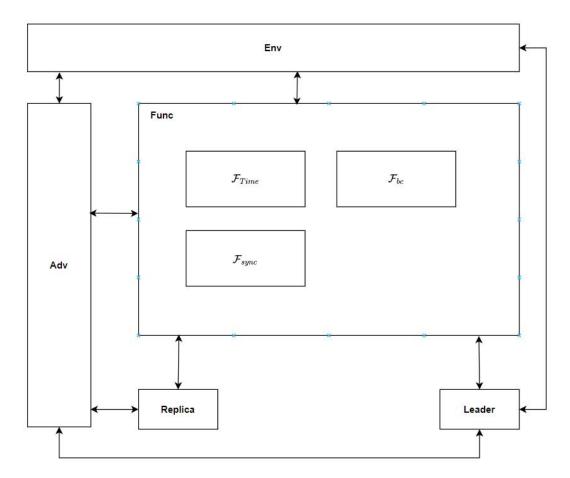
# Hotstuff 建模进度

# 摘要:

这篇文档是关于 Hotstuff 共识协议的 v5 建模进度报告。对框架图进行了修改,引入了新的理想功能  $F_{\text{sync}}$  保证节点同步,同时对  $F_{\text{hotstuff}}$  进行了修改,引入了同步机制,保证所有节点可以同步进入同一视图。

# 一、整体框架图:



# 二、功能描述

# 1. F\_{Proposal}

初始化:设置 Proposal ≔ ⊥。

- 当收到消息n-f NEW VIEW messages:  $\{m_1, m_2, ..., m_{n-f}\}$ 时,
  - 选取这些消息中最高的 prepareQC 最为 highQC:

    Determine highQC = max(QC<sub>i</sub>|∀m<sub>i</sub>, QC<sub>i</sub>. viewNumber)

● 在 highQC 的节点的叶子上写入客户指令,提出新的提案 B: create proposal B = Leaf (highQC. node, command) -将提案 B、highQC 封装在 MSG 中广播给 replica:

### 2. F\_{Vote}

初始化:设置 VOTEMSG ≔ ⊥。

- 当收到来自 $\mathcal{F}_{Proposal}$ 的消息MSG(PREPARE, CurProposal, highQC)时,
  - 先检查 m 是否与自己状态匹配:

MATCHINGMSG(m, PREPARE, curView)

● 检查叶子节点是否是本地 lockedQC 对应节点后继以及 QC 是否比本地 lockedQC 对应节点的视图更高:

if m.node extends from  $m.justify.node \cap SAFENODE(m.node, <math>m.justify)$ 

● 在 highQC 的节点的叶子上写入客户指令,提出新的提案 B:

 $create\ proposal\ B = Leaf(highQC.\ node, command)$ 

-将投票信息结点 m、自己的部分签名封装在 VOTEMSG 中发送给 leader。

- -当收到来自 $\mathcal{F}_{oc}$ 的消息 $MSG(type, \perp, QC)$ 时,
  - 先检查 QC 是否与自己状态匹配:

MATCHHINGQC(m. justify, type, curView)

● 如果决定投票且 type 是 PREPARE 阶段, 更新本地状态:

 $prepareQC \leftarrow m.justify$ 

● 如果决定投票且 type 是 PRE-COMMIT 阶段, 更新本地状态:

 $lockedQC \leftarrow m.justify$ 

-将投票信息 m.justify.node、自己的部分签名封装在 VOTEMSG 中发送给 leader:

## 3. F\_{QC}

初始化:设置 $QC := \bot$ 。

- -当收到 2f+1 条投票消息VOTEMSG(type, m. justiy. node, ⊥)时:
  - 先检查 m 是否与自己状态匹配:

*MATCHINGMSG*(*m*, *type*, *curView*)

● 收集 replica 的投票,把部分签名组合:

