A New Fully Auditable Proposal for an Internet Voting System with Secure Individual Verification and Complaining Capabilities

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Abstract: This paper introduces a new Internet voting (i-voting) system based on an analysis of the related literature, oriented to democratic election principles (universality, equality, freedom and secrecy). The foundations compiled from that analysis include both technical and social aspects because achieving voter confidence is as important as creating “perfectly secure” systems when talking about democracy. The issues especially addressed in the new system are: full audit-capability, secure individual verification and vote-complaining, and N-Version Programming based robustness and transparency. Currently, this new i-voting system is being tested for performance and usability in our lab.

1 INTRODUCTION

Principles for democratic elections were stated in 1966 by United Nations (UN, 1966) and revisited for e-voting by the Council of Europe (CE, 2004). According to them, eligible voters should be able to participate in equivalent conditions (universality), only one vote per voter is tallied (equality), each vote should be cast free of coercion and reflect voter opinion (freedom) and it must be impossible to know how any particular voter voted (secrecy).

This paper deals with i-voting, in the sense of e-voting platforms which use Internet to store votes in server machines as they are cast and allow voting from anywhere Internet is accessible (all other e-voting platforms are not considered).

The paper is structured as follows: Section 2 resumes our analysis on i-voting literature; then, the core of the paper explains in Section 3 the foundations for i-voting outlined on that analysis, and describes our new i-voting system in Section 4; finally, conclusions are given in Section 5.

2 LITERATURE REVIEW

Our i-voting research began by performing a thorough analysis of the related literature, which is summarized in Figure 1. The analysis outlined important information worth mentioning, which is compiled in the following paragraphs.

Historically, i-voting systems have been designed to support certain properties established as goals, driving system specifications. Many property definitions have arisen in i-voting literature, not all of them totally concise. Sometimes, same notion was renamed as a different property; in other cases, overlapping characteristics were included in various definitions. Thus, stating the desired properties for a new system is not as simple as compiling a list from all researched proposals.

Computer communication needs and democratic election principles influenced cryptographic protocols into becoming central elements in i-voting systems. Although message exchange can be secured with basic public/secret key encryption, advanced cryptography is required to create the contents. The most commonly used advance cryptographies in i-voting have been blind signature (Chaum, 1983) and homomorphism (Benaloh, 1987).

Nevertheless, it was found that even though the achievable properties depend on the cryptographic protocol scheme used (blind signature based or homomorphic), it is not enough to ensure their complete fulfillment. Thus, apart from a secure cryptographic protocol, other elements are needed to accomplish the properties which are not totally addressed by the protocol itself.

The main result of this literature analysis was the compilation of foundations for i-voting system design, which set up the basis for our own proposal.
3 FOUNDATIONS FOR A NEW i-VOTING SYSTEM

3.1 Desired Properties

Table 1 introduces the properties decided for our i-voting system, depicting the relationships between i-voting properties, democratic election principles and cryptographic protocol schemes. Stating these properties as design goals, forces us to base our i-voting system on the foundations described in the following subsections.

3.2 Deciding the Cryptographic Protocol Scheme: Blind Signature vs. Homomorphism

As shown in Table 1, simplicity is nowadays independent from the voting protocol, since single-session voting was achieved for blind signature based voting schemes (Ohkubo et al., 1999). Although, it depends on how voter interfaces are designed so as to be user-friendly for all voter types. Both protocol schemes allow mobility too, but it strongly affects privacy in remote i-voting, where voting takes place outside the polling station, like in traditional postal voting, making it voter interface dependant as well.

Invulnerability and accuracy are both possible with either protocol technique, as they rely on public/secret key cryptography to send confidential and certifiable messages to every system part.

