

Formally Verified Encryption of High-Level Datatypes

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History

- Wanted nice functional programming example for class (2001)
- Picked AES, translated to ML
- Had a go at verifying functional correctness in HOL-4 (2002)
- Lessons: pretty easy ... and that's **GOOD!**

This Talk

- Review AES formalization, proofs
- Lessons of proofs
- Extension to a wide variety of datatypes

General Perspective

- HOL has internal FP language with all the usual stuff (pattern matching, type inference, polymorphism)
- Use that to formalize crypto algorithms at an abstract level
- Similar to Cryptol
- Use logic to verify functional correctness

Higher Order Logic

- Simple, powerful logic (Church 1943)
- Predicate logic + typed λ -calculus
- Quantification over predicates, functions, and sets
- Supports formalization of (near) arbitrary mathematics
- ‘Core’ ML and HOL have similar type systems
- We’ll ignore the differences

Higher Order Logic

- Reasoning about hardware and software can require fairly sophisticated mathematics
- **IEEE floating point** requires the real numbers and analysis
- **Correctness of randomized algorithms** requires probability
- We won't use anywhere near this amount of power

Functional Specification

- Encryption followed by decryption should be the identity

$$\textit{Decrypt}(\textit{key}, \textit{Encrypt}(\textit{key}, \textit{input})) = \textit{input}$$

- Should be easy to prove, even formally!
- We have done this for **128** bit keys
- Did not prove: encryption should be effectively impossible to invert without the key

Specification details

- The specification is phrased in terms of the finite field $GF(2^8)$
- This never enters into the proofs
- A **block** (the plaintext input) is a 16-tuple of 8-bit bytes
- A **key** is the same size as a block
- A **state** is a 4×4 block of bytes (notionally)

The state

- Accessed by byte, by row, and by column
- Modelled by a 16-tuple.

```
type state = word8 * word8 * word8 * word8 *  
            word8 * word8 * word8 * word8 *  
            word8 * word8 * word8 * word8 *  
            word8 * word8 * word8 * word8
```

- Sometimes written to look like a matrix

```
(b00, b01, b02, b03,  
 b10, b11, b12, b13,  
 b20, b21, b22, b23,  
 b30, b31, b32, b33)
```

Moving into and out of the state

- Into (stripe)

```
to_state (b0,b1,b2,b3,b4,b5,b6,b7,b8,b9,b10,b11,b12,b13,b14,b15)
        =
        (b0,b4,b8,b12,
         b1,b5,b9,b13,
         b2,b6,b10,b14,
         b3,b7,b11,b15)
```

- Back out (unstripe)

```
from_state (b0,b4,b8,b12,
            b1,b5,b9,b13,
            b2,b6,b10,b14,
            b3,b7,b11,b15)
          =
          (b0,b1,b2,b3,b4,b5,b6,b7,b8,b9,b10,b11,b12,b13,b14,b15)
```

Implementation—High Level View

- Before encryption, the key is used to produce a **key schedule** $[k_0, \dots, k_{10}]$. These are xor-ed with the state in each round.

- Encryption

$$\textit{plaintext} \xrightarrow{k_0} \textit{state}_0 \xrightarrow{k_1} \dots \xrightarrow{k_9} \textit{state}_9 \xrightarrow{k_{10}} \textit{ciphertext}$$

- Decryption

$$\textit{plaintext} \xleftarrow{k_0} \textit{state}_0 \xleftarrow{k_1} \dots \xleftarrow{k_9} \textit{state}_9 \xleftarrow{k_{10}} \textit{ciphertext}$$

What happens in a round?

- Encryption

$$\xrightarrow{k} = (\mathbf{xor } k) \circ \text{MixCols} \circ \text{ShiftRows} \circ \text{SubBytes}$$

- Decryption

$$\xleftarrow{k} = \text{MixCols}^{-1} \circ (\mathbf{xor } k) \circ \text{SubBytes}^{-1} \circ \text{ShiftRows}^{-1}$$

Sboxes

- The **Sbox** and its inverse are permutations on bytes
- Can be thought of as a 16×16 matrix indexed by the two halves of a byte
- Instead, modelled as a total function
word8 \rightarrow *word8*

Sboxes (cont'd)

