```
- MODULE TunableMongoDB_Repl
EXTENDS Naturals, FiniteSets, Sequences, TLC
 constants and variables
CONSTANTS Client, Server,
                                       the set of clients and servers
                Key, Value,
                                       the set of keys and values
                Nil,
                                      model value, place holder
                PtStop
                                      max physical time
                                      Primary node
VARIABLES Primary,
               Secondary,
                                      secondary nodes
               Oplog,
                                       oplog[s]: oplog at server[s]
               Store,
                                       store[s]: data stored at server[s]
               Ct,
                                       Ct[s]: cluster time at node s
               Ot,
                                       Ot[s]: the last applied operation time at server s
               ServerMsg,
                                       ServerMsg[s]: the channel of heartbeat msgs at server s
               Pt,
                                       Pt[s]: physical time at server s
               Cp,
                                       Cp[s]: majority commit point at server s
               State,
                                       State[s]: the latest Ot of all servers that server s knows
               CalState,
                                       CalState: sorted State[Primary]
               CurrentTerm,
                                       CurrentTerm[s]: current election term at server s
                                       \rightarrow updated in update_position, heartbeat and replicate
               ReadyToServe,
                                      equal to 0 before any primary is elected
               SyncSource
                                      SyncSource[s]: sync source of server node s
                                            at least one clinet
Assume Cardinality(Client) > 1
Assume Cardinality(Server) \geq 2
                                            at least one primary and one secondary
ASSUME Cardinality(Key) \ge 1 at least one object
ASSUME Cardinality(Value) \ge 2 at least two values to update
 Helpers
HLCLt(x, y) \triangleq \text{if } x.p < y.p
                        THEN TRUE
                       ELSE IF x.p = y.p
                        THEN IF x.l < y.l
                                    THEN TRUE
                                 ELSE FALSE
                        ELSE FALSE
HLCMin(x, y) \triangleq \text{if } HLCLt(x, y) \text{ THEN } x \text{ else } y
HLCMax(x, y) = \text{If } HLCLt(x, y) \text{ THEN } x \text{ ELSE } y
HLCMax(x, y) \triangleq \text{If } HLCLt(x, y) \text{ THEN } y \text{ ELSE } x
HLCType \triangleq [p:Nat, l:Nat]
Min(x, y) \triangleq \text{If } x < y \text{ THEN } x \text{ ELSE } y
```

 $Max(x, y) \stackrel{\triangle}{=} \text{ if } x > y \text{ Then } x \text{ else } y$

```
vars \triangleq \langle Primary, Secondary, Oplog, Store, Ct, Ot, ServerMsg, \rangle
            Pt, Cp, CalState, State,
            Current Term, Ready To Serve, Sync Source
RECURSIVE CreateState(_, _) init state
CreateState(len, seq) \triangleq
    If len = 0 then seq
     ELSE CreateState(len - 1, Append(seq, [p \mapsto 0, l \mapsto 0]))
LogTerm(i, index) \stackrel{\Delta}{=} \text{ if } index = 0 \text{ THEN } 0 \text{ ELSE } Oplog[i][index].term
LastTerm(i) \stackrel{\Delta}{=} CurrentTerm[i]
 Is node i ahead of node j
NotBehind(i, j) \stackrel{\Delta}{=} \lor LastTerm(i) > LastTerm(j)
                          \vee \wedge LastTerm(i) = LastTerm(j)
                             \land Len(Oplog[i]) \ge Len(Oplog[j])
IsMajority(servers) \triangleq Cardinality(servers) * 2 > Cardinality(Server)
 Return the maximum value from a set, or undefined if the set is empty.
