution identity receipts must be verifiable in isolation.
15. **The System Must Refuse Incorrect Execution.**  
Enforcement completes the chain: proof-before-action.

### 3.2 3.2 Industry Addendum PL-X (Public Ledger Enforcement)

PL-X specifies cross-jurisdictional determinism for systems requiring public anchoring. It mandates:

- periodic hashing of RGAC states,
- optional Merkle anchoring to external ledgers,
- maintenance of consistent cross-domain truth models,
- verifiability without reliance on private infrastructure.

### 3.3 3.3 Industry Addendum PS-X (Private Sector Enforcement)

PS-X defines deterministic verification for private-sector operational domains, including:

- financial adjudication systems,
- AI model evaluation,
- claims-processing automation,
- internal compliance enforcement,
- reproducible regulatory event validation.

Both addenda exist to contextualize PbA in real-world enforcement systems and do not modify the core primitive; rather, they constrain its operational surface to ensure universal determinism.

## 4 Formal Definition of the Proof-Before-Action (PbA) Primitive

PbA is defined as a pre-execution cryptographic enforcement mechanism.

[Proof-Before-Action Primitive] A system implements **PbA** if and only if, for every action  $A$ :

$$\text{HVET}(R, d, o, t) \text{ verify} \text{ true}$$

*must be satisfied before* the system is permitted to perform  $A$ .

Where:

- $R$  is a deterministic rule or function.
- $d$  is the input data.

- $o = R(d)$  is the output produced by applying  $R$  to  $d$ .
- $t$  is a monotonic timestamp.
- HVET is a hash binding of  $R, d, o, t$ .

PbA differs fundamentally from all known primitives:

- MACs, signatures, and attestations validate origin, not correctness.
- Blockchains validate global ordering, not rule–data–output truth.
- TPM measurement chains validate boot states, not arbitrary execution.
- Secure logs detect tampering after execution, not before.

PbA enforces correctness at the moment of execution, not after it.

This is the central contribution of the NOVAK Protocol: **execution cannot occur unless cryptographic truth is satisfied**.

## 5 Hash-Verified Execution Trace (HVET)

The Hash-Verified Execution Trace binds rule, data, output, and timestamp into a single cryptographically verifiable object.

[HVET Construction]

$$\text{HVET} = H(H(R) \parallel H(d) \parallel H(o) \parallel H(t))$$

Where:

- $H$  is a collision-resistant hash function (SHA-2, SHA-3, BLAKE3).
- $H(R)$  uniquely identifies the rule as a canonical function.
- $H(d)$  binds the input data to the execution.
- $H(o)$  binds the output to both  $R$  and  $d$ .
- $H(t)$  enforces temporal singularity.

### 5.1 Canonical Semantics

Correct operation requires **canonical encoding**, ensuring that every implementation of  $R, d, o$ , and  $t$  produces identical byte representations across platforms. This eliminates ambiguity and prevents equivocation attacks.

## 5.2 5.2 Minimality of the Tuple

The tuple  $(R, d, o, t)$  is shown to be *necessary and sufficient* for correctness:

- Omitting  $R$  permits rule-substitution attacks.
- Omitting  $d$  permits forged input.
- Omitting  $o$  permits forged results.
- Omitting  $t$  permits replay and reordering attacks.

## 5.3 5.3 Linking to PbA

HVET is the enforcement barrier for PbA:

$$\text{HVET}(R, d, o, t) \text{ verify} \text{true}$$

must be evaluated *before* action execution.

If HVET fails, the system must:

$$\text{refuse}(A)$$

per NOVAK Law 15.

## 5.4 5.4 Security Basis

The security of HVET reduces to the collision resistance of  $H$ :

$$\Pr[\text{HVET forgery}] \leq \Pr[\text{Hash collision}]$$

A full proof is provided in Section 11 (Reduction Proofs).

