

## Introduction

We discussed the basic tenets of information security, including confidentiality, data integrity, authentication and non-repudiation

Algorithms have been developed that provide these security functions, including unkeyed hash functions, block ciphers, MACs and digital signatures

These algorithms assume a *black box* implementation, where users can **only** interact with the algorithm through its inputs and outputs

The following assumptions are often made (from Maes text):

- Secure key generation: A secure, i.e., random, unique and unpredictable, key can be generated for security primitives such as block ciphers
- Secure key storage: The key can be stored and retrieved by the instantiation with- out being revealed
- Secure execution: The instantiation of the primitive can execute without revealing any information about the key or internal intermediate results  
And without an adversary being able to influence the internal execution

## Introduction

Unfortunately, these assumptions are no longer true and **physical layer** countermeasures are now needed

For example, secure key storage requires specialized technology to provide *secure NVMs*, but recent work shows that even these are vulnerable

Similarly, secure execution requires special design techniques to thwart *side-channel attacks*

Physical layer security is implemented using primitives and methods including:

- **True Random Number Generators (TRNGs):** Distillation of random numbers from physical random sources for protocols and algorithms
- **Design Styles:** Implementations that minimize and ideally eliminate certain physical side channels leakages and vulnerabilities
- **Physical Unclonable Functions (PUFs):** Primitives that produce unpredictable, reliable and instance-specific bitstrings, without the need for

NVM

## Introduction

PUF definition: *An inherent and unclonable instance-specific feature of a physical object*

Akin to biometric features in humans, such as fingerprints, iris characteristics and DNA



**PUF Constructions:** What do they look like and what do they leverage?

PUFs take advantage of *technical limitations* that exist in the physical process of fabricating integrated circuits

## PUF Constructions

Even with *extreme* control over a fabrication process, **no two physically identical instances of a chip** can be created b/c of random and uncontrollable effects

The differences are typically very small, i.e., they exist at the nanometer scale, and require **high-precision techniques** to **measure** them

A PUF is defined as a combination of

- A *physical source of randomness* (**Entropy**), i.e., an integrated circuit component that exhibits *within-die* variations
- A *measurement technique* that can convert small analog signal differences introduced by chip-to-chip/within-die variations into unique digital bitstrings

Variations refer to geometrical and chemical *imperfections* that exist in nanometer-sized components on the chip

Makes multiple *designer-drawn* exact replicas of a component *slightly different*

These physical imperfections manifest as changes in the *electrical characteristics* of the component, which is typically what the PUF measurement technique targets

## PUF Constructions

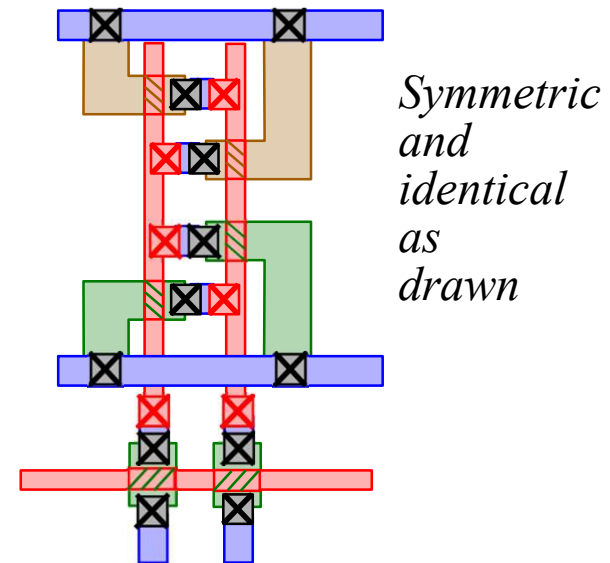
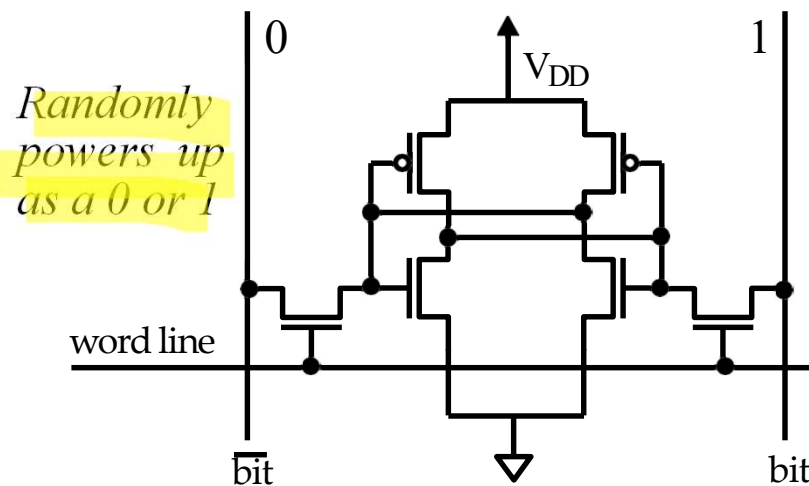
The number of proposed PUF constructions has increased *exponentially*

This has occurred because of the vast array of opportunities that exist to construct/configure IC functional components as the source of entropy

Our focus will be on *intrinsic PUFs*

Intrinsic PUFs are defined as those that include both an *entropy source* and an *on-chip measurement method* to produce digital bitstrings

A simple example: SRAM:



## PUF Constructions

We will use the following notations (from Maes text) in reference to PUFs and their properties:

- **PUF Class:** A PUF class will be denoted by  $P$ , which includes a complete description of a particular PUF construction type

$P.Create$  is a creation procedure used to create instances of  $P$ , which refers to the detailed physical fabrication processes used to build an instance of a PUF

