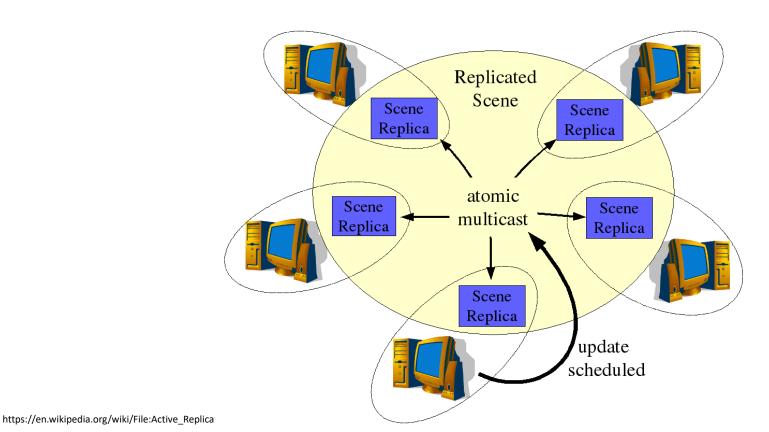
The Paxos Consensus Algorithm



Quick review

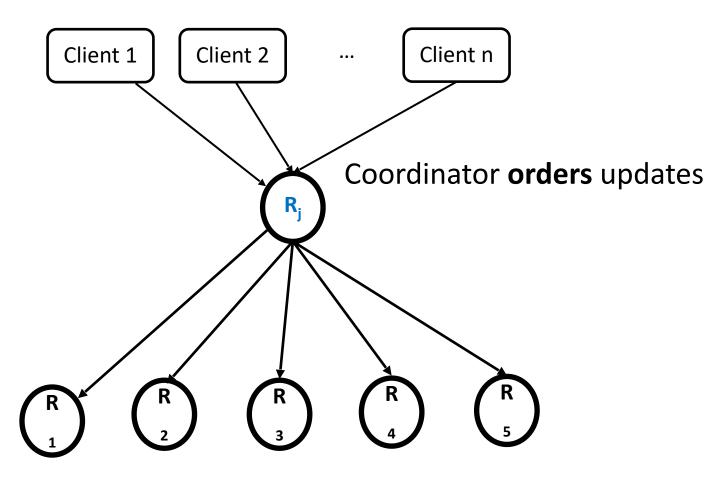
Algorithm name	Туре	DS and Failure Models
Centralized strategy	Mutual Exclusion	Asynchronous, only inactive nodes can crash , <u>reliable</u> <u>messages</u>
Token-based ring algorithm	Mutual Exclusion	Asynchronous, no nodes failures , <u>reliable messages</u>
Ricart & Agrawala	Mutual Exclusion	Asynchronous, no nodes failures , <u>reliable messages</u>
Changs & Roberts (Ring-based)	Leader Election	Asynchronous, no failures during election , <u>reliable</u> <u>messages</u>
Bully algorithm	Leader Election	Synchronous, process failures, <u>reliable messages</u>
Dolev-Strong algorithm	Consensus (a.k.a. agreement)	Synchronous, <i>f</i> failures with f+1 rounds, <u>reliable</u> messages

