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Influence of digitization on master-slave synchronisation in chaos-encrypted data transmission

X. Bavard^{1,2}, A. Locquet^{1,2,3}, L. Larger^{1,2}, and J.-P. Goedgebuer^{1,2}

Abstract: We describe the impact of digitization on chaos synchronisation and message decoding in a chaotic cryptosystem. We determine numerically and experimentally the sampling rates and resolutions that lead to a good decoding of the message. The results are interpreted in light of Shannon's sampling theory.

1. Introduction

The properties of chaotic systems can be exploited to realize secure communications. The noise-like appearance of chaos and its broadband spectrum can be used to hide an information-bearing message. Decoding of the message at the receiver is made possible through chaos synchronisation with the emitter. Chaotic communications have been realized with electronic circuits [1-4], and with optical devices using solid-state Nd:YAG lasers [5], erbium-doped fibre lasers [6-10], and semiconductor lasers [11-24].

Most of these encrypted transmissions have been performed so far with carriers that are analogue chaotic signals. It is interesting to realize chaotic communications that take advantage of the unique features of digital communications, such as their low sensitivity to noise and the existence of a

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wealth of digital modulation formats. One approach toward this is to use a physical system which produces digital chaos. For example, Larger *et al.* [25] have recently demonstrated a generator of optical pulses, whose intensity varies chaotically. In this article, we investigate another approach which consists in digitizing the transmitted signal, formed by the message masked by chaos, in order to take advantage of the resistance of digital transmission formats to channel impairments. We report results obtained with a nonlinear delayed feedback generator of wavelength chaos [26], which is known to produce high-dimensional chaos. We examine the influence of the distortions induced by the sampling and quantisation processes on chaos synchronisation and message decoding. Numerical simulations are presented and compared with experimental results for different parameters of the digital conversion.

2. Principle

A schematic diagram of the cryptosystem under consideration is shown in Fig. 1. The chaotic transmitter is formed by a wavelength-tuneable diode laser (DBR) at $1.55\text{ }\mu\text{m}$, with a feedback loop containing a nonlinear element NL made of a birefringent plate (BP) set between two crossed polarizers, a photodetector PD, a delay line introducing a time delay T , an amplifier with gain β (the feedback strength), and a first-order low-pass filter with a 20 kHz cut-off frequency. We refer the reader to Ref. [26] for a complete description of this system, which was originally used for analogue transmissions [11,12].

The dynamics of this assembly is ruled by a delay-differential nonlinear equation [11]

$$x(t) + \tau \frac{dx(t)}{dt} = \beta \left\{ NL[x(t-T)] + s(t) \right\}, \quad (1)$$

where $x(t)$ denotes the chaotic dynamical variable, which is related to the wavelength deviation $\lambda(t)$ from the central wavelength Λ_0 emitted by the laser diode, τ is the time constant of the filter, NL is the nonlinear function, β is the feedback strength, and $s(t)$ is the message to be encrypted. The wavelength $\lambda(t)$ obeys (1) with:

$$\begin{aligned} x(t) &= \frac{\pi D}{\Lambda_0^2} \lambda(t), & \beta &= \frac{\pi D}{\Lambda_0^2} \beta_\lambda, \\ NL[x(t-T)] &= \sin^2[x(t-T) + \phi], & \phi &= \frac{\pi D}{\Lambda_0}, \end{aligned} \quad (2)$$

where D is the optical path-difference of BP, β_λ the feedback strength in λ units, and ϕ is a phase shift.

The message is introduced in the feedback loop and thus participates actively to the dynamics, as shown by (1). The open-loop receiver is a replica of the transmitter (in the sense that it is formed by the same elements). The dynamical variable x propagates toward the receiver and is coupled into it. The dynamics of the receiver system is described by the following delay-differential equation:

$$y(t) + \tau \frac{dy(t)}{dt} = \beta NL[x(t-T_c)], \quad (3)$$

where T_c is the propagation time between the transmitter and the receiver. We neglect here parameter mismatches, the presence of noise in the cryptosystem, and channel-induced distortions, which all degrade the quality of the decoding and synchronisation processes [23,27]. It is easy to show that, in the absence of

message, $y(t)$ synchronizes perfectly with $x(t - T_c + T)$. This is a form of anticipating synchronisation [22], since the receiver dynamical variable y synchronizes, at a time t , with the emitter signal that will be coupled into it T seconds later. In the presence of a message $s(t)$, the difference $\Delta(t) = x(t - T_c + T) - y(t)$ follows the following first-order non-autonomous differential equation:

$$\Delta(t) + \tau \frac{d\Delta(t)}{dt} = \beta s(t).$$

Therefore the difference between the emitter and receiver variables, taken with the correct lag time, gives the information-bearing message, multiplied by a factor β , and filtered by a first-order filter of cut-off frequency $1/(2\pi\tau)$. In this method, chaos is used as a masking signal, and the encryption and decryption processes are essentially analogue.