$P.Create(r^c)$ , with  $r^c \stackrel{\$}{\leftarrow} \{0, 1\}^*$ , refers to the **probabilistic** nature of the PUF creation process

- **PUF Instance:** A PUF instance created from class  $P$  will be referred to as  $puf$ . As we will see, most PUF constructions (classes) accept inputs, called **challenges**, that configure the PUF in a specific state  $x$

Therefore  $puf(x)$  refers to the application of challenge  $x$  to a PUF instance  $puf$

The set of all possible challenges for class  $P$  is denoted  $\chi_P$

AVLITER, SRAM

specific hw instantiation

## PUF Constructions

- **PUF Evaluation:** The evaluation of a PUF is referred to as *puf.Eval*

Evaluation produces a quantitative outcome, i.e., a **response**, which depends on the state  $x$  (the challenge)

*puf(x).Eval* represents a **probabilistic response** of *puf* under challenge  $x$

The set of all possible responses is referred to as  $Y_P$

Note that the instance-specific response of a PUF is affected by

- **Fixed within-die variations** that occur within the embedding chip
- **Environmental conditions**, e.g., temperature and supply voltage
- Slow changes in transistor parameters over time, **wear-out effects**

**Environment conditions** are denoted by  $\alpha$  as *puf(x).Eval* <sup>$\alpha$</sup>

The PUF response is generally considered a **random variable** with a characteristic *probability distribution*

The **distribution** is typically determined from simulation or **hardware experiments** for a given PUF class  $P$

*temp., volt  $\Rightarrow$  9 comb  $t_1, v_1$*   
 $t_1, v_1$      $t_2, v_1$      $t_3, v_1$



**PUF Constructions**

A statistical analysis of a PUF response is typically composed of three components (or dimensions):

- Responses from different PUF instances, i.e., different chips (**uniqueness**)
- Responses from the same PUF instance using different challenges (**randomness**)
- Responses from the same PUF instance using the *same* challenges but under different *conditions* (**reliability**)

**Definition:** An  $(N_{puf}, N_{chal}, N_{meas})^\alpha$ -experiment on a PUF class  $P$  is an array of PUF responses of size  $N_{puf} \times N_{chal} \times N_{meas}$

$N_{puf}$  refers to the number of PUF instances (chips)

$N_{chal}$  refers to the number of challenges (each producing 1 response bit)

$N_{meas}$  refers to the number of evaluations (samples)



**PUF Statistical Metrics for Reliability**

As mentioned earlier, PUF responses are affected by environmental conditions  $\alpha$ . Beyond temperature and supply voltage variations, **measurement noise** also introduces changes in a PUF's response.

This fact makes a PUF a **probabilistic function** (as opposed to a real function that always produces the same result for a given input).

Although this feature can be leveraged in cases where the PUF is used as a TRNG, it represents a serious issue for key generation and authentication applications.

As we will discuss, a PUF will require **helper data** to accomplish what is normally possible with NVM memories, i.e., precise reproduction of the bitstring.

Within

**Intra-chip hamming distance (HD<sub>intra</sub>)**: A metric that measures the *resilience* of a PUF to environmental conditions  $\alpha$  and  $\beta$ :

environment diff.

$$HD_{intra}(x) \equiv \text{dist}[\gamma_i^\alpha(x); \gamma_i^\beta(x)]$$

where  $\gamma_i^\alpha(x)$  and  $\gamma_i^\beta(x)$  are two distinct evaluations of  $puf_i$  using  $x$ .

same instance

gamma

same challenge

## Recall Slide 6 from PUF I Lecture

### Notation (continued)

- Given a PUF class  $\mathcal{P}$  is (e.g., a ring oscillator design), a specific instance (chip) will be referred to as a *puf*
- The input to a *puf* is referred to as a *challenge*
  - Let the challenge be  $x$ , then *puf(x)* refers to the application of  $x$  to the *puf*
  - The set of all possible challenges for PUF class  $\mathcal{P}$  is  $\{x\} = \mathcal{X}_{\mathcal{P}}$
- Traditionally the process of applying an input challenge to a *puf* is distinguished from the output
  - The output is referred to as a *response*
  - *puf(x).Eval* refers to the response
  - The set of all possible responses is  $\mathcal{Y}_{\mathcal{P}}$

## PUF Statistical Metrics for Reliability

$HD_{intra}$  is used to measure the difference in the responses of **one particular PUF instance** evaluated with the **same challenge  $x$**

The process of producing the bitstring the **first time is called enrollment**

The process of reproducing the bitstring is called **regeneration**

$HD_{intra}$  measures the *number of differences* (the **Hamming distance** between the bitstrings) that occur in the bitstring during subsequent regenerations

$HD_{intra}$  expresses the *average noise* in the responses, and reflects **reproducibility** (or **reliability**)

Therefore, the idea value for  $HD_{intra}$  is **0%**

For example:

1 0 1 0 0 1 0 1 1 0 (Chip<sub>0</sub> bitstring during enrollment under conditions  $\alpha_1$ )

1 0 1 0 1 1 0 1 1 0 (Chip<sub>0</sub> bitstring during regeneration under conditions  $\alpha_2$ )

-----  
0 0 0 0 1 0 0 0 0 0 = 1/10 = 10% ( $HD_{intra}$ )

$\alpha_1$  might be 25°C, 1.00V while  $\alpha_2$  might be 100°C, 1.05V

### PUF Statistical Metrics for Reliability

The  $HD_{intra}$  characteristics of a PUF class  $P$  are critically important to the practical utility of the PUF