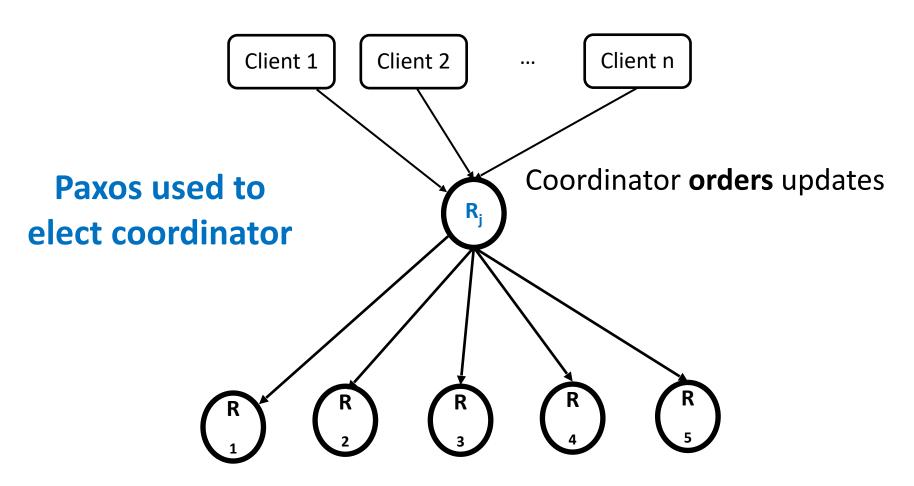
Consensus problems

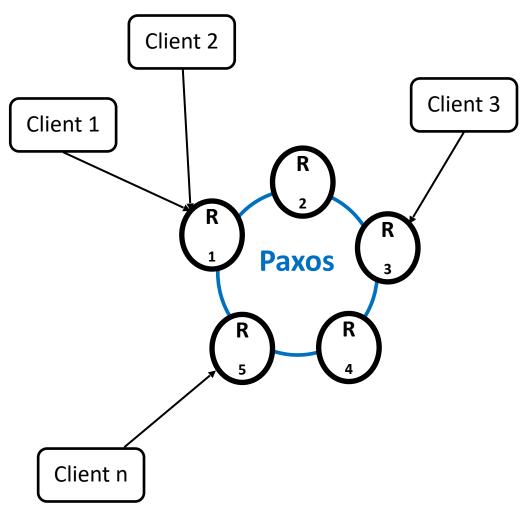
- Desire all nodes to agree on a value after one or more node proposed a value
- Also known as problems of agreement
- Challenges
 - Reach consensus, even in the presence of node failures and unreliable networking

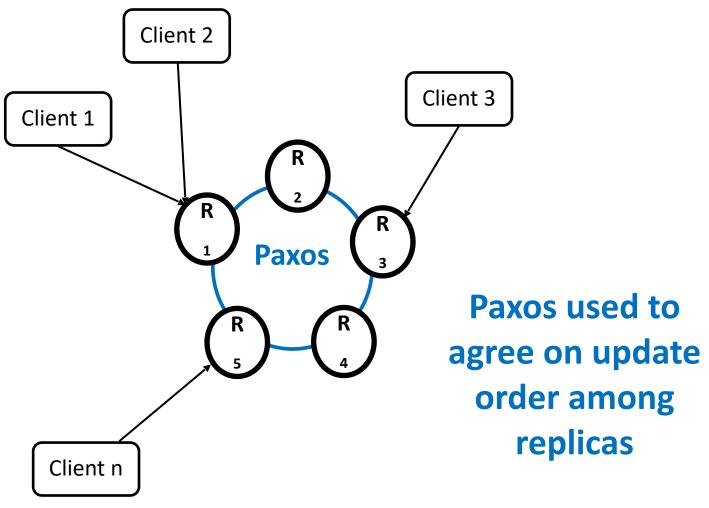
Consensus problem examples

- Two armies agree consistently to attack or to retreat (thought experiment)
- Mutual exclusion: Processes agree on who can enter CS
- Leader election: Processes agree on who is elected
- Replicated state machines agree on commands to execute
- Multi-primary replication agree on order of updates at replicas
- Totally ordered multicast: Processes agree on the order of messages delivered
- ATM and bank's servers agree what should happen to bank account balance when withdrawing money
- Transaction managers agree to commit or abort (e.g., two-phase commit)
- Flight computers agree to "abort" (reboot) or "proceed"
- Reactor safety systems **agree** on position of control rods







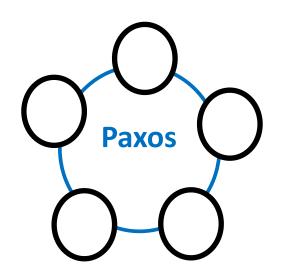


Coordination services

(Paxos inside)