The principle of freedom is the most conflicting one for homomorphic protocols. Fairness is the only property that can be accomplished with both techniques. Flexibility cannot be achieved in homomorphic schemes, as ballots have to fit a certain format so as to be tallied; thus, no write-in ballots can be implemented, and to our knowledge, preferential tallying methods (e.g. used in Ireland or Australia) are impossible to perform. However, those are quite trivial for blind signature protocols. Flexible systems can be adapted to different election complexity (i.e., they can be used for simple referenda too). Verifiability is difficult for homomorphic protocols too, as individual verifiability is not possible in order to preserve privacy, and auditing fails to ensure that votes will never be decrypted by colluding talliers (especially after elections). Universal verifiability is nowadays perfectly obtainable in blind signature based i-voting; individual verification and auditing can also be done exhaustively, if totally anonymous communication channels are used for vote casting. Finally, reliability is not totally accomplished with homomorphic protocols either, because of transparency problems. Observation cannot ensure privacy will never be broken, and due to the extreme mathematical complexity, homomorphic protocols seem quite hard to understand. It can be argued that blind signature is not easily understandable either, but this shortcoming can be made up for because of individual verification and secure vote-complaining for incorrectly tallied votes.

Properties of the secrecy principle can be
Table 1: Democratic election principles, i-voting properties and cryptographic protocol schemes.

<table>
<thead>
<tr>
<th>PROPERTY</th>
<th>DEFINITION</th>
<th>Blind Signature</th>
<th>Homomorphic</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNIVERSALITY PRINCIPLE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Simplicity</td>
<td>&quot;Ease of use&quot; characteristics:</td>
<td>Same accomplishment level</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Convenience.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Disability adaptation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mobility</td>
<td>Both polling station and remote voters are admitted.</td>
<td>Same accomplishment level</td>
<td></td>
</tr>
<tr>
<td>EQUALITY PRINCIPLE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Invulnerability</td>
<td>Considerations for legal votes (Cranor et al, 1997):</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td></td>
<td>• Only authenticated and eligible voters can vote.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Only one vote per voter is tallied.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accuracy</td>
<td>Only certified legal votes are tallied, which cannot be altered.</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>FREEDOM PRINCIPLE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fairness</td>
<td>No intermediate results can be obtained while vote casting is admitted.</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Flexibility</td>
<td>Ballot formats should not be limited for technical reasons, so as to allow voters to express their opinion as accurately as possible.</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>Verifiability</td>
<td>Capability to check the functioning of the system:</td>
<td>Accomplishable</td>
<td>Universal only</td>
</tr>
<tr>
<td></td>
<td>• Universal verifiability: Anyone can verify that the outcome was obtained from legal votes.</td>
<td>(using totally anonymous communication channels for vote casting)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Individual verifiability: each voter can verify that her vote was correctly tallied.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Audit-capability: anyone can verify the correct functioning of each part of the system in every electoral stage.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reliability</td>
<td>As i-voting system is trustworthy as result of its:</td>
<td>Accomplishable</td>
<td>Robustness only</td>
</tr>
<tr>
<td></td>
<td>• Robustness: it is technically able to survive attacks.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Transparency: it is understandable or, at least, observable.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Capability for secure vote-complaining.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SECRECY PRINCIPLE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Privacy</td>
<td>No vote can be related to the voter who cast it.</td>
<td>Same accomplishment level</td>
<td></td>
</tr>
<tr>
<td>Uncoercibility</td>
<td>No voter can prove her choice to any third party.</td>
<td>Same accomplishment level</td>
<td></td>
</tr>
</tbody>
</table>

satisfied by both protocol types to an extent. At this time, well designed protocols can maintain privacy and uncoercibility in message transport and system procedures, but if the voter interface cannot ensure a private environment with the user, all efforts are worthless. Note that we did not include receipt-freeness as a desired property (quite an outstanding property among homomorphic schemes) because we think that uncoercibility includes the basic notion of receipt-freeness and the problem is not the existence of a voting receipt itself, but rather its content. In fact, providing a receipt is quite extended in blind signature schemes as a means to perform individual verification and vote-complaining.

Therefore, as it is outlined by the analysis in previous paragraphs and the summary in Table 1, nowadays, blind signature strategy seems more suitable to accomplish democratic election principles.