MaxVal(s) \stackrel{\triangle}{=} \text{ CHOOSE } x \in s : \forall y \in s : x \geq y
 commit point
RECURSIVE AddState(\_, \_, \_)
AddState(new, state, index) \stackrel{\Delta}{=}
    IF index = 1 \land HLCLt(new, state[1])
          THEN \langle new \rangle \circ state less than the first
     ELSE IF index = Len(state) + 1
          THEN state \circ \langle new \rangle
     ELSE IF HLCLt(new, state[index])
          THEN SubSeq(state, 1, index -1) \circ \langle new \rangle \circ SubSeq(state, index, Len(state))
     ELSE AddState(new, state, index + 1)
RECURSIVE RemoveState(_, _, _)
RemoveState(old, state, index) \stackrel{\Delta}{=}
    IF state[index] = old
          THEN SubSeq(state, 1, index - 1) \circ SubSeq(state, index + 1, Len(state))
     ELSE RemoveState(old, state, index + 1)
AdvanceState(new, old, state) \triangleq AddState(new, RemoveState(old, state, 1), 1)
MaxPt \stackrel{\triangle}{=} LET x \stackrel{\triangle}{=} CHOOSE s \in Server : \forall s1 \in Server \setminus \{s\} :
                                         Pt[s] > Pt[s1]IN Pt[x]
Tick(s) \stackrel{\triangle}{=} Ct' = \text{if } Ct[s].p \ge Pt[s] \text{ Then } [Ct \text{ except } ![s] = [p \mapsto @.p, l \mapsto @.l + 1]]
                                              ELSE [Ct \text{ EXCEPT } ! [s] = [p \mapsto Pt[s], l \mapsto 0]]
```

```
heartbeat
 Only Primary node sends heartbeat once advance pt
BroadcastHeartbeat(s) \stackrel{\Delta}{=}
    LET msg \triangleq [type \mapsto \text{``heartbeat''}, s \mapsto s, aot \mapsto Ot[s],
                      ct \mapsto Ct[s], \ cp \mapsto Cp[s], \ term \mapsto CurrentTerm[s]
          ServerMsg' = [x \in Server \mapsto if \ x = s \ Then \ ServerMsg[x]]
                                                           ELSE Append(ServerMsg[x], msg)
 Can node i sync from node j?
CanSyncFrom(i, j) \triangleq
     \land Len(Oplog[i]) < Len(Oplog[j])
     \wedge LastTerm(i) = LogTerm(j, Len(Oplog[i]))
 Oplog entries needed to replicate from j to i
ReplicateOplog(i, j) \triangleq
    LET len_i \stackrel{\triangle}{=} Len(Oplog[i])
          len_{-j} \triangleq Len(Oplog[j])
         IF i \neq Primary \land len_i < len_j
                                THEN SubSeq(Oplog[j], len_i + 1, len_j)
 Can node i rollback its log based on j's log
CanRollback(i, j) \stackrel{\Delta}{=} \land Len(Oplog[i]) > 0
                            \wedge Len(Oplog[j]) > 0
                            \land CurrentTerm[i] < CurrentTerm[j]
                                \vee Len(Oploq[i]) > Len(Oploq[i])
                                \lor \land Len(Oplog[i]) \le Len(Oplog[j])
                                   \land CurrentTerm[i] \neq LogTerm(j, Len(Oplog[i]))
 Returns the highest common index between two divergent logs.
 If there is no common index between the logs, returns 0.
RollbackCommonPoint(i, j) \triangleq
    LET commonIndices \stackrel{\triangle}{=} \{k \in DOMAIN \ Oplog[i] :
                                       \land k \leq Len(Oplog[j])
                                       \land Oplog[i][k] = Oplog[j][k]IN
          IF commonIndices = \{\} THEN 0 ELSE MaxVal(commonIndices)
 Init Part
InitPrimary \triangleq Primary = CHOOSE \ s \in Server : TRUE
InitSecondary \triangleq Secondary = Server \setminus \{Primary\}
InitOplog \stackrel{\triangle}{=} Oplog = [s \in Server \mapsto \langle \rangle]
InitStore \stackrel{\triangle}{=} Store = [n \in Server \cup Client \mapsto [k \in Key \mapsto Nil]]
InitCt \triangleq Ct = [n \in Server \cup Client \mapsto [p \mapsto 0, l \mapsto 0]]
InitOt \stackrel{\triangle}{=} Ot = [n \in Server \cup Client \mapsto [p \mapsto 0, l \mapsto 0]]