- Snippet from HOL source (256 cases) :

$$\text{Sbox}(F, F, F, F, T, F, T, F) = (F, T, T, F, F, T, T, T) \wedge$$

$$\text{Sbox}(F, F, F, F, T, F, T, T) = (F, F, T, F, T, F, T, T) \wedge$$

$$\text{Sbox}(F, F, F, F, T, T, F, F) = (T, T, T, T, T, T, T, F) \wedge$$

$$\text{Sbox}(F, F, F, F, T, T, F, T) = (T, T, F, T, F, T, T, T) \wedge$$

- $\vdash \text{InvSbox} \circ \text{Sbox} = \text{I}$
- Proved by case analysis and evaluation (trivial)
- Found transcription bug

SubBytes (non-linear byte substitution)

```
genSubBytes S (b00,b01,b02,b03,  
              b10,b11,b12,b13,  
              b20,b21,b22,b23,  
              b30,b31,b32,b33)
```

=

```
(S b00, S b01, S b02, S b03,  
 S b10, S b11, S b12, S b13,  
 S b20, S b21, S b22, S b23,  
 S b30, S b31, S b32, S b33)
```

SubBytes = genSubBytes Sbox

InvSubBytes = genSubBytes InvSbox

$\vdash \forall s. \text{InvSubBytes}(\text{SubBytes } s) = s$

ShiftRows

- Shift **left** the first row by 0, the second row by 1, the third by 2 and the fourth by 3.
- Code:

```
ShiftRows (b00, b01, b02, b03,
           b10, b11, b12, b13,
           b20, b21, b22, b23,
           b30, b31, b32, b33)
           =
           (b00, b01, b02, b03,
            b11, b12, b13, b10,
            b22, b23, b20, b21,
            b33, b30, b31, b31)
```

⊢ $\text{InvShiftRows}(\text{ShiftRows}(s)) = s$ is trivial

MixCols

- Operates on each **column**
- This can be reduced to matrix multiplication and then to

MultCol(a, b, c, d) = (a', b', c', d') where

$$a' = 02 \bullet a \text{ xor } 03 \bullet b \text{ xor } c \text{ xor } d$$

$$b' = a \text{ xor } 02 \bullet b \text{ xor } 03 \bullet c \text{ xor } d$$

$$c' = a \text{ xor } b \text{ xor } 02 \bullet c \text{ xor } 03 \bullet d$$

$$d' = 03 \bullet a \text{ xor } b \text{ xor } c \text{ xor } 02 \bullet d$$

InvMixCols

- The inverse operation does more work.
 $\text{InvMultCol}(a, b, c, d) = (a', b', c', d')$ where

$$a' = 0E \bullet a \text{ xor } 0B \bullet b \text{ xor } 0D \bullet c \text{ xor } 09 \bullet d$$

$$b' = 09 \bullet a \text{ xor } 0E \bullet b \text{ xor } 0B \bullet c \text{ xor } 0D \bullet d$$

$$c' = 0D \bullet a \text{ xor } 09 \bullet b \text{ xor } 0E \bullet c \text{ xor } 0B \bullet d$$

$$d' = 0B \bullet a \text{ xor } 0D \bullet b \text{ xor } 09 \bullet c \text{ xor } 0E \bullet d$$

MixCols contd.

- Code (higher order)

```
genMixCols MC (b00,b01,b02,b03,
               b10,b11,b12,b13,
               b20,b21,b22,b23,
               b30,b31,b32,b33)

=
let val (b00', b10', b20', b30') = MC (b00,b10,b20,b30)
    val (b01', b11', b21', b31') = MC (b01,b11,b21,b31)
    val (b02', b12', b22', b32') = MC (b02,b12,b22,b32)
    val (b03', b13', b23', b33') = MC (b03,b13,b23,b33)
in
    (b00', b01', b02', b03',
     b10', b11', b12', b13',
     b20', b21', b22', b23',
     b30', b31', b32', b33')
end
```

MixCols final.

- Instantiations

```
MixCols      = genMixCols MultCol  
InvMixCols  = genMixCols InvMultCol
```

$$\vdash \forall s : \text{state}. \text{InvMixCols}(\text{MixCols } s) = s$$

- Computationally hard to prove
- Interesting to see how SAT or BDDs would do

Inversion Lemmas

- Lemmas

$$\vdash \forall s. \mathbf{from_state}(\mathbf{to_state} s) = s$$

$$\vdash \forall s. \mathbf{to_state}(\mathbf{from_state} s) = s$$

$$\vdash \forall w. \mathbf{InvSbox}(\mathbf{Sbox} w) = w$$

$$\vdash \forall s. \mathbf{InvSubBytes}(\mathbf{SubBytes} s) = s$$

$$\vdash \forall s. \mathbf{InvShiftRows}(\mathbf{ShiftRows} s) = s$$

$$\vdash \forall x y z. x \bullet (y \text{ xor } z) = (x \bullet y) \text{ xor } (x \bullet z)$$

$$\vdash \forall s : \mathit{state}. \mathbf{InvMixCols}(\mathbf{MixCols} s) = s$$