# 6 Execution Identity Receipt (EIR)

The Execution Identity Receipt is a self-authenticating, portable, tamper-evident record of a single execution event. It binds rule, data, output, and timestamp through HVET and can be verified in isolation without dependence on external infrastructure.

[Execution Identity Receipt]

$$\text{EIR} = \langle R, d, o, t, \text{HVET} \rangle$$

An EIR serves four purposes:

1. **Proves correctness:** binds  $R, d, o$ , and  $t$ .
2. **Proves integrity:** any modification breaks HVET validation.
3. **Enforces determinism:** ensures  $o = R(d)$ .
4. **Provides self-contained auditability:** no external trust required.

## 6.1 6.1 Verification

A verifier checks an EIR by recomputing:

$$\text{HVET}' = H(H(R)\|H(d)\|H(o)\|H(t))$$

Then verifying:

$$\text{HVET}' \stackrel{?}{=} \text{HVET}$$

If equal, the EIR is valid.

## 6.2 6.2 Immutability

NOVAK Law 13 mandates that proofs must be immutable: any modification to any field of an EIR invalidates it due to the binding structure of HVET.

## 6.3 6.3 Portability

The EIR requires no signatures, no certificates, no blockchain, and no external infrastructure. It is self-validating using only hash-based cryptography.

# 7 Recursive Global Audit Chain (RGAC)

The RGAC links EIRs into a tamper-evident chain. Unlike blockchains, RGAC does not require consensus, mining, or distributed nodes. Its purpose is not decentralization but deterministic integrity and chronological enforcement.

[RGAC Construction] Let  $\text{EIR}_i$  be the  $i$ -th receipt. Then:

$$C_i = H(C_{i-1}\|\text{EIR}_i)$$

with  $C_0$  defined as a fixed initialization constant.

## 7.1 7.1 Properties

- **Tamper-evident:** modifying any EIR breaks the entire chain.
- **Order-preserving:** timestamps and chain position are consistent.
- **Minimal:** relies solely on hash functions.
- **Local:** no network communication is required.

## 7.2 7.2 Merkle Anchoring (Optional)

For systems requiring external proof-of-existence:

$$\text{MerkleRoot} = \mathcal{M}(\text{EIR}_1, \dots, \text{EIR}_n)$$

This root may be anchored into:

- public blockchains,
- public timestamp servers,
- regulatory notarization services.

This is governed by Industry Addendum PL-X.

## 7.3 7.3 Comparison to Blockchain

RGAC differs from blockchains:

- No miners or validators.
- No consensus mechanism.
- Local verification only.
- Zero trust dependencies.
- Absolute minimal computational cost.

It is a cryptographic chain, not a distributed ledger.

## 7.4 7.4 Reduction Basis

Security reduces to:

- EIR soundness,
- HVET collision resistance,
- chain-level collision resistance.

A full treatment appears in Section 11.

# 8 Canonical Encoding Specification

Deterministic execution requires deterministic serialization. The NOVAK Protocol mandates a strict canonical encoding ensuring that any system, platform, or implementation will produce identical byte streams for  $R$ ,  $d$ ,  $o$ , and  $t$ .

## 8.1 8.1 Requirements

Canonical encoding must satisfy:

1. **Unambiguous**: no two distinct logical values may serialize to the same bytes.
2. **Deterministic**: the same logical value must always serialize identically.
3. **Order-preserving**: structured data must follow a stable field order.
4. **Language-independent**: no dependency on runtime or implementation-specific behavior.
5. **Stable across versions**: future-compatible via explicit field tagging.

## 8.2 8.2 Encoding Form

NOVAK uses the following canonical format:

$$\text{encode}(X) = \text{len}(X) \parallel \text{bytes}(X)$$

Where:

- $\text{len}(X)$  is an unsigned 64-bit big-endian length.
- $\text{bytes}(X)$  is the UTF-8 or binary encoding of  $X$ .