Most published literature on PUFs report  $HD_{intra}$  by carrying out **hardware experiments** that introduce changes in the environmental conditions  $\alpha$

Small analog differences in the behavior of the PUF introduced by measurement and temperature/voltage noise (**TV noise**) are very difficult to model accurately

Therefore, predicting  $HD_{intra}$  from theoretical or simulation experiments is only **OF LIMITED VALUE**, and you should be very skeptical of the results

The chips which embed the PUF are often classified according to the range of environmental conditions that they are tolerant to:

- *Commercial grade*: Typically  $0^{\circ}\text{C}$  to  $85^{\circ}\text{C}$ ,  $\pm 5\%$  supply voltage
- *Industrial grade*: Typically  $-40^{\circ}\text{C}$  to  $100^{\circ}\text{C}$ ,  $\pm 10\%$  supply voltage
- *Military grade*: Typically  $-60^{\circ}\text{C}$  to  $125^{\circ}\text{C}$ ,  $\pm 10\%$  supply voltage

**PUF Statistical Metrics for Reliability**

Environmental conditions can be controlled using temperature chambers and precision power supplies

A thorough exploration of the  $HD_{intra}$  characteristics involves carrying out regeneration across all *TV corners*

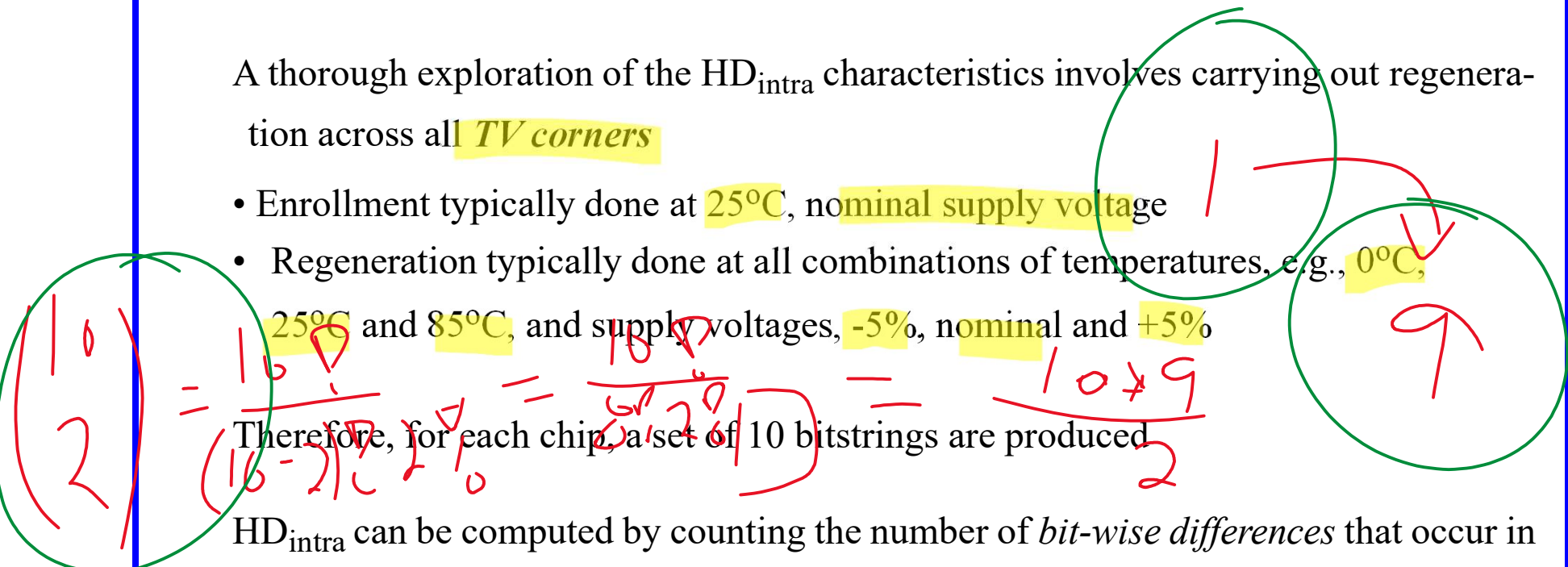
- Enrollment typically done at 25°C, nominal supply voltage
- Regeneration typically done at all combinations of temperatures, e.g., 0°C, 25°C and 85°C, and supply voltages, -5%, nominal and +5%

Therefore, for each chip, a set of 10 bitstrings are produced

$HD_{intra}$  can be computed by counting the number of *bit-wise differences* that occur in the bitstrings using:

- Enrollment and each of the 9 bitstrings from the *TV corners* (9 comparisons) OR
- **All combinations** of the bitstrings, i.e.,  $10 \times 9 / 2$  (45 comparisons)

Applications such as encryption require all combinations, while authentication can be relaxed



# PUF instances # challenges # samples

**PUF Statistical Metrics for Reliability**

A mean  $HD_{intra}$  in a  $(N_{puf}, N_{chal}, N_{meas})^\alpha$ -experiment, where  $\alpha = 10$  is computed as follows (when the *all combinations* method is used):

$$\mu_{intra} = \overline{HD_{intra}} = \frac{\sum HD_{intra}}{N_{puf} \cdot N_{chal} \cdot \alpha \cdot (\alpha - 1)}$$

1  
(2)

In words, count the # of differences across all 45 pairings of bitstrings for each chip, sum them across all chips and divide by the total # of bit-wise comparisons

A *standard deviation* can be computed in a similar manner

A *distribution* can also be created which plots:

- The number of differences along the x-axis for each pairing
- Against the number of times that difference is observed across all pairings, e.g., 45