Verification

Formalization

- First wrote purely functional version in SML
- Then transcribed to HOL-4 (easy)

Validation

- Have to make sure that AES properly implemented (*i.e.*, encryption and decryption not just the identity function)
- By comparing with data in specification document

Statement of Correctness

$\vdash \forall key\ plaintext.$

$\text{let } (encrypt, decrypt) = \text{AES } key$

in

$decrypt(encrypt\ plaintext) = plaintext$

AES just sets up the key schedule and gives it to the encryptor and decryptor

AES

$$\text{AES} : \text{key} \rightarrow \underbrace{((\text{block} \rightarrow \text{block}))}_{\text{encrypt}} \times \underbrace{((\text{block} \rightarrow \text{block}))}_{\text{decrypt}}$$

AES *key* =

let *sched* = mk_keysched *key* in

let *isched* = reverse *sched* in

((from_state ◦ Round 9 (tl *sched*)

◦ xor (hd *sched*) ◦ to_state),

(from_state ◦ InvRound 9 (tl *isched*)

◦ xor (hd *isched*) ◦ to_state))

Proof

- Enumeration of states seems infeasible (at least 2^{128} states)
- Exhaustive testing not apparently possible
- What to do?
- **Idea:** symbolically execute the algorithms

Symbolic Execution

- Evaluation with variables
- In $\text{decrypt}(\text{encrypt } \textit{plaintext})$, $\textit{plaintext}$ is a 16-tuple of bytes.

- Choices

$\text{decrypt}(\text{encrypt } v)$

$\text{decrypt}(\text{encrypt } (v_0, \dots, v_{15}))$

$\text{decrypt}(\text{encrypt } ((v_{0,0}, v_{0,1}, v_{0,2}, v_{0,3}, v_{0,4}, v_{0,5}, v_{0,6}, v_{0,7}), \dots, (v_{15,0}, v_{15,1}, v_{15,2}, v_{15,3}, v_{15,4}, v_{15,5}, v_{15,6}, v_{15,7})))$

Proof (cont'd)

- Let input plaintext be an **arbitrary** tuple of variables (v_0, \dots, v_{15}) and just let the algorithms run. Decryption should undo the effects of encryption.
- Not feasible either!
- Exponential-sized formulas from variables occurring in conditions of **if—then—else** expressions
- **Improved Idea**: controlled symbolic execution plus rewriting with inversion lemmas

Proof (cont'd)

- **Problem:** key schedule generation is complex.
- If non-trivial properties of it are needed, then proof is no longer easy
- Fortunately, all that is necessary to know about the keyschedule is that its length is 11.
- Easy to prove by symbolically executing keyschedule generator
- Once this is proved, we can use a list of variables $[k_0, k_1, k_2, \dots, k_{10}]$ as keyschedule value.

Proof Outline

After controlled symbolic evaluation:

- ... ○ MixCols^{-1} ○ $\text{xor}(k_8)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- MixCols^{-1} ○ $\text{xor}(k_9)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- $\text{xor}(k_{10})$ ○ **to_state**
- **from_state**
- $\text{xor}(k_{10})$ ○ ShiftRows ○ SubBytes ○ $\text{xor}(k_9)$ ○ MixCols
- ShiftRows ○ SubBytes ○ $\text{xor}(k_8)$ ○ MixCols ...

Proof Outline

- ... ○ MixCols^{-1} ○ $\text{xor}(k_8)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- MixCols^{-1} ○ $\text{xor}(k_9)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- $\text{xor}(k_{10})$ ○ **to_state**
- **from_state**
- $\text{xor}(k_{10})$ ○ ShiftRows ○ SubBytes ○ $\text{xor}(k_9)$ ○ MixCols
- ShiftRows ○ SubBytes ○ $\text{xor}(k_8)$ ○ MixCols ...

Proof Outline

- ... ○ MixCols^{-1} ○ $\text{xor}(k_8)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- MixCols^{-1} ○ $\text{xor}(k_9)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- $\text{xor}(k_{10})$ ○ to_state
- from_state
- $\text{xor}(k_{10})$ ○ ShiftRows ○ SubBytes ○ $\text{xor}(k_9)$ ○ MixCols
- ShiftRows ○ SubBytes ○ $\text{xor}(k_8)$ ○ MixCols ...