In the following points, we summarize the characteristics on blind signature based schemes, gathered from i-voting literature (see Figure 1), so as to underscore some concepts that will be mentioned in the following sections:

- Blind signature is used to perform so called anonymous channel voting schemes, where voters have to communicate at least twice with the system in order to vote.
- The first communication, usually called permit request, is to be done via a public channel (i.e., proving voter identity) to certain system agents usually called Administrators or Validators. As a result, the voter obtains a blindly signed value from them, which she converts into a voting permit that anyone can cryptographically verify to be signed by the Validators without any possible relation to her identity.
- The second communication is for vote casting, sending the permit and a cryptographically closed vote to Collectors or Talliers. It is essential that the message is sent via an anonymous channel, so that no one can relate the vote to the voter.
3.3 Assisting the Cryptographic Protocol Scheme: Network Smartcards, Voter Interfaces, Inspector Agents and Secure Receipts

As outlined in previous Section 2 and looking at Table 1, it is clear that even a blind signature based protocol is not enough to achieve all desired properties for i-voting by itself, so it has to be supported by other elements. The following paragraphs describe our proposals.

Smartcards are secure execution devices, suitable for i-voting software. Currently, due to higher memory capabilities they can store all the files needed for universal user-friendliness (e.g., audio files) and it is accepted that its tamper-resistance protects voting operations from virus attacks. With blind signature protocols, network smartcards should be used (Morales-Rocha, 2008). These can create their own IP packages, so that it could be managed to use different unrelated IP source addresses for permit request and vote casting, thus getting complete (not only application level) anonymous channels. The rest of the voter interface elements should afford a private environment with the user, so as to create a universal portable booth. In 2008 we published a first proposal from a study of different user capabilities (handicapped voters) and the need of isolation for privacy (although multiple-casting technique BSI-CC-PP-0097, 2008, can be adopted as a first approach as well).

Equality principle needs multiple Validators to independently sign permit requests (DuRette, 1999); similarly, fairness and reliability need multiple Collector-Tallier agents in a (t, n) threshold cryptosystem (Ohkubo et al, 1999). This agent multiplication requirement can be used to bring software fault tolerance to i-voting systems, operating as N-Version Programming or NVP elements (see Selker, Goler, 2004, as NVP usage in i-voting). To make the most of this, each multiplied agent should be programmed and controlled by a different inspection group, which have opposite interests in the election outcome. This way, diversity (needed in NVP) is easily achieved and the observation concept (Schoenmakers, 2000) is added too, gaining transparency and audit-capability.

Finally, secure vote-receipts are needed to implement individual verification and complaining, both for total verifiability and reliability achievement. Vote-receipts have been a major point of discussion and of great concern in i-voting. In fact, receipt-freeness has been considered an important property mainly in homomorphic schemes. In contrast, blind signature protocols have traditionally proposed receipt usage, firstly for tallying (Fujikawa et al, 1993; Cramer et al, 1996) but as it was identified as a threat for vote secrecy, they were redefined for partial individual verification (only that the vote was tallied, but not if it was tallied as cast). David Chaum himself proposed secure paper receipts for e-voting in the Scantegrity optical scan e-voting system (out of our scope), which could be applied in polling station i-voting.

We consider that the threat for secrecy (mainly addressed by homomorphic scheme supporters) is not an issue because of the existence of a receipt itself, but because of its lack of protection and its contents. The receipt should meet two goals on behalf of the voter, as response to vote casting, it should certify to the voter that her vote was stored in the system, so as to consider the voting process as properly finished; also, after results are published, it should serve to verify the correct tallying of the vote and to complain in case of error. For the first goal, considering the multiple Collectors to be used, the receipt should contain a signature from every Collector who accepted to store the vote. For the second one, signatures should be related to the closed vote stored and should contain some kind of uniqueness (so as to be identifiable among all published votes); moreover, relating the signatures to the hash of the closed vote, instead of the closed vote itself, makes the complaining process determine that the tallied vote is different from the cast one, without revealing its actual value. Individual verification and claiming operations (e.g., every receipt usage), should be audited too, that is, by specific Complaint inspector agents.

All of these requirements can be met with a proper receipt definition and treatment, that transforms it into a so called vote-proof, which enforces the collaboration (and thus, auditing) of the majority of the inspector groups in individual verifications and complaining processes.