 $qc.type \leftarrow m.type: m \in V$ 

 $qc.viewNumber \leftarrow m.viewNumber: m \in V$ 

 $qc.node \leftarrow m.node: m \in V$ 

 $qc.sig \leftarrow tcombine(qc.type, qc.viewNumber, qc.node, \{m.partialSig \mid m \in V\})$  -将 QC 封装在 MSG 中广播给 replica:

## 4. $F_{TIME}$

初始化:设置 $t_i \in T$ , $t_i := T0$ 。

- 当从任意 replica  $v_i \in V$ 接收到(timeStart, T)请求时,将 $t_i$ 更新为  $t_i \leftarrow T$ ,向 replica  $v_i$ 返回一个(timeOK)消息、然后开始倒计时。
- 当从某一个 $t_i \in T$ ,  $t_i = 0$  时,它会向对应的 replica  $v_i$ 发送一个(timeOver, 2T)消息。

## 5. F\_{Next\_view}

初始化: 设置 $viewNumber: = \bot$ ,  $prepareQC: = \bot$ .

- 当从任意 replica m 收到 next\_view 请求 MSG(⊥, m,prepareQC)时,将*viewNumber* 更新为*m. viewNumber*,将 prepareQC 更新为 m. justify。
- 将viewNumber、prepareQC封装在 NEW-VIEW message 中发送给下一视图的 leader。

# 三、协议描述

#### - Party Environment:

调用 $\mathcal{F}_{NextView}$ 更新轮次,根据轮次取模 GETLEADER()=curView%n 选取某个副本作为本轮的 leader。

#### - Party Leader:

**New\_view**: 新领导者从功能 $\mathcal{F}_{NextView}$ 收集来自(n - f)个副本的"new-view"消息。这些消息包含每个副本在上一轮的(prepareQC)。

**Proposal**: 领导者调用 $\mathcal{F}_{Proposal}$ 从这些 New\_view 消息中选择具有最高视图编号 prepareQC,(如果没有的话,为上)并基于此创建一个新的提案(Proposal)

**Broadcast MSG**: 领导者向所有副本广播这个提案,并附带其选择的最高 prepareQC 作为安全证明。

**QC**:领导者调用 $\mathcal{F}_{QC}$ ,对来自 replica 的部分签名进行组合生成 QC。并且将其广播给 replica。 – Party Replica:

**safeNode**: 在收到来自 Leader 的提议消息 m 后,它首先调用功能 $\mathcal{F}_{Vote}$ 检查提案消息 m,m 携带 QC 的正确性参数(justification)m.justify,检查后确定 m.node 是否可以安全接受。

**Prepare**: 根据收到的 Proposal 消息 m,调用 $\mathcal{F}_{Vote}$ (PREPARE, m. node,  $\bot$ ),将投票发送给 leader。

**Pre-commit**: 根据收到的 PrepareQC ,更新自身 PrepareQC ,调用 $\mathcal{F}_{Vote}$ (PREPARE, m. justify. node,  $\bot$ )。将投票发送给 leader。

**Commit**: 根 据 收 到 的 Pre-commitQC , 更 新 lockedQC , 调 用  $\mathcal{F}_{Vote}(\mathsf{COMMIT},\mathsf{m.justify.node},\bot)$ 。将投票发送给 leader。

#### Next\_view:

在所有阶段中,副本在视图 viewNumber 处等待消息的超时时间,超时时间由辅助的  $\mathcal{F}_{TIME}$ 确定。如果 nextView (viewNumber) 中断等待,副本调用 $\mathcal{F}_{NextView}$ ,增加 viewNumber 并开始下一个视图。

RoundOK: 副本将等待轮次更新,开始新的轮次。

相关数据结构:

Proposal	
1	type
2	curView
3	node
4	justify

	Vote
1	type
2	node
3	qc
4	partialSig

# 四、理想功能

Functionality 
$$\mathcal{F}_{hotstuff}^{R,\Delta}$$
 [  $\mathcal{F}_{time}$ ,  $\mathcal{F}_{bb}$ ,  $\mathcal{F}_{sync}$  ]

#### **Network Delay Attack**

#### **Parameters:**

- R: Replica Set
- Δ: the Maximum timeout duration
- $\Delta_{vnum}^i$ : the Maximum timeout duration of Replica  $r_i \in R$  within current view.
- $\mathcal{F}_{time}$ : Ideal functionality for timing.
- $\mathcal{F}_{bb}$ : Ideal functionality for broadcast.
- $\mathcal{F}_{sync}$ : Ideal functionality for synchronization.