Proof Outline

- ... ○ MixCols^{-1} ○ $\text{xor}(k_8)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- MixCols^{-1} ○ $\text{xor}(k_9)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- $\text{xor}(k_{10})$ ○ to_state
- from_state
- $\text{xor}(k_{10})$ ○ ShiftRows ○ SubBytes ○ $\text{xor}(k_9)$ ○ MixCols
- ShiftRows ○ SubBytes ○ $\text{xor}(k_8)$ ○ MixCols ...

Proof Outline

- ... ○ MixCols^{-1} ○ $\text{xor}(k_8)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- MixCols^{-1} ○ $\text{xor}(k_9)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- $\text{xor}(k_{10})$ ○ to_state
- from_state
- $\text{xor}(k_{10})$ ○ ShiftRows ○ SubBytes ○ $\text{xor}(k_9)$ ○ MixCols
- ShiftRows ○ SubBytes ○ $\text{xor}(k_8)$ ○ MixCols ...

Proof Outline

- ... ○ MixCols^{-1} ○ $\text{xor}(k_8)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- MixCols^{-1} ○ $\text{xor}(k_9)$ ○ SubBytes^{-1} ○ ShiftRows^{-1}
- $\text{xor}(k_{10})$ ○ to_state
- from_state
- $\text{xor}(k_{10})$ ○ ShiftRows ○ SubBytes ○ $\text{xor}(k_9)$ ○ MixCols
- ShiftRows ○ SubBytes ○ $\text{xor}(k_8)$ ○ MixCols ...

Discussion

- Model of AES in theorem prover
- Can be executed by (deductive) evaluation on ground or symbolic terms
- Can also be proved correct, in same logical system, with same proof tools.
- Correctness proved with little difficulty

Discussion (contd)

- Unwound 10 rounds then inversion lemmas used to collapse from the inside
- A few lemmas needed interaction, but perhaps most of that can be automated?
- Proof in Cryptol used to related high-level algorithmic spec. to more concrete algorithmic spec.
- Our approach is complementary, in that it proves a correctness property (sanity check) of the original high-level spec.

Part II: Dealing with High Level Types

- AES deals with byte blocks
- But one wants to deal with elements of high-level types
- **Example:** one might wish to encrypt a database of medical patients (e.g., tree of records)
- Lots of programming needed to bridge the gap
- Boring and error-prone.
- Polytypism to the rescue!

Types and Algorithms

- Types often tend to come **before** algorithms
- One defines a type, then defines algorithms over the type
- Example: ADTs (Abstract Data Types)
- Very successful, provides a solid underpinning for software engineering
- But not the only game in town!

Polytypism

- Polytypic algorithms are so general that they apply to a wide range of types
- In a sense, they come **before** types and get instantiated when a new type is defined
- **NB.** Not the same idea as polymorphism

Polytypism in FP

- Datatype declaration introduces a particular **shape** of tree
- A polytypic algorithm operates uniformly, modulo the shape of the data
 - Equality
 - Substitution
 - Printing
 - Mapping into bitstrings (and back out)

Polytypism and Encryption

- **Idea:** Automatically map high level data to bitstrings then use AES.
- Allows correctness of AES to be factored out and re-used for encryption of all datatypes.

Types formally

- Type signature Ω holds the arities of type operators
- Types are defined inductively:
 - Countable set of type variables:
 $\alpha, \alpha_1, \alpha_2, \dots, \beta, \beta_1, \dots$
 - If c in Ω has arity n , and each of τ_1, \dots, τ_n is a type, then $(\tau_1, \dots, \tau_n)c$ is a type
- New types are added to Ω when they are defined

Basic Types

- Booleans: **bool**.
Values are **true** and **false**.
- Pairs: **(α, β) prod**. Written **$\alpha * \beta$** .
Values constructed with **$(-, -)$** .
- Sums: **(α, β) sum**. Written **$\alpha + \beta$** .
Values constructed with **$INL : \alpha \rightarrow \alpha + \beta$** and **$INR : \beta \rightarrow \alpha + \beta$** .
- Functions: **(α, β) fun**. Written **$\alpha \rightarrow \beta$** .
Values constructed via lambda abstraction **$\lambda v. M$**

