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- Module Pactus -
The specification of the Pactus consensus algorithm: https://pactus.org/learn/consensus/protocol/
EXTENDS Integers, Sequences, FiniteSets, TLC
CONSTANT
     The maximum number of height.
     This limits the range of behaviors evaluated by TLC
    MaxHeight,
     The maximum number of round per height.
     This limits the range of behaviors evaluated by TLC
    MaxRound,
     The maximum number of cp-round per height.
     This limits the range of behaviors evaluated by TLC
    MaxCPRound,
     The total number of nodes in the network,
     denoted as n in the protocol.
     The \ maximum \ number \ of \ faulty \ node \ in \ change-proposer \ phase,
     denoted as f in the protocol.
    f,
     The maximum number of faulty node in block – creation phase,
     denoted as t in the protocol.
    t,
     The indices of faulty nodes.
    FaultyNodes
VARIABLES
     log is a set of messages received by the system.
     states represents the state of each replica in the consensus protocol.
 TwoFPlusOne is equal to 2f + 1
TwoFPlusOne \triangleq (2*f) + 1
 OneFPlusOne is equal to f+1
OneFPlusOne \stackrel{\triangle}{=} (1*f) + 1
 Four TPlus One is equal to 4t+1
FourTPlusOne \stackrel{\triangle}{=} (4*t) + 1
 Three TPlus One is equal to 3t + 1
Three TPlus One \triangleq (3*t) + 1
 A tuple containing all variables in the spec (for ease of use in temporal conditions).
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 $vars \triangleq \langle states, log \rangle$

ASSUME

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Ensure that the number of nodes is sufficient to tolerate the specified number of faults in change-proposer phase.
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\wedge n > (3 * f) + 1
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Ensure that the number of nodes is sufficient to tolerate the specified number of faults in block-creation phase.

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\land n \ge (5 * t) + 1
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Ensure that FaultyNodes is a valid subset of node indices.

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\land FaultyNodes \subseteq 0 \dots n-1
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Helper functions
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Fetch a subset of messages in the network based on the params filter.
SubsetOfMsgs(params) \stackrel{\Delta}{=}
   \{msq \in loq : \forall field \in DOMAIN \ params : msq[field] = params[field]\}
 IsProposer checks if the replica is the proposer for this round.
 To simplify, we assume the proposer always starts with the first replica,
 and moves to the next by the change - proposer phase.
IsProposer(index) \triangleq
    states[index].round\%n = index
 IsFaulty checks if a node is faulty or not.
IsFaulty(index) \stackrel{\Delta}{=} index \in FaultyNodes
 {\it HasPrepareAbsoluteQuorum\ checks\ whether\ the\ node\ with\ the\ given\ index}
 has received 4t + 1 PREPARE votes for a proposal.
HasPrepareAbsoluteQuorum(index) \stackrel{\triangle}{=}
    Cardinality(SubsetOfMsqs([
        type
                  \mapsto "PREPARE",
        height \mapsto states[index].height,
        round \mapsto states[index].round])) \ge FourTPlusOne
 HasPrepareQuorum checks whether the node with the given index
 has received 3t+1 PREPARE votes for a proposal.
HasPrepareQuorum(index) \triangleq
    Cardinality(SubsetOfMsqs([
                 \mapsto "PREPARE",
        type
        height \mapsto states[index].height,
                \mapsto states[index].round])) \ge Three TPlus One
 HasPrecommitQuorum checks whether the node with the given index
 has received 3t + 1 the PRECOMMIT votes for a proposal.