As shown in Figure 2, the vote casting process ends up with the voter creating the vote-proof, derived from the correct receipt received. This vote-proof should stay securely stored in the network smartcard until it is used to perform individual verification, vote complaining or the voter decides to delete it. Note that for individual verification, only the protected key shares are needed to be sent to the inspectors (Ohkubo et al., 1999).
3.4 One Step beyond: Validation

I-voting proposals should be validated. Two complimentary validations can be performed:

- Functional Validation: Both the Council of Europe (CE, 2004) and Bundesamt für Sicherheit in der Informationstechnik (BSI-CC-PP-0037, 2008) have published security objective catalogues for Common Criteria like evaluations. Their objectives are derived from system operational capabilities and thus, constitute useful guidelines to check the functional completeness of i-voting proposals. The first document is intended for every e-voting system, so i-voting proposals should consider it too. The second one is specific for remote i-voting to be used in non-political elections, as it sets the protection of vote choosing as an assumption (not a system requirement).

- Cryptographic Protocol Validation: Previous catalogues assume cryptographic communication protocols are correct; thus, a specific validation is to be done so as to ensure it. As stated in Kremer et al, 2005, it cannot be left as a secondary check, as major flaws have been discovered in sound protocols after years of usage. Model checking tools such as ProVerif (Blanchet, B.) can validate security protocols against i-voting properties. The validations should be done in scenarios where the attacker could even act as a legitimate agent (a voter or a system agent) or where the protocol itself is instrumented to demonstrate that some property-attacking executions are not possible (e.g. eligibility proof in Kremer et al., 2005).

4 NEW i-VOTING SYSTEM APPROACH

Following the foundations introduced in Section 3, we designed the system described in Figure 3.

The i-voting system has several Virtual Polling Stations, made up of a Validation and a Storage subsystem. Each of those subsystems follows the “inspector agents” foundation, and is formed of an electoral principal agent working as an NVP controller over several inspector agents (addressed in Figure 3 as NVP configuration). The same configuration is followed in the Final Tallying and Complaint subsystems too.

4.1 System Description

In this i-voting proposal, voters will interact with the system through a network smartcard, called VC (Voting Card); this card is to be distributed in a way that even the authority cannot determine which card will be used by each voter (e.g., in randomly addressed envelopes). This is very important, in order to create complete anonymous channels for vote casting. On the other hand, as using an anonymous channel protocol scheme, first voter-system communication needs to ensure voter identity. Our solution uses a second smartcard, called CC (Citizen Card), both to sign the permit request and help the VC to determine that its user is the corresponding citizen in each usage session (in each vote casting if multiple castings are performed, in individual verification and in complaining). The CC is a spare identity smartcard, supplied for any identity-based e-administration application. Previous to permit request, a personalization process is to be run by the citizen in the VC, which secures it to her. Thus, stealing personalized VCs in order to vote is useless; also, our system detects if a voter has personalized different cards and tries to get voting permits with them, not allowing so.

Figure 4 shows the voting protocol designed. As in Figure 2, the colored rectangles in the messages, depict a different cryptographic operation, such as public key encryption, signatures and hashes (i.e., a Closed Vote is a plain text Vote.xml file encrypted with the voting public key).

On voting phase (Figure 4), each voter sends her permit request to a Validation subsystem and gets a blind signature on it from the principal (V) and each one of its inspectors (VIs), related to the polls in which she is eligible. That permit request is sent by
the VC but signed by the Citizen Card, so as to ensure voter identity; the core of this message is a unique vID cryptographically blinded (which ensures permit uniqueness and avoids rejection of legal votes from different eligible voters; see Karro, Wang, 1999). Eligible voters can send as many permit requests as they need to deal with situations in which the corresponding response is not received. Each permit request from the same voter will have a different sequence number, which will be checked by the Validators along with voter’s identity and blinded vID (to ensure that it comes from the same Voting Card). The blind signatures performed by the Validators are called blind component permits and altogether form the blind permit. Validators sign the citizen identity and sequence number too, to ensure the originality of the response. Unblinding the blind component permits received from the Validation principal, VC obtains the permit, that should contain a majority of Validation agent signatures over its vID so as to be valid. Although a voter can send multiple requests, she will always receive the same blind permit, so it can just be used to vote once.