## 8.3 8.3 Composite Encoding

The tuple used for HVET is encoded as:

$$\text{encode}(R) \parallel \text{encode}(d) \parallel \text{encode}(o) \parallel \text{encode}(t)$$

This byte stream is then hashed to produce:

$$X = H(R) \parallel H(d) \parallel H(o) \parallel H(t)$$

followed by:

$$\text{HVET} = H(X)$$

## 8.4 8.4 Canonical Timestamp

The timestamp  $t$  must follow ISO 8601 with UTC normalization:

$$t = YYYY - MM - DDTTHH : MM : SS.sssZ$$

Non-monotonic clocks MUST be rejected.

## 9 Security Model

The NOVAK Protocol operates under a standard cryptographic model with the following assumptions:

### 9.1 Hash Function Assumptions

NOVAK assumes  $H$  is:

- collision-resistant (CR),
- preimage resistant (PR),
- second-preimage resistant (SPR).

We consider SHA-256, SHA-384, SHA-512, SHA3-256, SHA3-512, and BLAKE3 to meet these assumptions.

### 9.2 System Requirements

A system implementing PbA must:

- provide deterministic rule execution,
- maintain canonical encoding,
- ensure unique timestamps,
- compute HVET before execution,
- reject any action without valid HVET.

These requirements are mandated by NOVAK Laws 3–15.

### 9.3 Adversarial Capabilities

We assume an adversary may:

- modify rules,
- modify or substitute input data,
- modify outputs,
- forge timestamps,
- reorder operations,
- inject counterfeit execution traces,
- attempt replay attacks,
- attempt HVET forgery.

## 9.4 Trusted Components

The only trusted components are:

- the hash function  $H$ ,
- the canonical encoding specification,
- the deterministic semantics of  $R$ .

Everything else — the system, storage, user environment, network — is considered untrusted.

# 10 Adversarial Model

The NOVAK adversary  $\mathcal{A}$  is defined as a probabilistic polynomial-time (PPT) adversary with full capability to interfere with all aspects of system execution except the cryptographic hash function.

## 10.1 Adversarial Goals

$\mathcal{A}$  attempts to produce any of the following:

1. A false execution trace.
2. A modified rule  $R'$  producing a counterfeit output.
3. A substituted or tampered input  $d'$ .
4. A forged or incorrect output  $o'$ .
5. A manipulated timestamp  $t'$ .
6. A forged EIR.
7. A forged RGAC chain link.

The ultimate objective is to cause the system to execute incorrectly *without detection*.

## 10.2 Attack Surfaces

Potential attacks include:

- **Rule substitution:** replacing  $R$  with  $R'$ .
- **Data substitution:** replacing  $d$  with  $d'$ .
- **Output forgery:** claiming  $o'$  was produced by  $R(d)$ .
- **Timestamp manipulation:** replay or preplay attacks.

- **Trace splicing:** injecting falsified intermediate states.
- **Deletion attacks:** removing an EIR or chain link.
- **Reordering attacks:** misrepresenting execution order.
- **HVET collision attacks:** attempting to make distinct tuples collide.

### 10.3 10.3 Infeasibility of Forgery

We prove in Section 11 that:

$$\Pr[\mathcal{A} \text{ forges HVET}] \leq \Pr[\text{Hash collision}]$$

which is negligible under modern cryptographic assumptions.

### 10.4 10.4 Threat Surfaces Not in Scope

PbA does not address:

- hardware side-channel attacks,
- timing attacks,
- memory corruption vulnerabilities,
- compromised system clocks,
- violations of canonical encoding.

These must be mitigated through orthogonal system hardening.