\*  $N_{puf}$

With  $N_{puf} = 30$  chips, the histogram is created from 1350  $HD_{intra}$  values

$HD_{intra}$  for different PUF classes  $P$  vary from 2% to 15% or larger

*Error correction/avoidance* methods are used to deal with this problem

(2)  
 $\alpha(\alpha-1)$   
2

SHD intra

(2)

N Chal N Pat



**PUF Statistical Metrics for Uniqueness**

**Inter-chip hamming distance ( $HD_{inter}$ ):** A metric that measures the *uniqueness* of a PUF, i.e., how different its responses are when compared to other PUFs:

$$HD_{inter}(x) \equiv \text{dist}[Y_i^\alpha(x); Y_j^\alpha(x)]$$

where  $Y_i^\alpha(x)$  and  $Y_j^\alpha(x)$  are two distinct PUF instances  $puf_i$  and  $puf_j$  evaluated under environmental conditions  $\alpha$  on the same challenges  $x$

*Handwritten notes:*  
 - "diff. instances" (green)  
 - "same challenge" (red)  
 - "same environment" (red)  
 - Arrows pointing from the notes to the variables  $i, j$  and  $x$  in the equation above.

$HD_{inter}$  is used to measure the difference in the responses of **two PUF instances** evaluated with the **same challenges**  $x$

$HD_{inter}$  expresses the *uniqueness* in the responses from different PUF instances

Therefore, the idea value for  $HD_{inter}$  is 50%

For example:

1	0	1	0	0	1	0	1	1	0	(Chip <sub>0</sub> bitstring during enrollment under conditions $\alpha_1$ )
1	1	0	0	0	1	1	1	0	1	(Chip <sub>1</sub> bitstring during enrollment under conditions $\alpha_1$ )
-----										
0	1	1	0	0	0	1	0	1	1	= 5/10 = 50% ( $HD_{inter}$ )

## PUF Statistical Metrics for Uniqueness

A mean  $HD_{inter}$  in a  $(N_{puf}, N_{chal}, N_{meas})^\alpha$ -experiment, where  $\alpha = 1$  is computed as follows:

$$\mu_{inter} = \overline{HD_{inter}} = \frac{2}{N_{puf} \cdot (N_{puf} - 1) \cdot N_{chal}} \left( \sum HD_{inter} \right)$$

In words, count the # of differences across all combinations of *bitstrings* from different PUF instances and divide by the total # of bit-wise comparisons

Note that usually **enrollment bitstrings** are used but bitstrings generated under any environmental condition  $\alpha$  can be evaluated as well

Similar to  $HD_{intra}$ , a standard deviation and *distribution* can be created from the

$$\frac{N_{puf} \cdot (N_{puf} - 1)}{2} \text{ combinations}$$

Mean values for **different PUFs can vary dramatically** from the **ideal 50%**, and depends heavily on whether *bias effects* are present

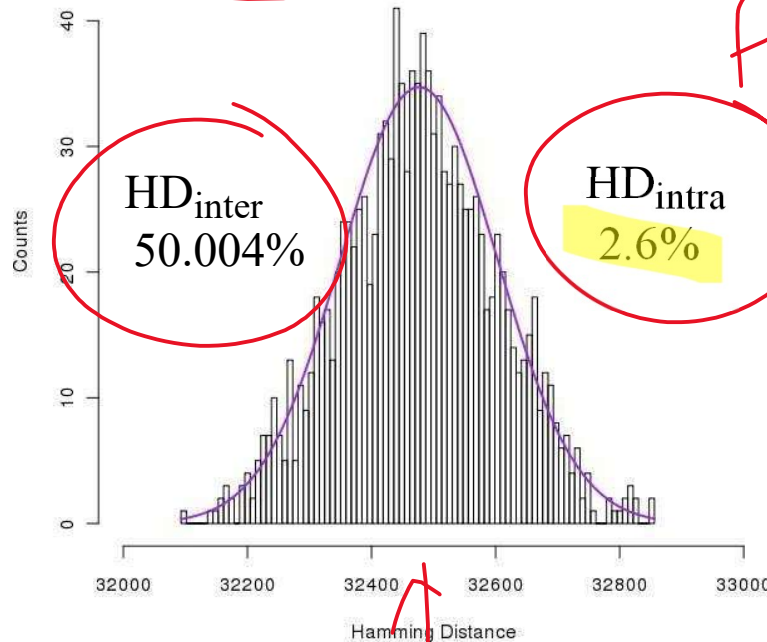
**PUF Statistical Metrics for Uniqueness**

With  $N_{puf} = 50$  chips, the histogram is created from  $50 \cdot 49 / 2 = 1225$   $HD_{inter}$  values:

64,148 / 2

Ideal Ave. IID  
32,474 bits

Actual Ave. HD  
Mean: 32,477 bits  
Std. Dev.: 126 bits



F. Saqib, M. Arenò, J. Aarestad and J. Plusquellic, "An ASIC Implementation of a Hardware-Embedded Physical Unclonable Function", IET Computers & Digital Techniques, Vol. 8, Issue 6, Nov. 2014, pp. 288-299

Note that the distribution is actually characterized as **binomial** and not Gaussian

CGIN 1/1, P

The expected standard deviation *std* of a binomial is given by

$$std_{binomial} = \sqrt{np(1-p)} = \sqrt{64948 \cdot 0.5 \cdot 0.5} = 127.4$$

### PUF Statistical Metrics for Randomness

**Randomness** is more difficult to evaluate than reliability and uniqueness, and requires a suite of tests

**Entropy** and **MinEntropy** are measures of the disorder or randomness of a random variable  $X$  with probabilities  $p_1, \dots, p_n$ , and are defined as follows:

Claude Shannon

I

$H(X)$

$$H(X) = - \sum_{i=1}^n p_i \log_2 p_i$$

$n=2$   
 $p=0.5$

$+1(X) = 0.5 \log_2(0.5)$

**Entropy**

$$H_{\infty}(X) = \min_{i=1}^n (-\log_2 p_i) = -\log_2(\max_i(p_i))$$

**MinEntropy**

$= -0.5 \log_2(0.5)$   
 $= 1$

Entropy and MinEntropy measure the information content in a message  
Interestingly, the more random a message is, the more information it has

For example, a **compressed file** has much more **Entropy** than the **uncompressed** version

per bit

00  
10  
01  
11

**Patterns** in the message, such as those associated with encodings of English characters, can be re-encoded (compressed) using fewer bits

PUF  $2^{36}$  chal  $\rightarrow$   $2^{30}$  res,

128 bits

$\rightarrow$  100 bits

### PUF Statistical Metrics for Randomness

For example, assume you analyze a set of 20 binary bits (0111011110101001101) produced by a random variable and obtain the following 'occurrence' results:

- 8 0's (or  $8/20 = 0.40$ )  $p_0$
- 12 1's (or  $12/20 = 0.60$ )  $p_1$

First we recognize that this variable is not ideal, i.e., it does NOT produce both bit values with equal probability of 50%

$$H(X) = -(p_1) \log_2 p_1 + (1 - p_1) \log_2 (1 - p_1)$$

**Entropy in a binary random variable with prob. of 1 given by  $p_1$**

We compute the Entropy using the above formula as:

$$- (0.60 * \log_2(0.60) + 0.40 * \log_2(0.40)) = (0.4422) + (0.5288) = 0.971$$

We conclude that this random variable has less than 1 bit of Entropy

As indicated earlier, MinEntropy analyzes the most frequently occurring binary pattern and therefore, measures the worst case behavior of a random variable

In this example, MinEntropy is given as  $-\log_2(0.60) = 0.7370$

**PUF Statistical Metrics for Randomness**

If 'occurrence' statistics are known in advance, **Entropy encoding** schemes can be used to optimally encode messages, reducing their length, e.g., *Huffman* coding

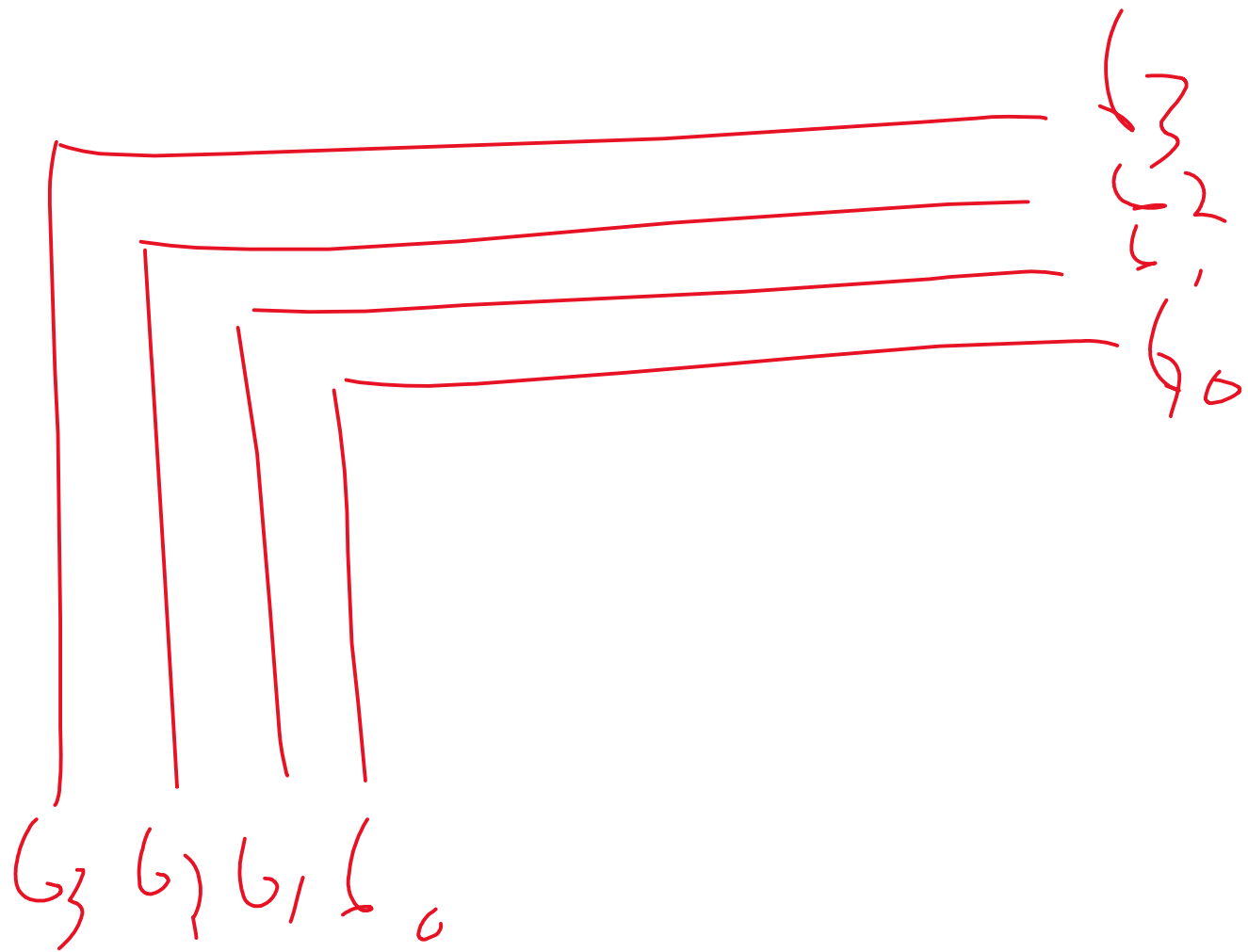
There are MANY ways to compute Entropy w.r.t. PUFs, and you will see different methods used in the literature