```

```
InitServerMsg \triangleq ServerMsg = [s \in Server \mapsto \langle \rangle]
InitPt \stackrel{\triangle}{=} Pt = [s \in Server \mapsto 1]
InitCp \triangleq Cp = [n \in Server \cup Client \mapsto [p \mapsto 0, l \mapsto 0]]
InitCalState \triangleq CalState = CreateState(Cardinality(Server), \langle \rangle)
                                        create initial state(for\ calculate)
InitState \stackrel{\triangle}{=} State = [s \in Server \mapsto [s0 \in Server \mapsto
                                                       [p \mapsto 0, l \mapsto 0]]
InitCurrentTerm \stackrel{\triangle}{=} CurrentTerm = [s \in Server \mapsto 0]
InitReadyToServe \stackrel{\triangle}{=} ReadyToServe \stackrel{\vdash}{=} 0
InitSyncSource \stackrel{\Delta}{=} SyncSource = [s \in Server \mapsto Nil]
Init \triangleq
     \land InitPrimary \land InitSecondary \land InitOplog \land InitStore \land InitCt
     \wedge InitOt \wedge InitPt \wedge InitCp \wedge InitCalState
     \wedge InitServerMsg
     \land \ InitState \land InitCurrentTerm \land InitReadyToServe
     \land InitSyncSource
 Next State Actions
 Replication Protocol: possible actions
TurnOnReadyToServe \triangleq
     \land ReadyToServe = 0
     \land \exists s \in Primary :
          \land CurrentTerm' = [CurrentTerm \ EXCEPT \ ![s] = CurrentTerm[s] + 1]
          \land ReadyToServe' = ReadyToServe + 1
     \land UNCHANGED \langle Primary, Secondary, Oplog, Store, Ct, Ot,
                           ServerMsg, Pt, Cp,
                           State, CalState, SyncSource \rangle
Stepdown \triangleq
                \land ReadyToServe > 0
                \land \exists s \in Primary :
                     \land Primary' = Primary \setminus \{s\}
                     \land Secondary' = Secondary \cup \{s\}
                \land UNCHANGED \langle Oplog, Store, Ct, Ot, ServerMsg,
                                      Pt, Cp, State, CalState, CurrentTerm,
                                       ReadyToServe, SyncSource
 There are majority nodes agree to elect node i to become primary
ElectPrimary \triangleq
     \land ReadyToServe > 0
     \land \exists i \in Server : \exists majorNodes \in SUBSET (Server) :
          \land \forall j \in majorNodes : \land NotBehind(i, j)
                                       \land CurrentTerm[i] \ge CurrentTerm[j]
```

```
\land IsMajority(majorNodes)
        voted nodes for i cannot be primary anymore
         \land Primary' = \text{LET } possiblePrimary \triangleq Primary \land majorNodes
                         IN possiblePrimary \cup \{i\}
        add voted nodes into secondaries
         \land Secondary' = LET \ possibleSecondary \stackrel{\triangle}{=} Secondary \cup majorNodes
                           IN possibleSecondary \setminus \{i\}
         \land CurrentTerm' = [index \in Server \mapsto IF \ index \in (majorNodes \cup \{i\})]
                                                      THEN CurrentTerm[i] + 1
                                                      ELSE CurrentTerm[index]
         ∧ UNCHANGED ⟨Oplog, Store, Ct, Ot, ServerMsg, Pt, Cp, State, CalState,
                            CurrentTerm, ReadyToServe, SyncSource
AdvanceCp \triangleq
    \land ReadyToServe > 0
    \land Cp' = [Cp \ \text{EXCEPT} \ ![Primary] = CalState[Cardinality(Server) \div 2 + 1]]
    \land UNCHANGED \langle Primary, Secondary, Oplog, Store, Ct, Ot,
                       ServerMsg, Pt, CalState,
                       State, CurrentTerm, ReadyToServe, SyncSource \rangle
 heartbeatoplogOtstore
ServerTakeHeartbeat \triangleq