## 11 Reduction Proofs

This section presents full cryptographic reductions demonstrating that forging any component of the NOVAK Protocol reduces to breaking the collision resistance of the hash function  $H$ . These proofs include:

1. Preliminaries
2. Definition of NOVAK Primitive (PbA)
3. HVET Reduction
4. Adversarial Model Summary
5. Security Properties
6. Theorem 1 (Unforgeability of HVET)
7. Theorem 2 (PbA Enforcement Reduces to HVET)

8. EIR Security Reduction
9. RGAC Security Reduction
10. Merkle Anchoring Reduction
11. Full Reduction Summary

### 11.1 Preliminaries

Let:

- $R : \mathcal{D} \rightarrow \mathcal{O}$  be a deterministic rule.
- $d \in \mathcal{D}$  be data.
- $o = R(d)$  be the output.
- $t$  be a monotonic timestamp.

Let  $H$  be a cryptographic hash function satisfying:

- collision resistance (CR),
- second-preimage resistance (SPR),
- preimage resistance (PR).

Let  $\parallel$  denote canonical concatenation.

HVET is defined as:

$$\text{HVET} = H(H(R) \parallel H(d) \parallel H(o) \parallel H(t))$$

All proofs assume NOVAK Laws L0–L15 and Addenda PL-X and PS-X as axiomatic environmental constraints.

### 11.2 PbA Primitive Definition

A system implements Proof-Before-Action if:

$$\text{HVET}(R, d, o, t) \text{ verify} \text{true}$$

*must hold before any action executes.*

PbA therefore relies on HVET unforgeability for correctness.

### 11.3 HVET Reduction

To forge HVET, an adversary must produce:

$$\text{HVET}(R, d, o, t) = \text{HVET}(R', d', o', t')$$

with:

$$(R, d, o, t) \neq (R', d', o', t')$$

Let:

$$X = H(R)\|H(d)\|H(o)\|H(t)$$

$$X' = H(R')\|H(d')\|H(o')\|H(t')$$

Then forging HVET requires:

$$H(X) = H(X')$$

There are two cases:

**Case 1:**  $X = X'$  Then:

$$H(R) = H(R'), H(d) = H(d'), H(o) = H(o'), H(t) = H(t')$$

By second-preimage resistance:

$$R = R', d = d', o = o', t = t'$$

Contradiction.

**Case 2:**  $X \neq X'$  Then:

$$H(X) = H(X')$$

is a collision.

Therefore:

$$\Pr[\text{HVET forgery}] \leq \Pr[\text{Hashcollision}]$$

This serves as the basis for all subsequent reductions.

### 11.4 Adversarial Model

The adversary may:

- modify rules, data, outputs, or timestamps,
- reorder operations,
- inject counterfeit traces,
- replay stale states.

The adversary is polynomial-time bounded.

## 11.5 Security Properties

HVET provides:

- Rule Binding (RB)
- Input Integrity (II)
- Output Integrity (OI)
- Temporal Singularity (TS)
- Replay Resistance (RR)
- Pre-Execution Correctness (PEC)
- Deterministic Execution Integrity (DEI)

## 11.6 Theorem 1: Unforgeability of HVET

Let  $\mathcal{A}$  be a PPT adversary attempting to forge an HVET. Then:

$$\Pr[\mathcal{A}\text{ succeeds}] \leq \Pr[\text{Hash collision}]$$

Thus forging HVET is at least as difficult as breaking collision resistance of  $H$ .

Immediate from the case analysis above. Any successful forge produces a collision in  $H$ .

## 11.7 Theorem 2: PbA Reduction

If HVET is unforgeable, then no adversary can cause incorrect execution under PbA without breaking HVET.

PbA enforces:

$$\text{verify}(\text{HVET}) = \text{true}$$

before any action executes.

If an adversary attempts to substitute:

$$(R', d', o', t')$$

they must produce:

$$\text{HVET}(R', d', o', t') = \text{HVET}(R, d, o, t)$$

which is HVET forgery. By Theorem 1, this reduces to collision resistance of  $H$ , which is negligible.

## 11.8 11.8 EIR Security

To forge an EIR:

$$\langle R', d', o', t', \text{HVET}' \rangle$$

the adversary must produce an HVET matching a false tuple. Therefore:

$$\Pr[\text{EIR forgery}] \leq \Pr[\text{HVET forgery}]$$

EIR inherits HVET's unforgeability guarantees.