Highly-available and persistent, a.k.a. distributed lock service

Chubby / ZooKeeper*

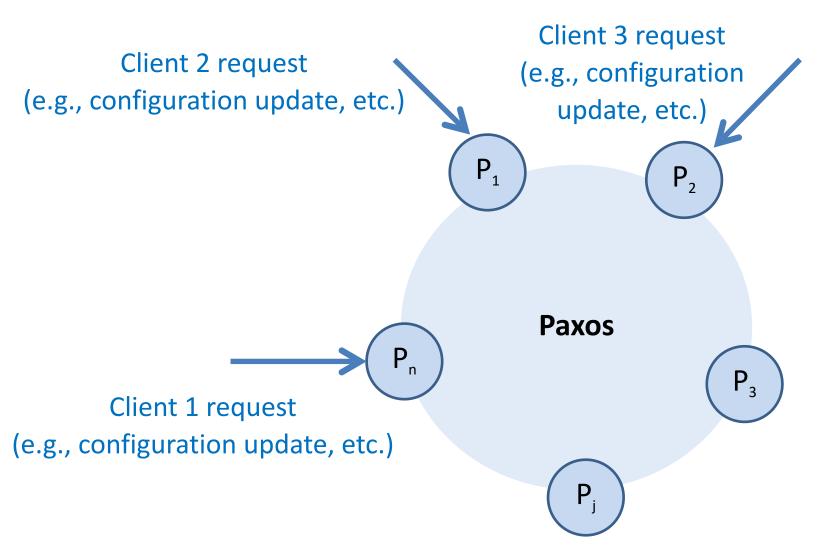


Use in Bigtable/HBase

- Ensure at most one active
 Bigtable master at any time
- Store bootstrap location of data (root tablet)
- Discover tablet servers (manage their lifetime)
- Store configuration information

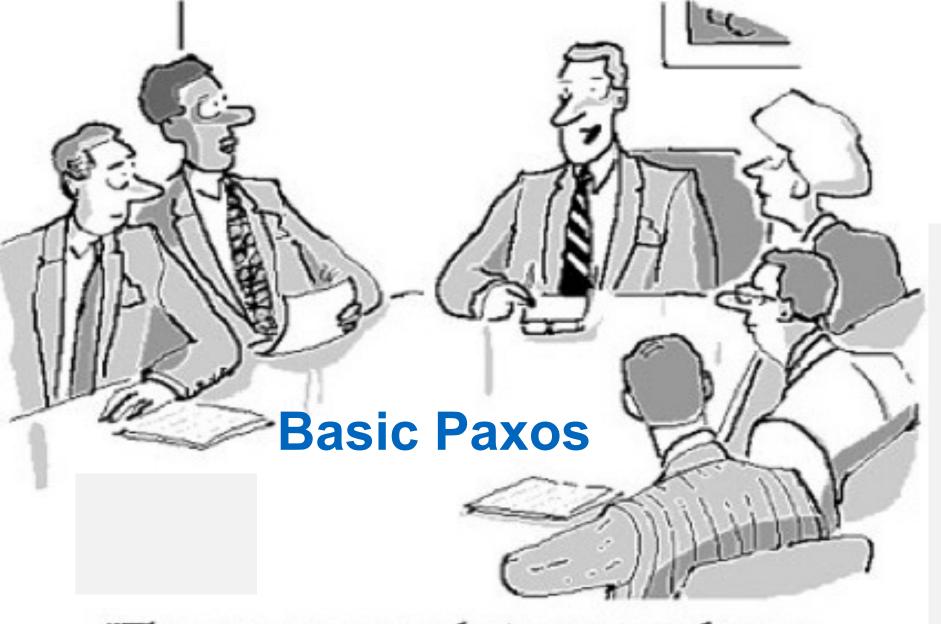
^{*}ZooKeeper uses ZAB (ZK. Atomic Broadcast, not Paxos)

As coordination service



Consensus problem

- One or more node may propose some value. How do we get a collection of nodes to agree on exactly one of the proposed values?
- Requirements for consensus:
 - Agreement: Every correct node (not failing) must agree on the same value.
 - Validity: Only proposed values can be decided. If a node decides on some value, V, then some node must have proposed V.
 - Integrity: Each node can decide a value at most once.
 - Termination: All correct nodes eventually decide on a value.



"Then we are agreed nine to one that we will say our previous vote was unanimous!"