    \land ReadyToServe > 0
    \land \exists s \in Server :
         \wedge Len(ServerMsg[s]) \neq 0 message channel is not empty
         \land ServerMsg[s].type = "heartbeat"
         \land Ct' = [Ct \ \text{EXCEPT} \ ![s] = HLCMax(Ct[s], ServerMsg[s][1].ct)]
         \wedge State' =
            LET SubHbState \triangleq State[s]
                 hb \stackrel{\triangle}{=} [SubHbState \ \text{EXCEPT} \ ![ServerMsg[s][1].s] =
                          ServerMsg[s][1].aot]
                [State except ![s] = hb]
         \land CalState' = \text{LET } newcal \stackrel{\triangle}{=}
                               IF s \in Primary primary node: update CalState
                                    THEN AdvanceState(ServerMsq[s][1].aot,
                                                              State[s][ServerMsg[s][1].s], CalState)
                                ELSE CalState
                         IN newcal
         \wedge Cp' = \text{LET } newcp \stackrel{\triangle}{=}
                    primary node: compute new mcp
                      IF s \in Primary THEN CalState'[Cardinality(Server) \div 2 + 1]
                    secondary node: update mcp
                       ELSE IF \neg HLCLt(ServerMsg[s][1].cp, Cp[s])
                                  \land \neg HLCLt(Ot[s], ServerMsg[s][1].cp)
                           THEN ServerMsg[s][1].cp
```

```
ELSE Cp[s]
                        [Cp \ \text{EXCEPT} \ ![s] = newcp]
                   IN
        \land ServerMsg' = [ServerMsg \ EXCEPT \ ![s] = Tail(@)]
        \land CurrentTerm' = [CurrentTerm \ EXCEPT \ ![s] = Max(CurrentTerm[s], ServerMsg[s][1].term)]
     \land UNCHANGED \langle Primary, Secondary, Oplog, Store, Ot, Pt,
                        ReadyToServe, SyncSource
ServerTakeUpdatePosition \stackrel{\Delta}{=}
     \land ReadyToServe > 0
     \land \exists s \in Server :
         \wedge Len(ServerMsg[s]) \neq 0 message channel is not empty
         \land ServerMsg[s].type = "update_position"
         \land Ct' = [Ct \text{ EXCEPT } ![s] = HLCMax(Ct[s], ServerMsq[s][1].ct)] update ct accordingly
         \wedge State' =
            Let SubHbState \triangleq State[s]
                  hb \stackrel{\triangle}{=} [SubHbState \ \text{EXCEPT} \ ![ServerMsg[s][1].s] =
                           ServerMsg[s][1].aot]
            IN [State \ EXCEPT \ ![s] = hb]
         \land CalState' = \text{LET } newcal \stackrel{\triangle}{=}
                          IF s \in Primary primary node: update CalState
                           THEN AdvanceState(ServerMsg[s][1].aot,
                                               State[s][ServerMsg[s][1].s], CalState)
                           ELSE CalStateIN
         \wedge Cp' = \text{LET } newcp \triangleq
                    primary node: compute new mcp
                   IF s \in Primary THEN CalState'[Cardinality(Server) \div 2 + 1]
                     secondary node: update mcp
                    ELSE IF \neg HLCLt(ServerMsg[s][1].cp, Cp[s])
                            \land \neg HLCLt(Ot[s], ServerMsg[s][1].cp)
                    THEN ServerMsg[s][1].cp
                    ELSE Cp[s]
                   IN [Cp \text{ EXCEPT } ![s] = newcp]
        \land ServerMsg' = \text{Let } newServerMsg \stackrel{\triangle}{=} [ServerMsg \text{ except } ![s] = Tail(@)]
                                 appendMsg \triangleq [type \mapsto \text{``update\_position''}, s \mapsto ServerMsg[s][1].s, aot \mapsto ServerMsg[s][1].s
                                                    ct \mapsto ServerMsg[s][1].ct, cp \mapsto ServerMsg[s][1].cp, term \mapsto ServerMsg[s][1].cp
