DiemBFT Documentation and Test Report

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Test case Template

The following is the test case template used for all the test cases. In the figure shown above, descriptions of all fields are provided.

Generating Test cases

The test cases are generated using the testdiem.da file. The following code fetches the appropriate replica object.

```
def getReplicafromConfiguration(scenario):
    if scenario == "omission":
     return new(diem_replica_omission.Replica_Omission), self.specialArguments
    elif scenario == "normal":
     return new(diem_replica.Replica), {}
    elif scenario == "forge_signature":
     return new(diem_replica_forge.Replica), self.specialArguments
    elif scenario == "delay":
     return new(diem_replica_delay.Replica_Delay), self.specialArguments
def run:
   replica, special = self.getReplicafromConfiguration(self.scenario)
   specialArgs[i] = special
   replicas.append(replica)
 while i < replicas_required:</pre>
    replica, special = self.getReplicafromConfiguration("normal")
    specialArgs[i] = special
    replicas.append(replica)
```

The test cases are generated using the testdiem.da file. The following code fetches the appropriate replica object. The run method uses getReplicaConfiguration to use the appropriate replica based on the scenario specified. It can run multiple test cases one after another if the at-line position 202 in the code return value is an array.

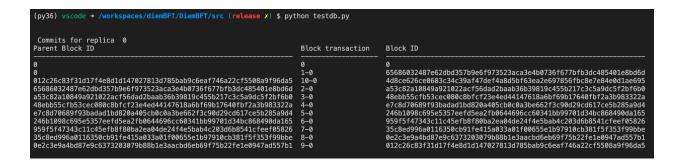
The non-faulty replicas which are equivalent to 2*f + 1 are invoked using the normal scenario.

Logging files and Ledger Info

The logging file is generated based on the file specified during the command. using the command specified in the readme will generate a log in out.log file.

The ledger is stored on a flat file in the /tmp directory corresponding to diemLedger_*. (Here * corresponds to the replica/validator ID).

To obtain the ledger after the test run. You can run the `testdb.py` file. The following is a sample output:



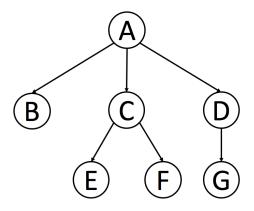
Note: After running the script, it clears the ledger. Also, the Block transaction is a string that is sorted. So although 10-0 appears first it s the last block getting committed. This can be verified by looking at the parent block ID.

Implementation

(This section is just to provide a detailed explanation about our design decisions and reasoning. For actual pseudo-codes refer to the pseudo-code document).

Pending Block Tree

The pending block tree is essentially a <u>trie</u>-like / n-ary tree data structure with the ability to perform pruning.



In the figure shown above A, B, C, etc are essentially block-ids. Each node contains a dictionary/map for its children. For example, A will contain B, C, D as its children, likewise C will contain E, F and D will contain G.

For making the lookup / adding / pruning transactions quick we have used a <u>cache</u> on top of this. The cache has a pointer to the reference in the tree.

The following is the pseudo-code for adding a transaction into the tree.

```
def add(prev_node_id, block):
    node = self.get_node(prev_node_id)
    if node == null:
        node = root

    node.childNodes[block.id]=Node(prev_node_id,block)
    cache[block.id]=node.childNodes[block.id]
```

The following is the pseudo-code for pruning a node

```
def prune(self,id):
    curr_node = self.get_node(id)

if curr_node == null:
    return
    self.root = curr_node
    self.cache_cleanup(id)

def cache_cleanup(id):
    cache = {}
    prune_helper(root)

def prune_helper(node):
    if node is None:
        return

    cache[node.block.id]=node

for block_id in node.childNodes.keys():
        cache[block_id] = node.childNodes[block_id]
        prune_helper(node.childNodes[block_id])
```

MemPool

The mempool uses a queue for holding the incoming transactions. It also uses a set as a cache for committed blocks, such that in case a command gets re-transmitted for a committed block.

```
class MemPool:
    def init:
        queue = deque([])
        self.commited_blocks = set()
```

```
def get_transactions():
    # currently only sends one transaction
    if queue has transaction:
        command = queue.pop()
        return command
    else:
        return EmptyRequest()
```

Pseudo-code for inserting a command

```
def insert_command(self, command):
    if command not in committed_blocks and command not in queue:
        queue.append(command)
```

Persistent Ledger

For ledger persistent, each replica is storing its ledger in a flat-file inside the temp directory. The API used for storing and retrieving blocks is using <u>LevelDB</u>. For storage, we are using block id as the key and block as the value.