#### **Symbol Explanation:**

*curView*<sub>i</sub>: the current Viewnumber of replica r<sub>i</sub>

*QC*: Quorum certificates which combines a collection of signatures for the same tuple signed by (n - f) replicas.

m: Message or VoteMessage

m. node: The node that proposed this proposal within curView

m. justify: The QC carried by this message

phase<sub>i</sub>  $\in$  {Prepare, PreCommit, Commit, Decide}: the phase of replica  $r_i$  within curView

 $\delta$ : actual execute time

Upon receiving message MSG⟨NEW – VIEW, ViewNumber⟩ from

Leader<sub>i</sub>:

- 1.  $curView_i := ViewNumber + 1$ .
- 2. If Leader $_i$  is corrupted:
- Send (Input, curView<sub>i</sub>, cmd) to S.
- 1. Send  $\langle Prepare, i, curView_i, sid \rangle$  to S wait for a response of the form  $\langle startPrepare, i, curView_i, sid \rangle$ :
  - Set phase<sub>i</sub> := Prepare which curView<sub>i</sub> = curView<sub>i</sub>.

#### Upon receiving message $MSG(NEW - VIEW, \bot, PrepareQC)$ from

## Replica r<sub>i</sub>:

- 1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):
  - $\circ$  If  $\delta > \Delta^j_{vnum}$ :
    - set  $\Delta_{vnum}^j := \Delta_{vnum}^j * 2$ , curView<sub>j</sub> := curView<sub>j</sub> + 1
    - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - else re-execute this step.
  - o else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
- 2. If  $MATCHINGMSG(m, NEW VIEW, curView_i 1) \cap step_i = Prepare:$ 
  - Set  $nums_i(NEW-VIEW) := nums_i(NEW-VIEW) + 1$ .
  - o If  $(\text{nums}_i(NEW VIEW) > 2f + 1)$ , Send (CreateProposal, i, sid) to S and wait for a response of the form (StartProposal, i, sid):
    - Create(Prepare, Curproposal, highQC).
    - If no(timeOver, sid) is received from F<sub>time</sub>:
      - send (Prepare, Curproposal, highQC) to  $\mathcal{F}_{bb}$ .
      - Set phase $_i = PreCommit$ .
    - Else:
      - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ .
      - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
      - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
      - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
        - o If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
        - o else re-execute this step.
- 3. Else, ignore this message.

## **Upon receiving message** *MSG*(Prepare, CurProposal, *highQC*) **from**

#### Leader<sub>i</sub>:

1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):

- $\circ \quad \text{If } \delta > \Delta^j_{vnum}$ :
  - set  $\Delta_{vnum}^j := \Delta_{vnum}^j * 2$ , curView<sub>i</sub> := curView<sub>i</sub> + 1
  - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
  - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
  - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
    - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
    - else re-execute this step.
- o else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
- 2. If  $MATCHINGMSG(m, Prepare, curView_i) \cap step_i = Prepare:$ 
  - o If SafeNode(m.node, m.justify)  $\cap$  m. node extends from m. justify. node and no  $\langle timeOver, sid \rangle$  has been received from  $\mathcal{F}_{time}$ :
    - Send (Prepare, m.node,  $\perp$ ) to Leader<sub>i</sub>.
    - Send  $\langle updatePreCommit, j, sid \rangle$  to S and wait for a response of the form  $\langle StartPreCommit, j, sid \rangle$ :
      - Set phase<sub>i</sub> = PreCommit.
  - o else:
    - set  $\Delta_{vnum}^j := \Delta_{vnum}^j * 2$ .
    - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - else re-execute this step.
- 3. Else, ignore this message.