10 chips

chip/bit #	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	$H(x)$
C1	0	1	0	0	1	0	1	0	0	0	1	1	1	1	0	0	0	1	1	1	1.000
C2	1	1	0	1	1	1	1	1	0	1	0	0	1	1	0	0	0	1	0	0	0.993
C3	1	1	0	0	1	0	1	0	0	0	0	1	0	1	1	0	0	1	0	0	0.971
C4	1	1	1	1	0	1	0	0	1	1	1	0	0	0	0	0	0	1	1	1	0.993
C5	1	0	0	1	1	0	0	0	1	0	0	1	1	1	0	1	0	1	1	0	1.000
C6	1	1	0	0	0	1	0	1	1	0	1	1	0	1	1	0	1	0	0	0	1.000
C7	0	1	1	0	1	0	1	1	1	1	0	1	1	0	1	0	1	1	0	0	0.971
C8	0	1	1	1	0	1	1	1	0	0	1	1	0	0	0	0	0	0	0	0	0.971
C9	0	0	0	0	1	1	0	1	1	1	0	0	1	0	0	0	0	0	0	0	0.881
C10	1	0	1	0	1	0	1	0	1	1	1	1	0	0	1	0	0	0	0	1	1.000
$H(x)$	0.97	0.88	0.97	0.97	0.88	1.00	0.97	1.00	0.97	1.00	1.00	0.88	1.00	1.00	0.97	0.47	0.72	0.97	0.88	0.88	

Ideal is for PUF-generated bitstrings to have Entropy of 1 across bitstrings **and** chips





**PUF Statistical Metrics for Randomness**

Entropy can also be computed over substrings of the bitstring, e.g.,

Second row of table:



The 4 possible patterns are "00", "01", "10" and "11", which are expected to occur at equal frequencies of 25% when the bitstring is random:

$H(X) =$   
 -  $p_0 \log_2 p_0$   
 -  $p_1 \log_2 p_1$   
 -  $p_2 \log_2 p_2$   
 -  $p_3 \log_2 p_3$

00: 3	$\Rightarrow P(00) = 0.3 = p_0$
01: 3	$\Rightarrow P(01) = 0.3 = p_1$
10: 0	$\Rightarrow P(10) = 0 = p_2$
11: 4	$\Rightarrow P(11) = 0.4 = p_3$

$p_0 = 0.3$   
 $p_1 = 0.3$   
 $p_2 = 0$   
 $p_3 = 0.4$

Here, Entropy is (note:  $\log_2(0)$  is defined to be 0):

$$-0.3 \cdot \log_2(0.3) - 0.3 \cdot \log_2(0.3) - 0.0 \cdot \log_2(0.0) - 0.4 \cdot \log_2(0.4) = 1.571/2 \text{ bits} = 0.785 \text{ bits}$$

And MinEntropy is:

$$-\log_2(0.4) = 1.321/2 = 0.661 \text{ bits}$$

Substrings of any size can be analyzed in this fashion

### PUF Statistical Metrics for Randomness

**Conditional MinEntropy** can also be computed using pairs of bits

It is used to determine if correlations exist, i.e., whether the 1st bit is dependent on the 2nd

$$H_{\infty}(X|W) = -\log_2 \left( \max \left( \frac{p_X}{p_W} \right) \right)$$

Here, we compute  $p_X$  as usual for the 4 possible patterns

And then divide by  $p_W$  which is the probability that the second bit is a '0' for patterns "00" and "10" or '1' for patterns "01" and "11"

The Conditional MinEntropy for the 10 non-overlapping bit pairs on prev. slide:

Prob. 2nd bit is '0' => 0.3

Prob. 2nd bit is '1' => 0.7

Find max among 4 computed values of  $(p_X/p_W)$  given in this example by 0.3/0.3, 0.3/0.7, 0.0/0.3, 0.4/0.7

$-\log_2(0.3/0.3) = 0.000$  (when 2nd bit 0, so is 1st bit)

## PUF Statistical Metrics for Randomness

This material is derived from the NIST published document:

"A Statistical Test Suite for Random and Pseudorandom Number Generators for Cryptographic Applications"