While writing we make use of the sync flag which ensures flush happens before execution is returned back to the validator.

Only the committed blocks are stored inside the persistent ledger.

Speculative Ledger

The speculative ledger is similar to the persistent ledger. The only difference is that it stores the pending blocks as well. Thus in some way, it becomes storage of block to the block ids in the pending block tree.

Instead of keeping the speculative ledger in memory, we are using a flat file similar to a persistent ledger. This ensures the process does <u>not run out of memory</u>.

Initiation of Diem Process and chain processing

The initiation happens with round -1. Leader election chooses replica 0 as the first leader just for this round and advances_round_qc. Afterwhich block 1 is proposed and a new QC gets generated after receiving required vote messages. After generating a new QC, replica 0 again makes a proposal, and the next leader, replica 1 waits for vote messages.

The reason why we use current_round as -1 as opposed to round 0 as mentioned in the paper is to start with an even length cycle. If we start with 0, the vote messages for the proposal will be sent to replica 1 which is the next leader. (round 0 -> advance round to 1 -> broadcast proposal message -> send vote to next leader (current round 1 + 1) / 2 which will be replica 1).

Genesis Block

The genesis block is the very first block in the ledger. It contains 0 as its block ID and references parent ID as itself. It is portrayed as being formed at round -1, likewise, its parent round is portrayed as -1 as well.

Similar to the genesis block, genesis QC is formed as well. Which contains no votes as signatures but has been authored as 0.

<u>During leader election</u>, there are conditions in place such that the genesis block or genesis QC is not used for electing reputation leaders.

Client Request

The client request object holds the transaction as payload as well as the signature of the payload.

When the transaction is processed the client can request a replica to provide the committed block from the ledger and then use the payload to verify the signature with the original payload.

```
class ClientRequest:
    def init(payload, source, pvt_key):
        payload = payload
        source = source
        signature = sign(payload, pvt_key)
```

Replica Info

The replica info object is used to provide the metadata about a replica to other replicas/clients. It contains the public key of the replica, the process ID used to send messages, and its replica ID.

```
class ReplicaInfo:
    def init(process, public_key, replicaID):
        process = process
        public_key = public_key
        replicaID = replicaID
```

Chain Termination

Diem follows a 2-chain protocol where the Block proposed at round N will be committed at round N + 2 at all replicas. In order to ensure the termination of all transactions sent by the client, we make use of 2 additional empty blocks. These dummy (empty) blocks serve as placeholders so that whatever client transaction has been sent gets committed. The only flaw with this approach is that the first dummy block will get committed at any one of the replicas. As QC for dummy block, 2 gets formed but not propagated as there are no further transactions in mempool.

As these dummy blocks are empty their presence <u>has no impact on the state of the blockchain</u>. For example: In a monetary blockchain, these blocks can be replaced with 0 value denominations. So a transaction like that will have no effect on the final state.

<u>Another way</u> of providing this functionality is to generate blocks whenever get_transactions is called. (This is the way the real-world Blockchain system maintains liveness). Another way is to generate the blocks and see if the last two generated blocks are dummy or empty blocks and terminate based on that behaviour.

In case no transactions are available for processing, the replicas go into an await where they wait for a transaction to appear to continue processing again. Round numbers will get incremented. This can be further optimized by not setting a timer for a round when the mempool is empty.

Test Case Report

All configuration files are in testdiem.da. Logging is common as specified by the run command. Check test setup section above for more details.

Normal Execution Flow

The format is as defined in the test template above. This case does not have any byzantine behavior. The log file is as defined in the test setup above.

The expected output is all 10 transactions to be executed and committed into the ledger. The resulting ledger state should look similar to the image below.

Normal Replicas with multiple clients

```
'Name' : "Normal Replicas with multiple clients",
'faultyReplicas': 1,
'timeoutDelta' : 2500,
'clients' : 2,
'requests' : 10,
'clientTimeout' : 5,
'testcase' : {
   "type" : "normal",
   "specialArguments": {}
}
},
```

This is similar to normal execution flow, instead, here there are two clients which are provided.

Client requests timeout, re-submission, and handling request de-duplication

```
'Name' : "Client small timeout with request resubmission and handling de-deuplication",
    'faultyReplicas': 1,
    'timeoutDelta' : 2500,
    'clients' : 1,
    'requests' : 10,
    'clientTimeout' : 0.5,
    'testcase' : {
        "type" : "normal",
        "specialArguments": {}
    }
},
```

In this test case we set the client timeout to be very low i.e 500ms due to which, the client keeps resending the request on timeout. On receiving a duplicate client request the replicas should handle them and only commit the unique ones.