                                 newMsq \stackrel{\triangle}{=} \text{IF } s \in Primary
                                                THEN newServerMsg If s is primary, accept the msg, else forward it to its sy
                                                 ELSE [newServerMsg \ EXCEPT \ ![SyncSource[s]] = Append(newServer)]
                           IN newMsg
        \land CurrentTerm' = [CurrentTerm \ EXCEPT \ ![s] = Max(CurrentTerm[s], ServerMsg[s][1].term)]
     \land UNCHANGED \langle Primary, Secondary, Oplog, Store, Ot,
                        Pt, ReadyToServe, SyncSource
NTPSync \stackrel{\Delta}{=}  simplify NTP protocal
```

 $\land ReadyToServe > 0$

```
\land Pt' = [s \in Server \mapsto MaxPt]
    \land UNCHANGED \langle Primary, Secondary, Oplog, Store, Ct, Ot,
                        ServerMsg, Cp,
                         CalState, State, CurrentTerm, ReadyToServe, SyncSource
AdvancePt \triangleq
    \land ReadyToServe > 0
    \land \exists s \in Server :
          \land s \in Primary
                                                    for simplicity
           \land Pt[s] \leq PtStop
           \wedge Pt' = [Pt \text{ EXCEPT } ![s] = @+1] advance physical time
           \land BroadcastHeartbeat(s)
                                                     broadcast heartbeat periodly
    \land UNCHANGED \langle Primary, Secondary, Oplog, Store, Ct, Ot, State,
                         Cp, CalState, CurrentTerm, ReadyToServe, SyncSource
 Replicate oplog from node j to node i, and update related structures accordingly
 Replicate \triangleq
    \land ReadyToServe > 0
    \land \exists i, j \in Server :
         \land CanSyncFrom(i, j) i can sync from j only need not to rollback
         \land i \in Secondary
         \land ReplicateOplog(i, j) \neq \langle \rangle
         \land Oplog' = [Oplog \ EXCEPT \ ![i] = @ \circ ReplicateOplog(i, j)]
         \land Store' = [Store \ EXCEPT \ ![i] = Store[j]]
         \wedge Ct' = [Ct \text{ EXCEPT } ![i] = HLCMax(Ct[i], Ct[j])] update Ct[i]
         \land Ot' = [Ot \ \text{EXCEPT} \ ![i] = HLCMax(Ot[i], \ Ot[j])] update Ot[i]
         \land Cp' = [Cp \text{ EXCEPT } ![i] = HLCMax(Cp[i], Cp[j])] \text{ update } Cp[i]
         \land CurrentTerm' = [CurrentTerm \ EXCEPT \ ![i] = Max(CurrentTerm[i], CurrentTerm[j])] update CurrentTerm
         \wedge State' =
                 LET SubHbState \triangleq State[i]
                       hb \stackrel{\triangle}{=} [SubHbState \ \text{EXCEPT} \ ![j] = Ot[j]]
                      [State EXCEPT ![i] = hb] update j's state i knows
         \land LET msg \stackrel{\triangle}{=} [type \mapsto \text{``update\_position''}, s \mapsto i, aot \mapsto Ot'[i], ct \mapsto Ct'[i], cp \mapsto Cp'[i], term \mapsto Curr
           IN ServerMsg' = [ServerMsg \ Except \ ![j] = Append(ServerMsg[j], msg)]
         \land SyncSource' = [SyncSource \ EXCEPT \ ![i] = j]
         \land UNCHANGED \langle Primary, Secondary, Pt, CalState,
                     ReadyToServe
 Rollback i's oplog and recover it to j's state
 Recover to j's state immediately to prevent internal client request
RollbackAndRecover \triangleq
    \land ReadyToServe > 0
    \land \exists i, j \in Server :
         \land i \in Secondary
```

 $\wedge \text{ LET } cmp \stackrel{\triangle}{=} RollbackCommonPoint(i, j) \text{ IN}$

 $\wedge CanRollback(i, j)$

```
 \begin{array}{cccc} \mathtt{LET} \ commonLog \ \stackrel{\triangle}{=} \ SubSeq(Oplog[i], \ 1, \ cmp) \\ appendLog \ \stackrel{\triangle}{=} \ SubSeq(Oplog[j], \ cmp + 1, \ Len(Oplog[j])) \end{array} 