At both ends of the transmission line, a pair of analogue-digital (A/D) and digital-analogue (D/A) converters is inserted (cf. Fig. 1). The process of digitization includes three basic steps: sampling, quantizing, and coding. Sampling corresponds to the discretization of time applied to an analogue signal. Once the sampled signal is obtained, it is quantified by rounding off its value to the closest value of the converter scale. Finally, coding is carried out: it associates each output value to a binary word. D/A conversion is essentially the reverse process. The D/A converter produces a staircase-like signal, according to the pre-established code, which is then smoothed by a filter.

3. Numerical results

The influence of signal digitization was first studied through numerical simulations. The following parameter values were used for the transmitter and receiver systems: $\Lambda_0 = 1.55 \mu\text{m}$, $T = 512 \mu\text{s}$, $\beta_\lambda = 500 \text{ pm}$, $D = 22 \text{ mm}$, and the cut-off frequency of the low-pass filter was $f_c = 20 \text{ kHz}$, leading to a response time τ of $8 \mu\text{s}$. These parameter values lead to fully-developed chaos, of large dimension and entropy. We used two types of information-bearing message: a sinusoidal signal and a realistic broadband voice signal. The digitization of the composite transmitted signal, formed by the chaotic carrier and the encrypted message, was simulated numerically for various quantisations (10 to 24-bit) and different sampling rates f_s (40 kHz to 1000 kHz). Figure 2 shows the decoded message, $s'(t) = x(t) - y(t)$, for 3 values of the resolution (10, 12 and 24-bit) and 3 values of the sampling rate (80, 176, and 192 kHz), when a 500 Hz sinusoidal signal $s(t)$ is used as a message. It can be seen that the decoding quality depends heavily on the resolution and on the sampling frequency. Below a threshold frequency of approximately 180 kHz, it is impossible to recover the message, whatever the resolution is. We see for example, that for a sampling frequency of 80 kHz, the SNR does not exceed 7 dB, even for a resolution of 24-bit. At the threshold sampling rate, a resolution of 10-bit leads to a SNR of 20 dB and to a sinusoidal message that is distinguishable in the decoded message $s'(t)$. The original message $s(t)$ can be recovered by filtering $s'(t)$. This value of 20 dB will be used as a reference value to compare different system configurations. Above the threshold sampling frequency, it is always possible to

recover the message. Additionally, we note that an increase of f_s for a given resolution, or an increase of the resolution for a given f_s , leads to an increase of the signal to noise ratio.

The degradation of the quality of the decoded message in the digital transmission is due to the distortions induced by the sampling and quantisation processes, which degrade the quality of the synchronisation. Ideally, the sampling rate should be at least two times bigger than the maximum frequency of the chaotic spectrum (Shannon criterion), to avoid aliasing. The spectrum of the generated chaos is shaped by the in-loop filter, and thus roughly exhibits the same frequency dependence. Since it is a first order filter, a significant part of the chaotic spectrum is located at frequencies higher than 20 kHz. Because of the wideband nature of the spectrum, it is necessary to use very large sampling rates to meet the Shannon criterion. It is interesting to determine the highest significant frequency in the spectrum, in terms of the synchronisation process. We consider for this the setup represented in Fig. 3, in which an ideal low-pass filter, which can be considered as an ideal anti-aliasing filter, is placed between the emitter and the receiver systems. This ideal filter completely removes all the frequency components above its cut-off frequency f_c . The decoded message $s'(t)$ is represented in Fig. 4, for various cut-off frequencies. We observe that for cut-off frequencies f_c greater than 90 kHz, the SNR is greater than 20 dB, and the message can be decoded. This means that the portion of the chaotic spectrum above 90 kHz, approximately, can be neglected as it is not necessary for the synchronisation and decoding processes. The results of Fig. 2 can be analyzed

in light of these observations. If the sampling rate f_s is larger than the threshold value of $2 \times 90 = 180$ kHz, the aliasing that results is limited and the message can be decoded. When the sampling frequency is smaller than the threshold value, the distortion induced by the aliasing is too strong to allow a good decoding of the message, even in the absence of quantisation. The quantisation of the chaotic signal can only degrade further the quality of the synchronisation and decoding processes, as can be seen from Fig. 2. The finer the resolution of the quantisation, the smaller the distortions of the chaotic signal, and therefore the better the synchronisation and decoding qualities.