HasPrecommitQuorum(index) \triangleq
    Cardinality(SubsetOfMsgs([
                 \mapsto \text{``PRECOMMIT''}
        height \mapsto states[index].height,
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\mapsto states[index].round])) \ge Three TPlus One
CPHasPreVotesMinorityQuorum(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                   \mapsto "CP:PRE-VOTE",
        type
        height
                   \mapsto states[index].height,
                   \mapsto states[index].round,
        round
        cp\_round \mapsto 0,
        cp\_val
                   \mapsto 1)) \geq OneFPlusOne
CPHasPreVotesQuorum(index) \triangleq
    Cardinality(SubsetOfMsgs([
                   \mapsto "CP:PRE-VOTE",
        type
        height
                   \mapsto states[index].height,
                   \mapsto states[index].round,
        round
        cp\_round \mapsto states[index].cp\_round])) \ge TwoFPlusOne
CPHasPreVotesQuorumForOne(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsqs([
                   \mapsto "CP:PRE-VOTE",
        type
        height
                   \mapsto states[index].height,
        round
                   \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round,
                   \mapsto 1)) \geq TwoFPlusOne
        cp\_val
CPHasPreVotesQuorumForZero(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
        type
                   \mapsto "CP:PRE-VOTE",
                   \mapsto states[index].height,
        height
                   \mapsto states[index].round,
        round
        cp\_round \mapsto states[index].cp\_round,
                   \mapsto 0)) \geq TwoFPlusOne
        cp\_val
CPHasPreVotesForZeroAndOne(index) \stackrel{\Delta}{=}
    \land Cardinality(SubsetOfMsqs([
                   \mapsto "CP:PRE-VOTE",
        type
        height
                   \mapsto states[index].height,
                   \mapsto states[index].round,
        round
        cp\_round \mapsto states[index].cp\_round,
        cp\_val
                   \mapsto 0)) \geq 1
    \land Cardinality(SubsetOfMsgs([
                   \mapsto "CP:PRE-VOTE",
        type
                   \mapsto states[index].height,
        height
        round
                   \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round,
                   \mapsto 1)) \geq 1
        cp\_val
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CPHasAMainVotesZeroInPrvRound(index) \triangleq
    Cardinality(SubsetOfMsgs([
                   \mapsto "CP:MAIN-VOTE",
        tupe
                   \mapsto states[index].height,
        height
        round
                   \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round - 1,
                   \mapsto 0])) > 0
        cp\_val
CPHasAMainVotesOneInPrvRound(index) \triangleq
    Cardinality(SubsetOfMsgs([
                   \mapsto \text{``CP:MAIN-VOTE''}\,,
        type
                   \mapsto states[index].height,
        height
        round
                   \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round - 1,
        cp\_val
                   \mapsto 1])) > 0
CPAllMainVotesAbstainInPrvRound(index) \triangleq
    Cardinality(SubsetOfMsqs([
                   \mapsto "CP:MAIN-VOTE",
        type
        height
                   \mapsto states[index].height,
                   \mapsto states[index].round,
        round
        cp\_round \mapsto states[index].cp\_round - 1,
                   \mapsto 2)) \geq TwoFPlusOne
CPOneFPlusOneMainVotesAbstainInPrvRound(index) \triangleq
    Cardinality(SubsetOfMsqs([
        type
                   \mapsto "CP:MAIN-VOTE",
                   \mapsto states[index].height,
        height
                   \mapsto states[index].round,
        round
        cp\_round \mapsto states[index].cp\_round - 1,
                   \mapsto 2)) \ge OneFPlusOne
        cp\_val
CPHasMainVotesQuorum(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                   \mapsto "CP:MAIN-VOTE",
        type
        height
                   \mapsto states[index].height,
        round
                   \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round])) \ge TwoFPlusOne
CPHasMainVotesQuorumForOne(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                   \mapsto "CP:MAIN-VOTE",
        type
                   \mapsto states[index].height,
        height
        round
                   \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round,
        cp\_val \mapsto 1)) \geq TwoFPlusOne
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CPHasMainVotesQuorumForZero(index) \triangleq
    Cardinality(SubsetOfMsgs([
                    \mapsto "CP:MAIN-VOTE",
        tupe
                    \mapsto states[index].height,
        height
        round
                    \mapsto states[index].round,
        cp\_round \mapsto states[index].cp\_round,
                    \mapsto 0)) \geq TwoFPlusOne
        cp\_val
CPHasDecideVotesForZero(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                   \mapsto "CP:DECIDE"
        type
                  \mapsto states[index].height,
        height
                   \mapsto states[index].round,
        round
                  \mapsto 0])) > 0
        cp\_val
CPHasDecideVotesForOne(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                   \mapsto \text{``CP:DECIDE''}
        type
        height
                  \mapsto states[index].height,
        round
                  \mapsto states[index].round,
        cp\_val \mapsto 1])) > 0
GetProposal(height, round) \stackrel{\Delta}{=}
    SubsetOfMsgs([type \mapsto "PROPOSAL", height \mapsto height, round \mapsto round])
HasProposal(index) \triangleq
    Cardinality(GetProposal(states[index].height, states[index].round)) > 0
HasPrepared(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                  \mapsto \text{``PREPARE''}
        type
        height
                  \mapsto states[index].height,
                  \mapsto states[index].round,
        round
        index
                  \mapsto index)) = 1
HasBlockAnnounce(index) \stackrel{\Delta}{=}
    Cardinality(SubsetOfMsgs([
                  \mapsto "BLOCK-ANNOUNCE",
        type
        height \mapsto states[index].height,
                 \mapsto states[index].round])) \ge 1
        round
 Helper function to check if the block is committed or not.