                  Oplog' = [Oplog \ EXCEPT \ ![i] = commonLog \circ appendLog]
          \land CurrentTerm' = [CurrentTerm \ EXCEPT \ ![i] = Max(CurrentTerm[i], CurrentTerm[j])] update CurrentTerm
          \land Store' = [Store \ EXCEPT \ ![i] = Store[j]]
          \land Ct' = [Ct \text{ EXCEPT } ![i] = HLCMax(Ct[i], Ct[j])] update Ct[i]
          \land Ot' = [Ot \ \text{EXCEPT} \ ![i] = HLCMax(Ot[i], Ot[j])] update Ot[i]
          \wedge Cp' = [Cp \text{ EXCEPT } ![i] = HLCMax(Cp[i], Cp[j])] \text{ update } Cp[i]
          \land State' = \text{LET } SubHbState \stackrel{\triangle}{=} State[i]
                              hb \stackrel{\triangle}{=} [SubHbState \ \text{EXCEPT} \ ![j] = Ot[j]]
                             [State EXCEPT ![i] = hb] update j's state i knows
          \land LET msg \stackrel{\Delta}{=} [type \mapsto \text{``update\_position''}, s \mapsto i, aot \mapsto Ot'[i], ct \mapsto Ct'[i], cp \mapsto Cp'[i]]
            IN ServerMsg' = [ServerMsg \ Except \ ![j] = Append(ServerMsg[j], \ msg)]
          \land SyncSource' = [SyncSource \ EXCEPT \ ![i] = j]
          ∧ UNCHANGED ⟨Primary, Secondary, Pt, CalState,
                      ReadyToServe
ClientRequest \triangleq
     \land ReadyToServe > 0
     \land \exists s \in Server, k \in Key, v \in Value :
         \land s \in Primary
          \wedge Tick(s)
          \wedge Ot' = [Ot \text{ EXCEPT } ![s] = Ct'[s]]
          \land Store' = [Store \ EXCEPT \ ![s][k] = v]
          \land Oplog' = \text{LET } entry \stackrel{\Delta}{=} [k \mapsto k, v \mapsto v, ot \mapsto Ot'[s], term \mapsto CurrentTerm[s]]
                                newLog \stackrel{\triangle}{=} Append(Oplog[s], entry)
                        IN
                                [Oplog \ EXCEPT \ ![s] = newLog]
          \land State' = \text{LET } SubHbState \stackrel{\triangle}{=} State[s]
                               hb \stackrel{\Delta}{=} [SubHbState \ \text{EXCEPT} \ ![s] = Ot'[s]]
                         IN [State \ EXCEPT \ ![s] = hb]
          \land CalState' = AdvanceState(Ot'[s], Ot[s], CalState)
          \land UNCHANGED \langle Primary, Secondary, ServerMsg,
                               Pt, Cp,
                               CurrentTerm, ReadyToServe, SyncSource
 Next state for all configurations
Next \triangleq \lor Replicate
            \lor AdvancePt
            \vee ServerTakeHeartbeat
            \lor ServerTakeUpdatePosition
            \vee Stepdown
            \lor RollbackAndRecover
            \vee TurnOnReadyToServe
            \vee ElectPrimary
            \lor ClientRequest
```

$\vee NTPSync$

 $Spec \stackrel{\Delta}{=} Init \wedge \Box [Next]_{vars}$

```
Properties to check?
```

```
\begin{split} IsLogPrefix(i,j) &\triangleq \\ &\wedge Len(Oplog[i]) \leq Len(Oplog[j]) \\ &\wedge Oplog[i] = SubSeq(Oplog[j], 1, Len(Oplog[i])) \end{split} If two logs have the same last log entry term, then one is a
```

If two logs have the same last log entry term, then one is a prefix of the other (from Will) $LastTermsEquivalentImplyPrefixes \ \stackrel{\triangle}{=}$

```
 \begin{array}{l} \forall \, i, \, j \in \mathit{Server} : \\ \mathit{LogTerm}(i, \, \mathit{Len}(\mathit{Oplog}[i])) = \mathit{LogTerm}(j, \, \mathit{Len}(\mathit{Oplog}[j])) \Rightarrow \\ \mathit{IsLogPrefix}(i, \, j) \vee \mathit{IsLogPrefix}(j, \, i) \end{array}
```

 $TermsMonotonic \; \stackrel{\triangle}{=} \;$

 $\square[\forall\,s\in\mathit{Server}:\mathit{CurrentTerm}'[s]\geq\mathit{CurrentTerm}[s]]_{\mathit{vars}}$

- \ * Last modified Tue Apr 19 22:17:02 CST 2022 by dh
- \ * Created Mon Apr 18 11:38:53 CST 2022 by dh