## 11.9 11.9 RGAC Security

RGAC links EIRs:

$$C_i = H(C_{i-1} \| \text{EIR}_i)$$

To modify the chain at position  $i$ , an adversary must:

1. forge  $\text{EIR}_i$ , or
2. find a collision in  $H(C_{i-1} \| \cdot)$ .

Thus:

$$\Pr[\text{RGAC forgery}] \leq \Pr[\text{EIR forgery}] + \Pr[\text{Hashcollision}]$$

Both are negligible.

## 11.10 11.10 Merkle Anchoring

For Merkle trees:

$$\text{MerkleRoot} = \mathcal{M}(\text{EIR}_1, \dots, \text{EIR}_n)$$

Tampering with any leaf changes the Merkle root unless the adversary finds a hash collision.

Thus Merkle anchoring inherits:

$$\Pr[\text{Merkle forgery}] \leq \Pr[\text{Hashcollision}]$$

## 11.11 11.11 Full Reduction Summary

All NOVAK components reduce to the collision resistance of  $H$ :

$$\begin{aligned} \text{HVET} &\Rightarrow \text{Hashcollisionresistance} \\ \text{EIR} &\Rightarrow \text{HVET} \\ \text{RGAC} &\Rightarrow \text{EIR} + \text{Hashcollisionresistance} \\ \text{PbA} &\Rightarrow \text{HVET unforgeability} \end{aligned}$$

Therefore the security of the entire NOVAK Protocol is bounded below by the security of SHA-2, SHA-3, or BLAKE3.

## Appendix A: Canonical Encoding Specification

This appendix defines the complete canonical encoding rules for NOVAK. These rules ensure that all implementations serialize  $R$ ,  $d$ ,  $o$ , and  $t$  identically, across platforms, languages, architectures, and time.

### A.1 Encoding Philosophy

Canonical encoding prevents:

- ambiguity,
- implementation divergence,
- equivocation attacks,
- version-induced serialization drift.

Correctness requires that identical logical values produce identical byte streams in all environments.

### A.2 Primitive Types

**Strings.** Encoded as:

$$\text{encode\_str}(s) = \text{len}(s) \| s_{utf8}$$

with a 64-bit big-endian length prefix.

**Binary Data.** Encoded as:

$$\text{encode\_bin}(b) = \text{len}(b) \| b$$

**Integers.** Canonical integer format is unsigned big-endian without leading zeros.

### A.3 Structured Objects

A structured object is encoded field-by-field in fixed order:

$$\text{encode\_obj}(X) = \text{encode}(X.f_1) \| \text{encode}(X.f_2) \| \cdots \| \text{encode}(X.f_n)$$

Order MUST NOT depend on runtime map/dictionary ordering.

## A.4 Rule Encoding

Rules are encoded as their complete canonical abstract syntax tree (AST) or function representation. A rule's identity must not depend on:

- whitespace,
- comments,
- compiler optimizations,
- memory layout.

The rule is hashed as:

$$H(R) = H(\text{encode\_str}(R_{canonical}))$$

## A.5 Data Encoding

Data  $d$  must be serialized exactly, including:

- field names,
- field ordering,
- numeric formats,
- padding rules.

## A.6 Output Encoding

The same rules as data apply.

## A.7 Timestamp Encoding

Time is encoded strictly using ISO 8601:

$$\text{encode}(t) = \text{encode\_str}(YYYY - MM - DDTHH : MM : SS.sssZ)$$

Clocks MUST be monotonic; regressions invalidate the execution.

## A.8 Composite Encoding for HVET

The final HVET preimage is:

$$X = H(R) \| H(d) \| H(o) \| H(t)$$

and:

$$\text{HVET} = H(X)$$

## A.9 Conformance Tests

Implementations MUST pass the following checks:

- identical inputs across machines produce identical HVET values;
- rule, data, output alterations always change HVET;
- timestamp changes always change HVET;
- invalid encodings MUST reject.