Brief history of Paxos

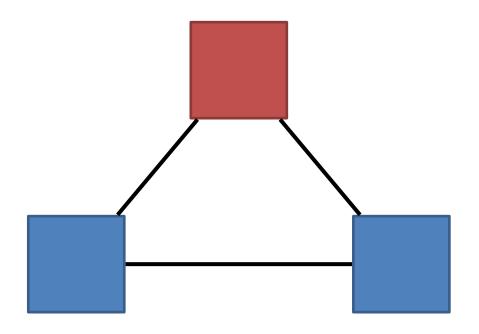
- Solves consensus in asynchronous systems, with node and network omission failures*
 - Better than any algorithms we've seen so far!
 - But... (FLP, cf. next)*
- Original paper: "The Part-Time Parliament," by Lamport (submitted in 1990, published in 1998?!)
- Fictional legislative consensus system for the Greek island of Paxos
- Rewritten into "plain English" as "Paxos Made Simple"
- Many variations of the algorithm now exist in the Paxos family (cf. "Paxos family" slide)

*Paxos in light of FLP result

- In asynchronous systems, with even one node crashing, there is no guarantee to reach consensus.
- Paxos guarantees safety, but not liveness
- "Conditions that could prevent progress are difficult to provoke."
- Paxos attempts to make progress even during periods when some bounded number of nodes are unresponsive

Assumptions for Basic Paxos

- Nodes
- Network
- Number of nodes



Nodes

- Operate at arbitrary speed (i.e., asynchronous model)
- May experience failures (i.e., fail-stop faults)
- Nodes may re-join protocol after failures (i.e., following a crash-recovery failure model; remember their previous state)

• Do not collude, lie, or otherwise attempt to subvert the protocol (i.e., **no Byzantine failures**)

Network

- Nodes can send messages to any other node via unicast
- Messages are sent asynchronously (i.e., may take arbitrarily long)
- Messages may be lost, reordered, or duplicated
- Network may partition
- Messages are delivered
 without corruption
 (i.e., no Byzantine failures,
 cf. Byzantine Paxos)



Number of nodes

In general, Paxos is functional given
 2f+1 nodes (i.e., majority)

Despite the simultaneous failure of any f nodes

• E.g., 5 nodes, resilient against 2 failing (e.g., 5 replicas in Chubby)



TOWARDS UNDERSTANDING PAXOS

Part 2

Roles in Paxos Like client & server roles in client-server

Roles in Paxos

Like client & server roles in client-server

Client triggers protocol

- Express protocol in terms of roles
 - Proposer
 - Acceptor
 - _ Learner

– Leader (one of P)

 Single process may play one or more roles at the same time

Roles in Paxos

Like client & server roles in client-server

Client triggers protocol

- Express protocol in terms of roles
 - Proposer
 - Acceptor
 - _ Learner
 - Leader (one of P)

- Single process may play one or more roles at the same time
- Has no effect on protocol correctness

Roles in Paxos

Like client & server roles in client-server

Client triggers protocol

- Express protocol in terms of roles
 - Proposer
 - Acceptor
 - _ Learner

– Leader (one of P)

- Single process may play one or more roles at the same time
- Has no effect on protocol correctness
- Roles are commonly coalesced to improve latency, number of messages exchanged, etc.