Omission Failure

In the following test case the faulty replicas cause omission failures but not providing a Vote Message. This indicates the tolerance of DiemBFT to delays in the network.

Forge Signature

In the following test case, the faulty validator tries to forge the QC signature. Which causes a timeout and later leads the chain to recover.

```
'Name' : "Forge signature",
'faultyReplicas': 1,
'timeoutDelta' : 500,
'clients' : 1,
'requests' : 5,
'clientTimeout' : 2,
'testcase' : {
   "type" : "forge_signature",
   "specialArguments": {}
},
},
```

All ledger entries will be committed. As shown in the above images.

Delay Failures

In delay failure, we simulate network delay using a random seed to timeout a message which is to be sent.

All ledger entries will be committed as shown in the above images.

Commits for replica 3 Parent Block ID	Block transaction	Block ID
0	0	0
0	1-0	0fa117445d4ff1b614ab028fa9b67b14d8b9f8d442b357baeb0463f04cd19d5e
0fa117445d4ff1b614ab028fa9b67b14d8b9f8d442b357baeb0463f04cd19d5e	2-0	583bf3d086a31fbd6c7a405b9c4ad3a7f9322b2e87a54abbf2a904488eadbcae
583bf3d086a31fbd6c7a405b9c4ad3a7f9322b2e87a54abbf2a904488eadbcae	3-0	5593e8a830836324b6059401fc1bb200a79c925b78ca26644902cdafd349cc89
5593e8a830836324b6059401fc1bb200a79c925b78ca26644902cdafd349cc89	4-0	a1f3bd3c807149792b36c4cabbdee36f9db64175db44635863f02e9184a47880
a1f3bd3c807149792b36c4cabbdee36f9db64175db44635863f02e9184a47880	5-0	3db653b9ecc15731cb5e935abb360a6f3e4153dc4bf94a8d7b63cf447bd769ba

Test Cases provided by the Professor

Proposal Drop

In the third round, proposal messages to validators 1 and 2 are dropped from the leader

```
"Name" : "Proposal Messages Dropped at validators 1 and 2",
    "faultyReplicas": 1,#2 Please change in File diem_replica_proposalDrop.da line 153
    "timeoutDelta" : 25000,
    "clients" : 1,
    "requests" : 5,
    "clientTimeout" : 5,
    "testcase" : {
        "type" : "ProposalDrop",
        "specialArguments": {
        "faultyRound" : 2
      }
    }
}
```

Proposal Delay

In the third round, proposal messages from the leader to the validators 1, 2, and 5 are delayed

```
"Name" : "Proposal Messages Delayed at validators 1 and 2 and 5",
    "faultyReplicas": 2,
    "timeoutDelta" : 2500,
    "clients" : 1,
    "requests" : 5,
    "clientTimeout" : 5,
    "testcase" : {
        "type" : "ProposalDelay",
        "specialArguments": {
            "randomSeed" : 50,
            "faultyRound" : 2
        }
    }
}
```

Proposal Drop + Timeout Delay

in the third round, all proposal messages are dropped, and all timeout messages are delayed. The ledger entries will contain all 5 requests.

```
"Name" : "Proposal Drop and Timeout Delay in round 3",
    "faultyReplicas": 2,
    "timeoutDelta" : 2500,
    "clients" : 1,
    "requests" : 5,
    "clientTimeout": 5,
    "testcase" : {
        "type" : "ProposalDropTimeoutDelay",
        "specialArguments": {
            "randomSeed" : 50,
            "faultyRound" : 2
            }
        }
    }
}
```

Vote Drop

In the third round, vote messages from validators 3 and 4 are dropped or delayed. All requests get committed.

```
"Name" : "Vote Message drop for round 3",
    "faultyReplicas": 2,
    "timeoutDelta" : 2500,
    "clients" : 1,
    "requests" : 5,
    "clientTimeout" : 5,
    "testcase" : {
        "type" : "VoteDrop",
        "specialArguments": {
            "randomSeed" : 50,
            "faultyRound" : 2
        }
    }
}
```

SetAttr Failure

In round 1, a SetAttr failure with src=3, dest='_', type= MsgType.Vote, val=4, attr='current_round'. In other words, when validator 3 sends its vote in round 1, it sets Pacemaker.current_round to 4.

```
#10

"Name" : "SetAttrFailure",
    "faultyReplicas": 2,
    "timeoutDelta" : 2500,
    "clients" : 1,
    "requests" : 5,
    "clientTimeout" : 5,
    "testcase" : {
        "type" : "SetAttrFailure",
        "specialArguments": {
            "randomSeed" : 50,
        "faultyCurrentRound" : 4
        }
    }
}
```