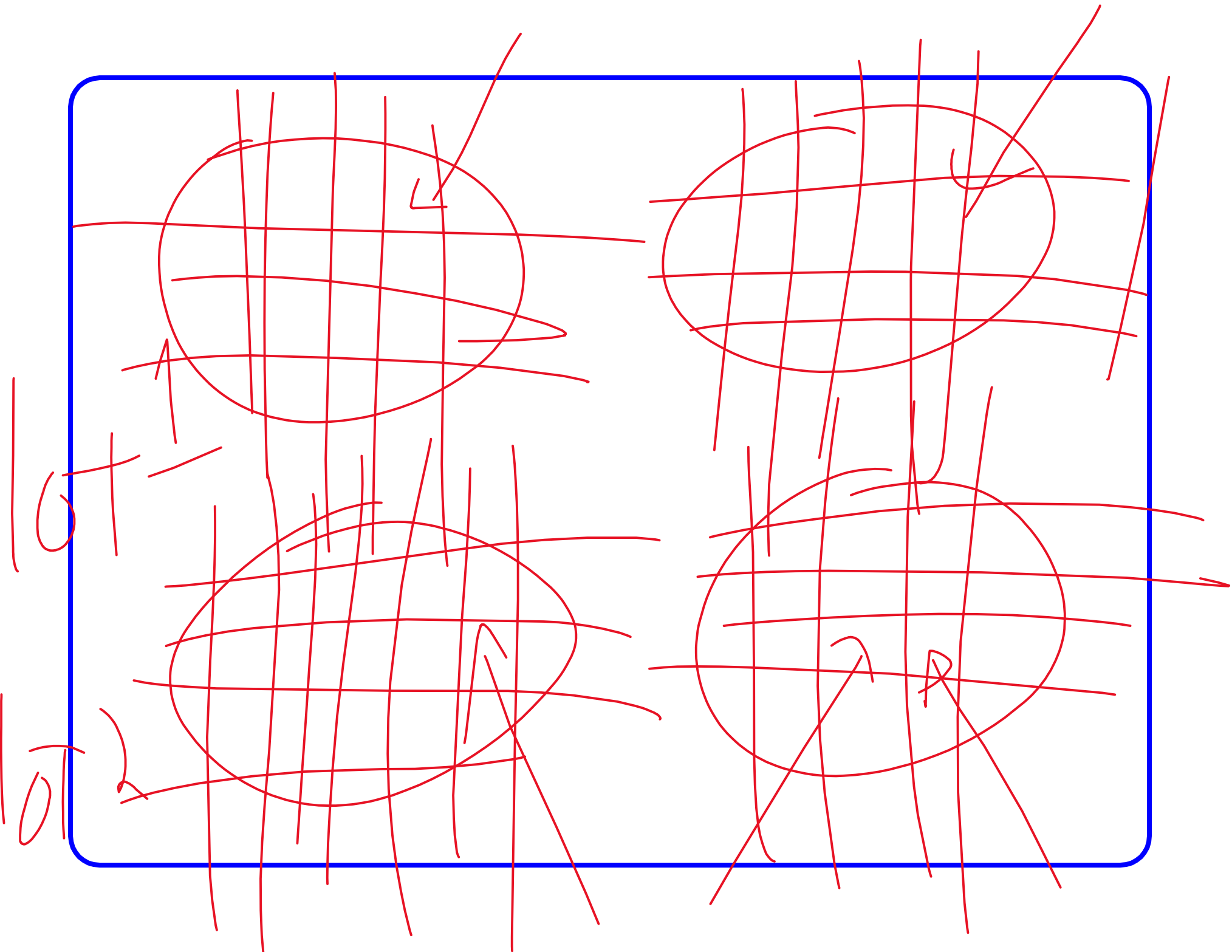
A **random bit sequence** can be interpreted as the result of a sequence of 'flips' of an **unbiased (fair) coin**

With sides labeled '0' and '1', each flip has probability of exactly  $1/2$  of producing a '0' or '1'

Also, the 'flip' experiments are **independent** of each another

The fair coin toss experiment is an example of a *perfect* random bit generator because the '0's and '1's are **randomly and uniformly distributed**

It is not possible to predict the result of the next trial with probability greater than 50%, i.e., the result is *uncertain*



## PUF Statistical Metrics for Randomness

### Random Number Generators (RNGs)

An RNG uses

- A *non-deterministic* source (the **Entropy source**, e.g., **noise** in an electrical circuit)
- A **processing** function called **Entropy distillation** to **improve randomness**

*Distillation* is used to overcome any weaknesses in the entropy source that results in generation of non-random sequences (distillation can be done with XOR)

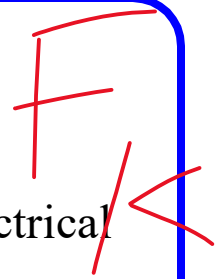
There are an **infinite number of possible** statistical tests that can be applied to a sequence to determine whether 'patterns' exist

Therefore, no **finite set of tests** is deemed complete

Statistical tests are formulated to test a specific **null hypothesis** ( $H_0$ )

Here the null hypothesis-under-test is that the sequence being tested is **random**

The **antonym** to  $H_0$  is the alternative hypothesis ( $H_a$ ), that the sequence is NOT random



### PUF Statistical Metrics for Randomness

Each test has an underlying *reference distribution* which is used to develop a **critical value**, e.g., a value out on the tail of the distribution, say at 99%

The **test statistic** computed for the sequence is compared against the critical value, and if larger, the sequence is deemed NOT random ( $H_0$  is rejected)

The premise is that the tested sequence, if random, has a very low probability, e.g., ~~0.01~~ 1%, of exceeding the critical value

The probability of a **Type I** error, i.e., the data is actually random but the test statistic exceeds the critical value, is often called the **level of significance**,  $\alpha$

A commonly used value for  $\alpha$  is 0.01

Analogously, the probability of a **Type II** error, i.e., the **data is not random** but passes the test, is denoted by  $\beta$

$\beta$  (unlike  $\alpha$ ) is NOT a fixed value because there are an infinite number of ways a sequence can be non-random

False Neg



### PUF Statistical Metrics for Randomness

The NIST tests attempt to minimize the probability of a Type II error

Note that the probabilities  $\alpha$  and  $\beta$  are related to each other and to the size  $n$  of the tested sequence

And the third parameter is dependent on the other two

Usually sample size  $n$  and an  $\alpha$  are chosen, and a critical value is computed that minimizes the probability of a Type II error

A **test statistic**  $S$  is computed from the data, and is compared to the critical value  $t$  to determine whether  $H_0$  is accepted