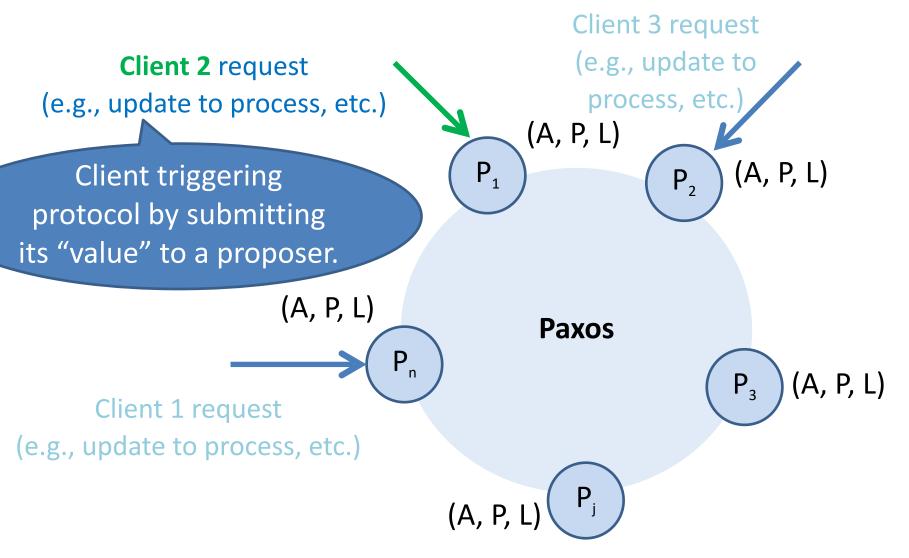
Paxos informal, high-level overview

- A proposer starts a new <u>proposal</u> by sending a proposal (message) to acceptors
- Acceptors send a promise back if they can accept the proposal
- If a proposer collects a majority of promises, it sets a value to the proposal and sends it to a majority of acceptors
- Acceptors send the <u>decided value</u> to all **learners** if they can accept the value
- Learners learn the <u>decided value</u> when they collect a majority of messages from acceptors for a given value

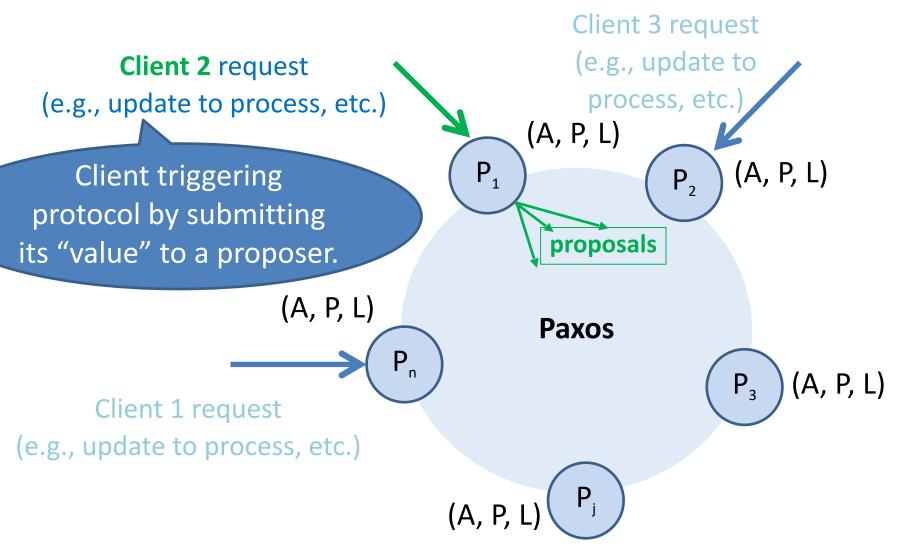
Paxos in context: Roles, proposals, value

Client 3 request (e.g., update to **Client 2** request process, etc.) (e.g., update to process, etc.) (A, P, L) (A, P, L) Client triggering protocol by submitting its "value" to a proposer. (A, P, L) **Paxos** (A, P, L) Client 1 request (e.g., update to process, etc.) (A, P, I