### Upon receiving message $VOTEMSG\langle Prepare, m. node, \bot \rangle$ from

## Replica $r_i$ :

- 1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):
  - $\circ \quad \text{If } \delta > \Delta^i_{vnum}:$ 
    - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ , curView<sub>i</sub> := curView<sub>i</sub> + 1
    - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - else re-execute this step.
  - o else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
    - If  $MATCHINGMSG(m, Prepare, curView_i) \cap phase_i = PreCommit:$
    - Set  $nums_i(Prepare) := nums_i(Prepare) + 1$
    - If  $(nums_i(Prepare) > 2f + 1)$ :
    - Create(PreCommit, ⊥, PrepareQC).
    - If no(timeOver, sid) is received from  $\mathcal{F}_{time}$ :
      - send (PreCommit,  $\perp$  , PrepareQC)to  $\mathcal{F}_{bb}$ .

- Send (updateCommit, i, sid) to S and wait for a response of the form (StartCommit, j, sid):
  - $\circ$  Set phase<sub>i</sub> = Commit.
- Else:
  - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ .
  - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
  - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
  - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
    - o If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
    - o else re-execute this step.
- 2. Else, ignore this message.

### Upon receiving message $MSG(PreCommit, \bot, PrepareQC)$ from

### Leader<sub>i</sub>:

- 1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):
  - $\circ \quad \text{If } \delta > \Delta^j_{vnum}:$ 
    - set  $\Delta^{j}_{vnum} := \Delta^{j}_{vnum} * 2$ , curView<sub>j</sub> := curView<sub>j</sub> + 1.
    - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
  - o else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
- 2. If  $MATCHINGQC(m. justify, Prepare, curView_i) \cap phase_i = PreCommit:$ 
  - o If no  $\langle timeOver, sid \rangle$  has been received from  $\mathcal{F}_{time}$ :
    - Set PrepareQC←m.justify.
    - Send VOTEMSG(PreCommit,m.justify.node, $\perp$ ) to Leader<sub>i</sub>.
    - Send (updateCommit, j, sid) to S and wait for a response of the form (StartCommit, j, sid):
      - Set phase $_i$  = Commit.
  - o else:
    - set  $\Delta_{vnum}^j := \Delta_{vnum}^j * 2$ .
    - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - else re-execute this step.
- 3. Else, ignore this message.

## Upon receiving message $VOTEMSG(PreCommit, m. node, \bot)$ from

## Replica $r_j$ :

1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):

- $\circ$  If  $\delta > \Delta_{vnum}^i$ :
  - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ , curView<sub>i</sub> := curView<sub>i</sub> + 1
  - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
  - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
  - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
    - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
    - else re-execute this step.
- o else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
  - If  $MATCHINGMSG(m, PreCommit, curView_i) \cap phase_i = Commit:$
  - Set  $nums_i(PreCommit) := nums_i(PreCommit) + 1$
  - If  $(nums_i(PreCommit) > 2f + 1)$ :
  - Create(Commit, ⊥, PreCommitQC).
  - If no(timeOver, sid) is received from  $\mathcal{F}_{time}$ :
    - send (Commit,  $\perp$ , PreCommitQC)to  $\mathcal{F}_{bb}$ .
    - Send (updateDecide, i, sid) to S and wait for a response of the form (StartDecide, j, sid):
      - $\circ$  Set phase<sub>i</sub> = Decide.
  - Else:
    - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ .
    - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - o If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - o else re-execute this step.
- 2. Else, ignore this message.