$S$  is also used to compute a *P-value*, a measure of the *strength* of the evidence **against**  $H_0$

Technically, the *P-value* is the probability that a perfect RNG would have produced a sequence **less random** than the sequence-under-test

**PUF Statistical Metrics for Randomness**

If the *P-value* is 1, then the sequence appears to have *perfect* randomness, if 0, then its completely non-random, i.e., **larger P-values** support randomness

A significance level,  $\alpha$ , is chosen and indicates the probability of a Type I error

If the *P-value*  $\geq \alpha$ , then  $H_0$  is accepted, otherwise it is rejected

If  $\alpha$  is 0.01, then one would expect 1 truly random sequence in 100 to be rejected

Two major assumptions:

- **Uniformity:** At **any** point in the generation of a random bit sequence, the number of '0's and '1's is equally likely and is  $1/2$ , i.e., expected number of '1's is  $n/2$
- **Scalability:** Any test applicable to a sequence is also applicable to a **subsequence** extracted at random, i.e. all subsequences are also random

## PUF Statistical Metrics for Randomness

The NIST Test Suite has 15 tests – for many of them, it is assumed the bit sequence is large, on order of  $10^3$  to  $10^7$

### 1) Frequency Test:

Counts the number of '1' in a bitstring and assesses the closeness of the fraction of '1's to 0.5 (failing frequency usually means failure of most other tests)

### 2) Block Frequency Test:

Same except bitstring is partitioned into  $M$  blocks. Ensures bitstring is 'locally' random

### 3) Runs Test:

Analyzes the total number of *runs*, i.e., uninterrupted sequences of identical bits, and tests whether the oscillation between '0's and '1's is too fast or too slow

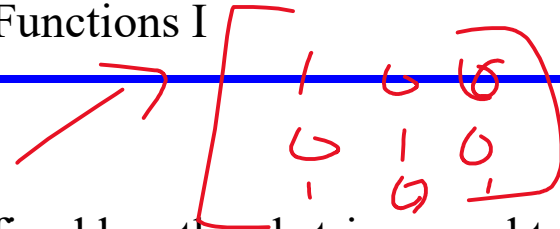
### 4) Longest Run Test:

Analyzes the longest run of '1's within  $M$ -bit blocks, and tests if it is consistent with the length of the longest run expected in a truly random sequence

**PUF Statistical Metrics for Randomness**

5) Rank Test:

[1 0 0 0 1 0 1 0 1]



Analyzes the linear dependence among fixed length substrings, and tests if the number of rows that are linearly independent match the number expected in a truly random sequence

6) Fourier Transform Test:

sin cos tan

Analyzes the peak heights in the frequency spectrum of the bitstring, and tests if there are periodic features, i.e., repeating patterns close to each other

7&8) Non-overlapping and Overlapping Template Tests:

01601100011100001111

Analyzes the bitstring for the number of times pre-specified target strings occur, to determine if too many occurrences of non-periodic patterns occur

elliptic curves

9) Universal Test:

Analyzes the bitstring to determine the level of compression that can be achieved without loss of information

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**NIST Test Suite for Randomness**

10) Linear Complexity Test:

Analyzes the bitstring to determine the length of the smallest set of **LFSRs** needed to **reproduce the sequence**

11&12) Serial and Approximate Entropy Tests:

$m = 1$   $m = 2$

Analyzes the bitstring to test the frequency of all possible  $2^m$  overlapping *m-bit* patterns, to determine if the number is uniform for all possible patterns

$-1 +1 -2 -1 +1 +2$   $-4$   $3$   $-2 -1 1 2 3 4$   $m=0$   $256$

13&14) Cumulative Sums Test:

Analyzes the bitstring to determine if the cumulative sum of incrementally increasing (decreasing) *partial sequences* is too large or too small

15) Random Excursions Test:

Analyzes the total number of times that a *particular state* occurs in a cumulative sum random walk

The **National Institute of Standards and Technology** (NIST) statistical tools

[http://csrc.nist.gov/groups/ST/toolkit/rng/documentation\\_software.html](http://csrc.nist.gov/groups/ST/toolkit/rng/documentation_software.html)

**NIST Test Suite for Randomness**

NIST 'finalAnalysisReport' using HELP ASIC

→ 50 chips  
64,948 bits/chip

C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	P-value	P/F	Proportion	P/F	Statistical test
2	4	5	6	7	5	5	5	5	6	0.956		50/50		Frequency
5	6	8	7	3	7	6	2	4	2	0.494		49/50		Block Frequency
4	2	5	6	5	4	8	7	4	5	0.817		50/50		CumulativeSums
4	1	6	7	8	4	3	4	7	6	0.494		50/50		CumulativeSums
12	3	10	7	2	2	4	5	2	3	0.007		47/50		Runs
5	6	5	6	5	6	4	7	5	1	0.851		49/50		LongestRun
9	8	3	4	4	8	4	3	2	5	0.290		50/50		Rank
8	3	4	5	6	4	5	5	7	3	0.851		50/50		FFT
6	1	5	5	8	2	6	6	6	5	0.575		50/50		NonOverlapping Template
...	...	...	...	...	...	...	...	...	...	...		...	*	<i>N o... + 2</i>
2	6	5	7	5	4	6	4	6	5	0.936		50/50		ApproximateEntropy
5	6	5	7	6	3	7	4	6	1	0.699		49/50		Serial
7	6	7	2	2	9	7	4	4	2	0.237		50/50		Serial

The minimum pass rate for each statistical test with the exception of the random excursion (variant) test is approximately = 47 for a sample size = 50 binary sequences