We have explained above that with the first-order cryptosystem described by (1), a sampling frequency larger than 180 kHz is necessary to transmit a 500 Hz sinusoidal message. The biggest part of the chaotic spectrum is necessary for the synchronisation, but is not used to hide the information-bearing message. It thus appears that the first-order system is not very spectrally efficient, for such a message, since it requires a large spectrum and a large sampling frequency, compared to the message spectral width.

We have decided to investigate a new system which produces a more limited chaotic spectrum. The new chaotic emitter is similar to the one described by (1), except for the fact that the first-order RC filter is replaced by an eighth-order Butterworth filter, with the same cut-off frequency as in the case of the first-order filter ($f_c = 20$ kHz). The emitter can be modelled by the following delay-differential equation

$$x(t) + \sum_{i=1}^8 \alpha_i \frac{d^i x(t)}{dt^i} = \beta \left\{ NL[x(t-T)] + s(t) \right\}, \quad (4)$$

where α_i are the filter coefficients. The receiver system also uses an eighth-order system and its dynamical behaviour is described by

$$y(t) + \sum_{i=1}^8 \alpha_i \frac{d^i y(t)}{dt^i} = \beta \text{NL}[x(t-T)]. \quad (5)$$

With an eighth-order filter, the frequencies in the chaotic spectrum that are above the cut-off frequency experience a much stronger attenuation than with a first-order system, as is confirmed by Fig. 5 which represents the spectrum of the chaotic signal x produced by the first- and eighth-order filters.

The evolution of the signal to noise ratio of the decoded message, as a function of the sampling frequency, is represented in Fig. 6, for a first-order and an eighth-order filter. The form of the curves is similar for the two cases. For increasing sampling frequencies, we observe that the SNR curves are first identical for different quantisations, then they separate, and finally, for large sampling frequencies, the SNR becomes independent of the sampling frequency. When the curves are superimposed, the degradation in the synchronisation quality due to the aliasing is so strong that the influence of the number of bits in the quantisation is not significant. The curves separate when the degradation induced by the aliasing becomes of the same order of magnitude as the degradation induced by the quantisation. When the curves become horizontal, the sampling frequency is large enough for no aliasing to occur, and the SNR is dictated by the number of bits in the quantisation only.

A marked difference between the behaviours of the first- and eighth-order cases is that the SNR curves increase much more rapidly with the sampling frequency in the latter case. This is due to the smaller bandwidth of the chaotic signal

generated by the eighth-order emitter, which requires smaller sampling frequencies to make the aliasing phenomenon negligible. For example, if we consider the reference SNR of 20 dB, we observe that it corresponds to a sampling frequency of 80 kHz in the eighth-order case, while a significantly larger frequency of 180 kHz is necessary with a first-order filter. These results confirm that the eighth-order cryptosystem has a better spectral efficiency than the first-order system. Another way of increasing this efficiency could be to multiplex several information-bearing messages, by using for example the phenomenon of dual synchronisation [28]. We have checked that the result presented in this section hold for message frequencies ranging from a few tens of Hz to 20 kHz.

Next, we endeavour to answer the following question: Given a transmission line at a fixed bit rate, what combination of sampling frequency and resolution is optimal in terms of synchronisation? Figure 7 shows the SNR at the receiver as a function of these two parameters, for the eighth-order filter. The dotted lines represent iso-bit rate curves, where the bit rate is considered to be the product of the sampling frequency with the number of bits of the quantisation. We observe that for a bit rate of 1 Mbit/s, the best SNR is obtained for the largest sampling frequency, because spectral aliasing is the dominant phenomenon. For a bit rate of 2 Mbit/s, the maximal SNR is obtained for a sampling frequency of 143 kHz and a resolution of 14-bit. This maximum corresponds to a trade-off between the degradations induced by the sampling and quantisation processes, leading to the best possible synchronisation and decoding quality. The same type of behaviour is observed for a bit rate of 3 Mbit/s. For bit rates above 4 Mbit/s, the best SNR is

obtained for the smallest sampling frequency, and therefore for the largest number of bits. This is due to the fact that the sampling frequencies considered in the graph are sufficiently large to prevent spectral aliasing to take place. The best decoding will thus be obtained with the finest quantisation, and therefore with the smallest sampling frequency.