## **Upon receiving message** $MSG\langle Commit, \bot, PreCommitQC \rangle$ from

#### Leader<sub>i</sub>:

- 1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):
  - $\circ$  If  $\delta > \Delta^j_{mnm}$ :
    - set  $\Delta^{j}_{vnum} := \Delta^{j}_{vnum} * 2$ , curView<sub>j</sub> := curView<sub>j</sub> + 1.
    - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
  - else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
- 2. If  $MATCHINGQC(m. justify, PreCommit, curView_i) \cap phase_i = Commit:$ 
  - o If no  $\langle \text{timeOver}, \text{sid} \rangle$  has been received from  $\mathcal{F}_{time}$ :
    - Set LockedQC←m.justify.
    - Send VOTEMSG(Commit, m. justify. node,  $\perp$ ) to Leader<sub>i</sub>.
    - Send (updateDecide, j, sid) to S and wait for a response of the form (StartDecide, j, sid):
      - Set phase $_i$  = Decide.
  - o else:

- set  $\Delta_{vnum}^j := \Delta_{vnum}^j * 2$ .
- send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
- Send (RoundOK) to  $\mathcal{F}_{sync}$ .
- Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
  - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
  - else re-execute this step.
- 3. Else, ignore this message.

### Upon receiving message $VOTEMSG(Commit, m. node, \bot)$ from

## Replica $r_i$ :

- 1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):
  - $\circ$  If  $\delta > \Delta_{vnum}^i$ :
    - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ , curView<sub>i</sub> := curView<sub>i</sub> + 1
    - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - else re-execute this step.
  - o else,Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
    - If  $MATCHINGMSG(m, Commit, curView_i) \cap phase_i = Decide$ :
    - Set  $nums_i(Commit) := nums_i(Commit) + 1$
    - If  $(nums_i(Commit) > 2f + 1)$ :
    - Create(Decide, ⊥, CommitQC).
    - If no(timeOver, sid) is received from  $\mathcal{F}_{time}$ :
      - send (Decide,  $\perp$  , CommitQC)to  $\mathcal{F}_{bb}$ .
      - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
      - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
      - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
        - o If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
        - o else re-execute this step.
    - Else:
      - set  $\Delta_{vnum}^i := \Delta_{vnum}^i * 2$ .
      - send(NEW VIEW, curView<sub>i</sub>, i) to S and Leader<sub>i</sub>.
      - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
      - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
        - o If  $d_i = 0$  ,set  $\text{curView}_i := \text{curView}_i + 1$  . set  $\text{phase}_i = \bot$ .
        - o else re-execute this step.
- 2. Else, ignore this message.

## Upon receiving message $MSG(Decide, \perp, CommitQC)$ from Leader<sub>i</sub>:

- 1. Send (Sleep, sid) to S and wait for a response of the form (Wake, sid,  $\delta$ ):
  - $\circ \quad \text{If } \delta > \Delta^j_{vnum}:$ 
    - set  $\Delta^{j}_{vnum} := \Delta^{j}_{vnum} * 2$ , curView<sub>j</sub> := curView<sub>j</sub> + 1.
    - send(NEW VIEW, curView<sub>i</sub>, j) to S and Leader<sub>i</sub>.
  - o else, Send (timeStart, sid,  $\delta$ ) to  $\mathcal{F}_{time}$ .
- 2. If  $MATCHINGQC(m. justify, Commit, curView_j) \cap phase_j = Decide:$ 
  - o If no (timeOver, sid) has been received from  $\mathcal{F}_{time}$ :
    - Execute new commands through m.justify.node
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ , set  $phase_j = \bot$ .
      - else re-execute this step.
  - else:

    - set  $\Delta^{j}_{vnum} := \Delta^{j}_{vnum} * 2$ . send(NEW VIEW, PrepareQC,  $curView_{j}$ , j) to S and  $Leader_{i}$ .
    - Send (RoundOK) to  $\mathcal{F}_{sync}$ .
    - Send (RequestRound) to  $\mathcal{F}_{sync}$ , receive its response  $d_i$ .
      - If  $d_i = 0$ , set  $curView_i := curView_i + 1$ .
      - else re-execute this step.
- 3. Else, ignore this message.