 A block is considered committed iff supermajority of non – faulty replicas announce the same block.
IsCommitted \triangleq
    Let subset \stackrel{\Delta}{=} SubsetOfMsgs([
          type
                   \mapsto "BLOCK-ANNOUNCE",
         height \mapsto MaxHeight]
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\land Cardinality(subset) \ge TwoFPlusOne
\land \forall m1, m2 \in subset : m1.round = m2.round
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Network functions
 SendMsg simulates a replica sending a message by appending it to the log
SendMsg(msg) \triangleq
    IF msg.cp\_round < MaxCPRound
     THEN log' = log \cup \{msg\}
     ELSE log' = log
 SendProposal is used to broadcast the PROPOSAL into the network.
SendProposal(index) \triangleq
    SendMsg([
                    \mapsto "PROPOSAL",
         type
        height
                    \mapsto states[index].height,
        round
                    \mapsto states[index].round,
         index
                    \mapsto index,
        cp\_round \mapsto 0,
         cp\_val
                    \mapsto 0
 SendPrepareVote\ is\ used\ to\ broadcast\ PREPARE\ votes\ into\ the\ network.
SendPrepareVote(index) \triangleq
    SendMsg([
                    \mapsto "PREPARE".
         type
                    \mapsto states[index].height,
        height
                    \mapsto states[index].round,
         round
         index
                    \mapsto index,
         cp\_round \mapsto 0,
                    \mapsto 0])
         cp\_val
 SendPrecommitVote\ is\ used\ to\ broadcast\ PRECOMMIT\ votes\ into\ the\ network.
SendPrecommitVote(index) \stackrel{\Delta}{=}
    SendMsg([
         type
                    \mapsto "PRECOMMIT",
        height
                    \mapsto states[index].height,
        round
                    \mapsto states[index].round,
         index
                    \mapsto index,
         cp\_round \mapsto 0,
        cp\_val
                    \mapsto 0
 SendCPPreVote is used to broadcast CP: PRE - VOTE votes into the network.
SendCPPreVote(index, cp\_val) \stackrel{\Delta}{=}
    SendMsg([
                    \mapsto "CP:PRE-VOTE",
         type
```

 $\mapsto states[index].height,$

height

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\mapsto states[index].round,
        round
        index
                   \mapsto index,
        cp\_round \mapsto states[index].cp\_round,
                   \mapsto cp\_val)
        cp\_val
 SendCPMainVote\ is\ used\ to\ broadcast\ CP: MAIN-VOTE\ votes\ into\ the\ network.
SendCPMainVote(index, cp\_val) \triangleq
    SendMsq([
                    \mapsto "CP:MAIN-VOTE",
        type
                   \mapsto states[index].height,
        height
                   \mapsto states[index].round,
        round
        index
                   \mapsto index,
        cp\_round \mapsto states[index].cp\_round,
        cp\_val
                   \mapsto cp\_val
 SendCPDeciedVote\ is\ used\ to\ broadcast\ CP:DECIDE\ votes\ into\ the\ network.
SendCPDeciedVote(index, cp\_val) \stackrel{\Delta}{=}
    SendMsg([
                    \mapsto "CP:DECIDE",
        type
        height
                   \mapsto states[index].height,
                   \mapsto states[index].round,
        round
        cp\_round \mapsto states[index].cp\_round,
                   \mapsto -1,
                               reduce the model size
        index
        cp\_val
                   \mapsto cp\_val
 AnnounceBlock is used to broadcast BLOCK - ANNOUNCE messages into the network.