4. Experimental results

We have tested experimentally the transmission of a sinusoidal message using the cryptosystem represented in Fig. 1. Figure 8a represents the synchronisation diagram of the master and slave chaotic signals, in the case of the eighth-order filter and of a 12-bit converter at 500 kHz. The message to be encoded is the 500 Hz sinusoidal signal represented in Fig. 8b, while Fig. 8c and 8d are plots of the encrypted and decrypted signals. The SNR at the receiver output is found to be 26.6 dB. The decoding error can be due to the quantisation and sampling processes, to a mismatch between the parameters of the transmitter and the receiver, and to the presence of noise in the cryptosystem. The SNR obtained from numerical simulations, with perfectly matched parameters, in the absence of noise and conversions, is of 29.7 dB. Experimentally, in the absence of converters, the signal-to-noise ratio is found to be of 28.8 dB, which indicates that a degradation of 0.9 dB is induced by the noise and parameter mismatch. An additional degradation of 2.2 dB is caused by the sampling and quantisation processes.

To investigate systematically the effect of sampling and quantisation, we used 3 pairs of converters with different resolution: 10, 12 and 24-bit. Additionally, for

each resolution, the sampling rate was varied between 48 kHz and 1 MHz. The converters used are a Burr-Brown ADS803 A/D converter and an Analog Devices AD9752 D/A converter, for the 10 and 12 bit resolutions, and an Ego Systems Waveterminal 192X sound card, for the 24 bit resolution. The other components used in the experimental setup are described in Ref. [26]. Figures 9a and 9b represent the SNR as a function of the sampling frequency and of the number of bits in the quantisation, for the first-order and eighth-order low pass filters, respectively.

The evolution of the SNR is similar to the evolution determined numerically (Fig. 6). We find that, first, when there is a strong spectral aliasing, the SNR curves are identical for different resolutions, then these curves split depending on the resolution, and, finally, they become independent of the sampling, when the aliasing phenomenon is negligible. Figure 9 also shows that the reference SNR of 20 dB is reached for values of the sampling frequency that are close to the ones found numerically (80 kHz and 200 kHz, approximately, for the first- and eighth-order filter, respectively). More generally, we observe that the qualitative changes in the shapes of the SNR curves occur for similar values, on the numerical and experimental plots. This means that the sampling frequency ranges in which either the sampling or quantisation processes are dominant are also similar. The main difference between the experimental and numerical results is that the SNR values reached for large sampling rates, when the effect of quantisation is dominant, are significantly lower in the case of the experimental results. This difference can be attributed to parameter mismatches and to experimental noise.

We have verified experimentally that the results hold for sinusoidal signals with frequencies ranging from 500 Hz to 20 kHz, as well as for a broadband voice signal.

5. Conclusions

We have studied numerically and experimentally the impact of digitization of the chaotic waveform on the synchronisation and decoding properties of chaotic cryptosystems. We have determined the influence of the sampling rate, and of the resolution of the quantisation, on synchronisation and message recovery, depending on the configuration of the cryptosystem, and on the desired bit rate. In particular, we have put into light the existence of a threshold sampling frequency, below which it is impossible to obtain synchronisation, independently of the quality of the quantisation. It appears that this minimum sampling frequency can be very large with respect to the frequency of the information-bearing message, because the synchronisation process needs almost all the frequencies of the wideband chaotic spectrum. This reveals the low spectral efficiency of chaotic communications. We show that this efficiency can be increased by using higher-order filters in the chaotic emitter and receiver.

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Figure captions:

Fig. 1 *Schematic diagram of digital transmission between the emitter and the receiver*

LD: laser diode, BP: birefringent plate, PD: photodetector, T: time delay, β : gain,
A/D: analogue to digital converter, D/A : digital to analogue converter

Fig. 2 *Decoded message for different values of the sampling frequency and of the resolution (in bit) of the quantisation*

Fig. 3 *Schematic diagram with an ideal filter between the emitter and the receiver*

LD: laser diode, BP: birefringent plate, PD: photodetector, T: time delay, β : gain

Fig. 4 *Evolution of decoding quality as a function of the cut-off frequency f_c of an ideal low-pass filter*

Fig. 5 *Spectra of the chaotic signals $x(t)$ produced by the first- (black) and eighth- (gray) order cryptosystems*

Fig. 6 *Numerical SNR with two different intraloop filters*

a First-order filter

b Eighth-order filter

Fig. 7 *SNR as a function of resolution and sampling rate. The dotted lines are iso-bit-rate curves*

Fig. 8 *Experimental digital transmission using a pair of 12-bit converters with a 500 kHz sampling rate*

- a* Master-slave synchronization diagram
- b* Original message
- c* Encrypted signal
- d* Decrypted message.

Fig. 9 *Experimental SNR with two different intraloop filters*

- a* First-order filter
- b* Eighth-order filter.

Figure 1

Figure 2

Figure 3

Figure 4

Figure 5

Figure 6

Figure 7

Figure 8

Figure 9