Datatypes

- Mechanism for introducing user-defined types
- Recursive $\text{num} = 0 \mid \text{Suc of num}$
- Polymorphic
 - Partial functions : $\alpha \text{ option} = \text{None} \mid \text{Some of } \alpha$
 - Homogeneous lists : $\alpha \text{ list} = [] \mid :: \text{ of } \alpha * \alpha \text{ list}$
- Example value:

$[\text{None}, \text{Some} (\text{Suc } 0)] : \text{num option list}$

More Datatypes

- Nested under existing member of Ω . The following is a type of finitely branching trees:

α tree = Node of $\alpha * \alpha$ tree list

- Mutually recursive (and nested)

(α, β) exp = Var of α

| Cond of (α, β) bexp * (α, β) exp * (α, β) exp

| App of $\beta * (\alpha, \beta)$ exp list

(α, β) bexp = Less of (α, β) exp * (α, β) exp

| And of (α, β) bexp * (α, β) bexp

| Not of (α, β) bexp

Polytypism Sketch : Coding

- Given an environment Γ of encoders and decoders for types
- Synthesize encoders/decoders for a compound type by mimicking the structure of the type:
 - **Example:** The type $(\text{num} * \text{bool option})\text{list}$.
- Suppose Γ is an encoder context containing at least encoders for the types num , list , option , and bool

Coding example

- Synthesized encoder:

```
encode_list (encode_prod encode_num  
            (encode_option encode_bool))
```

- Decoder (using a decoder context):

```
decode_list (decode_prod decode_num  
            (decode_option decode_bool))
```

Interpretation

- Our approach is based on an interpretation $[-]_{\Theta, \Gamma}$ of HOL types into terms.

$$\begin{aligned} [v]_{\Theta, \Gamma} &= \Theta(v) && \text{if } v \text{ a tyvar} \\ [(\tau_1, \dots, \tau_n)c]_{\Theta, \Gamma} &= \Gamma(c) \ [\tau_1]_{\Theta, \Gamma} \cdots [\tau_n]_{\Theta, \Gamma} && \text{otherwise} \end{aligned}$$

- The interpretation is parameterized by two maps: Θ , which maps type variables; and Γ , which maps type operators.
- Lifted to terms: $I_{\Theta, \Gamma}(M : \tau) = [\tau]_{\Theta, \Gamma}(M)$

Interpretation

- Interpretations common in formal semantics: translate syntax into informal mathematics (models)
- Support meta-theoretic exercises (soundness, completeness)
- In contrast, we interpret HOL types (syntax) into HOL terms (syntax)
- Allows proof support to be automatically defined each time a datatype is declared

Polytypism and Proof Automation

- When a new type τ is introduced, then automatically define new functions:
 - Size : $\tau \rightarrow \text{num}$
 - Lifting : $\underbrace{\tau}_{\text{ML}} \rightarrow \underbrace{\tau}_{\text{HOL}}$
 - Coding
 - Encode : $\tau \rightarrow \text{bool list}$
 - Decode : $\text{bool list} \rightarrow \tau$
- These are used to support proof automation

Bringing it all together

- Given capability to synthesize encoders and decoders for τ (see paper for details)
- Algorithms for padding bitstrings to exact multiples of the block size (pad), and unpadding to the original length (unpad); and
- Use mode of operation (CBC) to lift block encryptor E and decryptor D to CBC_E and CBC_D , which work on sequences of blocks.

Correctness statement

$AES\ key = (E, D) \supset$

$$\underbrace{\text{decode}_\tau \circ \text{unpad} \circ \text{CBC}_D}_{\text{decryption}} \circ \underbrace{\text{CBC}_E \circ \text{pad} \circ \text{encode}_\tau}_{\text{encryption}} = \mathbf{I}$$

Easy to show when we know

- $D \circ E = \mathbf{I}$ (AES correctness)
- $\text{CBC}_D \circ \text{CBC}_E = \mathbf{I}$ (Trivial)
- $\text{unpad} \circ \text{pad} = \mathbf{I}$ (Trivial)
- $\text{decode}_\tau \circ \text{encode}_\tau = \mathbf{I}$ (Easy)

Conclusions

- **Sanity-checking** style proofs for encryption and decryption of high-level types are not hard
- Possibilities for full automation

Future Work

- Code (or hardware) generation from these high-level specs
- Ongoing work with Mike Gordon at Cambridge
- Done via equivalence preserving steps in theorem prover
- **Goal:** a (longer) unbroken assurance chain through to final artifact