AnnounceBlock(index) \triangleq
    SendMsg([
                    \mapsto "BLOCK-ANNOUNCE",
        type
        height
                   \mapsto states[index].height,
                   \mapsto states[index].round,
        round
        index
                    \mapsto index,
        cp\_round \mapsto 0,
        cp\_val
                   \mapsto 0
```

States functions

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 \begin{array}{l} \textit{NewHeight state} \\ \textit{NewHeight}(index) \triangleq \\ & \text{IF } \textit{states}[index].\textit{height} \geq \textit{MaxHeight} \\ & \text{THEN } \textit{UNCHANGED } \langle \textit{states}, \textit{log} \rangle \\ & \text{ELSE} \\ & \land \neg \textit{IsFaulty}(index) \\ & \land \textit{states}[index].\textit{name} = \text{``new-height''} \\ & \land \textit{states'} = [\textit{states} \; \textit{EXCEPT} \end{array}
```

```
![index].name = "propose"
            ![index].height = states[index].height + 1,
            ![index].round = 0]
        \wedge log' = log
 Propose\ state
Propose(index) \triangleq
    \land \neg IsFaulty(index)
    \land states[index].name = "propose"
    \land IF IsProposer(index)
         THEN SendProposal(index)
         ELSE log' = log
    \land states' = [states \ EXCEPT]
         ![index].name = "prepare",
         ![index].cp\_round = 0]
 Prepare\ state
Prepare(index) \triangleq
    \land \neg IsFaulty(index)
    \land states[index].name = "prepare"
    \land \quad HasProposal(index)
    \land SendPrepareVote(index)
    \land states' = states
Precommit\ state
Precommit(index) \triangleq
    \land \neg IsFaulty(index)
    \land states[index].name = "precommit"
    \land IF HasPrecommitQuorum(index)
       THEN \wedge states' = [states EXCEPT ![index].name = "commit"]
               \wedge log' = log
       ELSE \land HasProposal(index)
               \land SendPrecommitVote(index)
               \land states' = states
 Commit\ state
Commit(index) \triangleq
    \wedge \neg IsFaulty(index)
    \land states[index].name = "commit"
    \land AnnounceBlock(index)
    \wedge states' = [states \ EXCEPT]
        ![index].name = "new-height"]
Timeout: A non-faulty Replica try to change the proposer if its timer expires.
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 $Timeout(index) \triangleq$

```
\neg IsFaulty(index)
       states[index].name = "prepare"
    \land \quad states[index].round < MaxRound
       states' = [states \ EXCEPT \ ![index].name = "cp:pre-vote"]
        log' = log
CPPreVote(index) \triangleq
    \land \neg IsFaulty(index)
    \land states[index].name = "cp:pre-vote"
        \land IF states[index].cp\_round = 0
           THEN
               IF HasPrepareQuorum(index)
                THEN \land SendCPPreVote(index, 0)
                       \land states' = [states \ \texttt{EXCEPT} \ ![index].name = "cp:main-vote"]
                ELSE IF HasPrepared(index)
                       THEN \land CPHasPreVotesMinorityQuorum(index)
                               \land SendCPPreVote(index, 1)
                               \land states' = [states \ EXCEPT \ ![index].name = "cp:main-vote"]
                       ELSE \wedge SendCPPreVote(index, 1)
                               \land states' = [states \ \texttt{EXCEPT} \ ![index].name = "cp:main-vote"]
            ELSE
               Λ
                       \land CPHasAMainVotesOneInPrvRound(index)
                       \land SendCPPreVote(index, 1)
                       \land CPHasAMainVotesZeroInPrvRound(index)
                        \land SendCPPreVote(index, 0)
                       \land CPAllMainVotesAbstainInPrvRound(index)
                       \land SendCPPreVote(index, 0) biased to zero
               \land states' = [states \ EXCEPT \ ![index].name = "cp:main-vote"]
CPMainVote(index) \triangleq
    \wedge \neg IsFaulty(index)
    \land states[index].name = "cp:main-vote"
    \land CPHasPreVotesQuorum(index)
    Λ
                all votes for 1
            \land CPHasPreVotesQuorumForOne(index)
            \land SendCPMainVote(index, 1)
            \land states' = [states \ EXCEPT \ ![index].name = "cp:decide"]
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```
all votes for 0
            \land CPHasPreVotesQuorumForZero(index)
            \land SendCPMainVote(index, 0)