Once a valid permit is obtained and a vote is chosen by the voter, VC sends a vote casting message to the Storage subsystem through an anonymous channel (without voter’s identity and with a different IP address from the one used when permit requesting). This message contains the permit, the poll code and the closed vote. The Storage subsystem is structured as the Validation one, but with Collector principal (C) and inspectors (CIs). Their task is to check the validity of the permit, the poll and the message signature, store the closed vote in their databases if so, and create their component receipts. In our protocol, a component receipt is basically the signature of a Collector agent on the vID, the poll code and a hash of the closed vote. This signature is actually a private key encryption, with uniqueness ensured by the vID-poll combination. Once a valid receipt is received, voter’s VC generates the corresponding vote-proof as in Figure 2. Our system allows multiple casting (BSI-CC-PP-0037, 2008), not just to deal with lost responses but to face voter coercion in remote i-voting. Each new cast is checked for having a correct sequence number too and the new closed vote replaces the stored one if so.

As for the tallying phase, Collector agents are turned off and Talliers run in their same servers (Figure 3), accessing the same databases. Note that closed votes must be opened with a secret key (the voting private key) accessible only by the Talliers; this is a simple way to ensure fairness in anonymous channel schemes. Talliers compute partial results from the correct votes. As in traditional elections, each such partial result is generated from the collaboration of authority and inspector groups, whose roles are played by the corresponding Tallier computer agents. Partial result files are then sent by each Storage subsystem to the Central System, which will be in charge of generating final results and providing the services of the publication electoral phase. This file sending is done using different networks, thus bringing NVP diversity to secure partial results transport. Final results are then calculated by the Final Tallier agents.

Finally, in the publication phase, Central System web servers publish final results with all the information needed to perform verifications:

- Universal Verification: Anyone can verify that the results were generated from valid votes, as they are published along with the permit and receipt generated. A receipt related “acceptance value” is published as well, which reflects the percentage of inspectors that accepted to tally the vote. Acceptance values are visualized for every tally level, supporting each of the partial results and
helping independent universal verifications.

- Individual Verification and Complaining: These two operations are to be performed via secure anonymous channels, as with vote casting. Because a multiple casting like solution is not feasible for them, they are to be executed in real voting booths at real Polling Stations. Of course, both operations are completely voluntary and special care has to be taken to protect privacy.

All operations are recorded in log files both in principal and inspector agents, which can be used for public audit.

### 4.2 System Validation

Complete system validation is a matter important enough to comprise the main topic of a whole new paper. Still, we would like to highlight that the two validation types explained as system foundations in previous Section 3.4 have been performed on our system design, as a first approach to continue ahead with real implementation and performance.

- Functional Validation: One by one, all security objectives from both documents (CE, 2004) and (BSI-CC-PP-0037, 2008) were checked for this validation. Foundations such as simplicity (expressed as simple voting operation with voting process stop and resume or vote correction), eligibility, accuracy, fairness and privacy properties, audit-capability characteristic (included in our verifiability property, Table 1), multiple casting and inspector agents, were found to address many of the security objectives required.

- Cryptographic Protocol Validation: ProVerif model checker was used to perform this validation, which required us to express the protocol in Spi Calculus description language. The same fairness and invulnerability (eligibility) tests as Kremer and Ryan (Kremer et al, 2005) were run, as are to be the same for all blind signature based schemes; privacy property can be proved as described there too. Additionally, new tests were designed and run to check verifiability and accuracy, as well as the secure vote-complaining feature.

### 5 CONCLUSIONS

i-Voting systems have nearly 30 years of wide research history. There have been many interesting proposals throughout this time, but few practical
implementations, due to different reasons that mainly involve security, scalability and social acceptance. Currently, it can be said that computer system design and cryptographic protocol techniques are becoming mature enough to create secure systems that can exploit all i-voting potential.

This paper describes our new i-voting system proposal designed to fulfill democratic election principles. To this end, the system uses a blind signature based anonymous channel protocol together with certain reinforcing elements, such as network smartcards and adapted interfaces for voters, NVP inspector agents at server side and vote-proof protection for secure receipt usage.

The i-voting system employs two smartcards to protect voter privacy, supports multiple permit requesting and vote casting, tallies votes in collaboration with inspection groups, and allows universal and individual verifications, full audit and secure vote-complaining.

After functional and cryptographic validations, we believe that our design includes all desired features for a secure i-voting system, providing voters with even better capabilities than in traditional voting, as verifications (both universal and individual) and complaining can be easily performed. Thus, like in other Internet based services, the big problem is reduced to Denial of Service attacks, which can be countered by proper usage of the several Virtual Polling Station facilities.

REFERENCES