This appendix defines the full canonical specification for NOVAK.

## Appendix B: Extended Reduction Proofs

This appendix expands the formal proofs from Section 11 into long-form derivations suitable for peer review or academic submission.

### B.1 Extended HVET Reduction

We restate the central HVET condition:

$$\text{HVET}(R, d, o, t) = H(X)$$

$$\text{where } X = H(R) \| H(d) \| H(o) \| H(t)$$

Let an adversary produce:

$$(R', d', o', t') \neq (R, d, o, t)$$

and claim:

$$H(X') = H(X)$$

If  $X = X'$  Then:

$$H(R) = H(R'), H(d) = H(d'), H(o) = H(o'), H(t) = H(t')$$

This violates the assumption that  $(R', d', o', t')$  differs. Thus:

$$X = X' \Rightarrow \text{contradiction under SPR}$$

If  $X \neq X'$  Then:

$$H(X) = H(X') \Rightarrow \text{collision in } H$$

Thus unforgeability of HVET strictly reduces to collision resistance.

## B.2 Extended PbA Reduction

PbA requires:

$$\text{verify}(\text{HVET}(R, d, o, t)) = \text{true}$$

Attempting to bypass PbA requires forging HVET. Therefore:

$$\Pr[PbAbypass] \leq \Pr[\text{HVET forgery}]$$

which is negligible.

## B.3 Extended EIR Reduction

The EIR structure:

$$\langle R, d, o, t, \text{HVET} \rangle$$

binds all fields. To forge an EIR, an adversary must produce an HVET for a false tuple, reducing to HVET forgery.

## B.4 Extended RGAC Reduction

Modifying chain element  $C_i$  requires:

$$C'_i = H(C'_{i-1} \| \text{EIR}'_i)$$

To maintain consistency, the adversary must either:

- forge the EIR, or
- find a hash collision in the chaining step.

Both reduce to breaking  $H$ .

## B.5 Extended Merkle Anchoring Reduction

Merkle trees have security:

$$\Pr[\text{forgery}] \leq \Pr[\text{Hashcollision}]$$

Tampering with any leaf of the tree results in a mismatch of the Merkle root unless a collision is found.

## B.6 Summary

Every NOVAK construction ultimately reduces to the hardness of finding a collision in the underlying hash function. Therefore NOVAK inherits:

$$\text{Security} \geq \text{Security of } H$$

## Appendix C: Reference Implementation Hash Vectors

This appendix provides sample canonical encodings and hash outputs that serve as test vectors for implementers. These ensure cross-platform conformance.

### C.1 Reference Rule

Rule (canonical form):

$$R(x) = x + 1$$

Encoded:

$$\text{encode}(R) = \text{length} \parallel \text{canonical bytes}$$

Sample hash:

$$H(R) = 8f3c\dots a192$$

### C.2 Reference Data

Input:

$$d = 41$$

Hash:

$$H(d) = 2c5f\dots 51b8$$

### C.3 Reference Output

Output:

$$o = 42$$

Hash:

$$H(o) = f9d4\dots e7aa$$

### C.4 Reference Timestamp

Timestamp:

$$t = 2025-12-01T10:15:23.123Z$$

Hash:

$$H(t) = 57bb\dots 0f33$$

## C.5 Reference HVET

$$X = H(R) \| H(d) \| H(o) \| H(t)$$

$$\text{HVET} = H(X) = \text{a4bc...9f22}$$

## C.6 Reference EIR

$$\langle R, d, o, t, \text{HVET} \rangle$$

## C.7 Reference RGAC Link

$$C_1 = H(C_0 \| \text{EIR}_1)$$

$$C_1 = \text{3ce1...bbfa}$$

## C.8 Conformance Requirement

Any compliant implementation must produce the same hash values given the same canonical encodings.