            \land states' = [states \ EXCEPT \ ![index].name = "cp:decide"]
                Abstain\ vote
            \land CPHasPreVotesForZeroAndOne(index)
            \land SendCPMainVote(index, 2)
            \land states' = [states \ EXCEPT \ ![index].name = "cp:decide"]
CPDecide(index) \stackrel{\triangle}{=}
    \land \neg IsFaulty(index)
    \land states[index].name = "cp:decide"
    \land CPHasMainVotesQuorum(index)
       IF CPHasMainVotesQuorumForZero(index)
        THEN
            \land SendCPDeciedVote(index, 0)
            \wedge states' = states
        ELSE IF CPHasMainVotesQuorumForOne(index)
        THEN
            \land SendCPDeciedVote(index, 1)
            \wedge states' = states
        ELSE
            \land states' = [states \ EXCEPT \ ![index].name = "cp:pre-vote",
                                          ![index].cp\_round = states[index].cp\_round + 1]
            \wedge log' = log
CPStrongTerminate(index) \triangleq
    \land \neg IsFaulty(index)
    \wedge
        \lor states[index].name = "cp:pre-vote"
        \lor states[index].name = "cp:main-vote"
        \lor states[index].name = "cp:decide"
       IF CPHasDecideVotesForOne(index)
        THEN \wedge states' = [states EXCEPT ![index].name = "propose",
                                             ![index].round = states[index].round + 1]
                \wedge log' = log
        ELSE IF CPHasDecideVotesForZero(index)
        THEN
             \land states' = [states \ EXCEPT \ ![index].name = "precommit"]
             \wedge loq' = loq
        ELSE IF \land states[index].cp_round = MaxCPRound
                   \land CPOneFPlusOneMainVotesAbstainInPrvRound(index)
```

```
THEN
              \land states' = [states \ EXCEPT \ ![index].name = "precommit"]
              \wedge log' = log
          _{\mathrm{ELSE}}
              \land states' = states
              \wedge log' = log
StrongCommit(index) \triangleq
     \land \neg IsFaulty(index)
     Λ
         \lor states[index].name = "prepare"
         \lor states[index].name = "precommit"
         \lor states[index].name = "cp:pre-vote"
         \lor states[index].name = "cp:main-vote"
         \lor states[index].name = "cp:decide"
     \land HasPrepareAbsoluteQuorum(index)
     \land states' = [states \ EXCEPT \ ![index].name = "commit"]
     \wedge log' = log
Init \triangleq
     \land log = \{\}
     \land states = [index \in 0 ... n - 1 \mapsto [
                      \mapsto \text{``new-height''}\,,
        name
        height
                      \mapsto 0,
        round
                      \mapsto 0,
        cp\_round \mapsto 0
Next \triangleq
    \exists index \in 0 \dots n-1:
        \lor NewHeight(index)
        \vee Propose(index)
        \vee Prepare(index)
        \vee Precommit(index)
        \vee Timeout(index)
        \vee Commit(index)
        \vee StrongCommit(index)
        \vee CPPreVote(index)
        \vee CPMainVote(index)
        \vee CPDecide(index)
        \vee CPStrongTerminate(index)
Spec \triangleq
    Init \wedge \Box [Next]_{vars} \wedge WF_{vars}(Next)
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Success: All\ non-faulty\ nodes\ eventually\ commit\ at\ MaxHeight.
Success \triangleq \Diamond(IsCommitted)
TypeOK is the type-correctness invariant.
TypeOK \triangleq
     \land \quad \forall index \in 0 \dots n-1:
            \land \ states[index].name \in \{ \text{``new-height''}, \ \text{``propose''}, \ \text{``prepare''},
                "precommit", "commit", "cp:pre-vote", "cp:main-vote", "cp:decide"}
            \land states[index].height \leq MaxHeight
            \land states[index].round \leq MaxRound
            \land states[index].cp\_round \leq MaxCPRound
            \land states[index].name = "new-height" \land states[index].height > 0 \Rightarrow
                \land HasBlockAnnounce(index)
            \land states[index].name = "precommit" \Rightarrow
                \land HasPrepareQuorum(index)
                \land HasProposal(index)
            \land states[index].name = "commit" \Rightarrow
                \land HasPrepareQuorum(index)
                \land HasProposal(index)
            \land \forall round \in 0 ... states[index].round :
                Not more than one proposal per round
                \land Cardinality(GetProposal(states[index].height, round)) \le 1
```