Paxos in context: Roles, proposals, value



Paxos in context: Roles, proposals, value

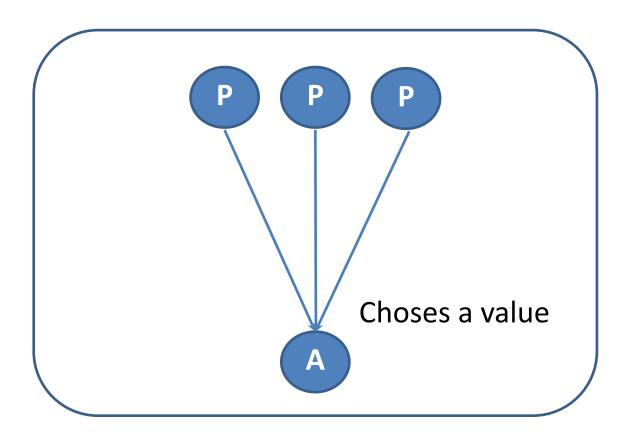


Corner cases addressed by Paxos

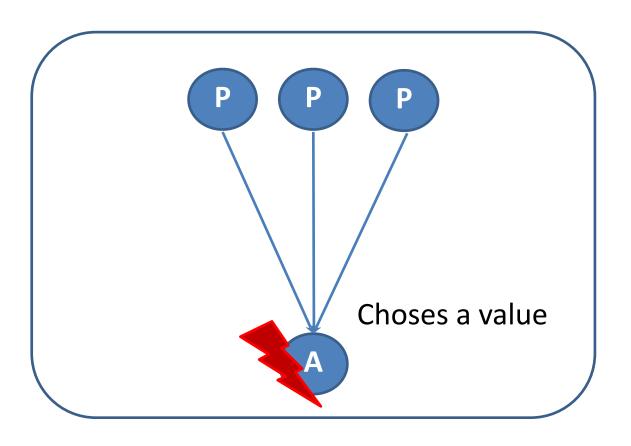
- What if multiple proposers make competing proposals simultaneously?
- What if a proposer proposes a different values than an already decided value?
- What if there is a network partition?
- What if a proposer crashes in the middle of soliciting promises?
- What if a proposer crashes after collecting a majority of promises but before setting a value to its proposal?

• ...

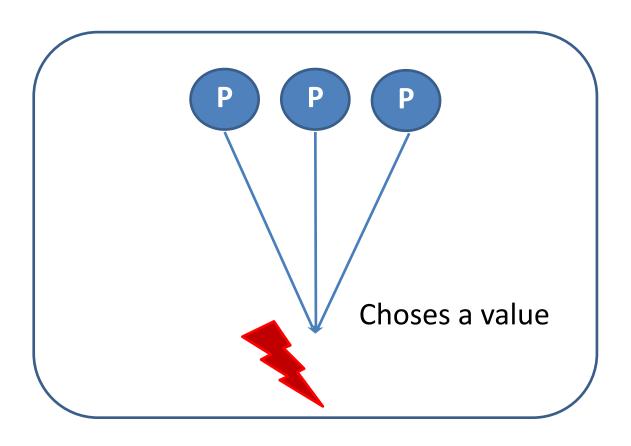
(Multiple proposers, single acceptor)



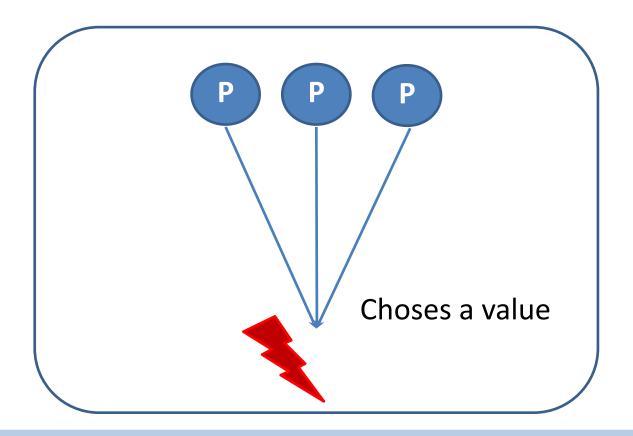
(Multiple proposers, single acceptor)



(Multiple proposers, single acceptor)

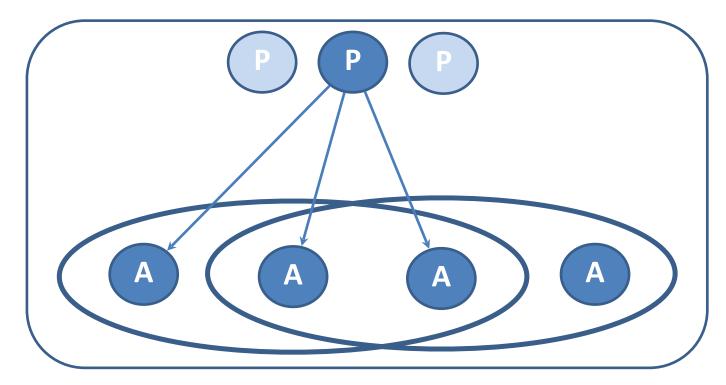


(Multiple proposers, single acceptor)

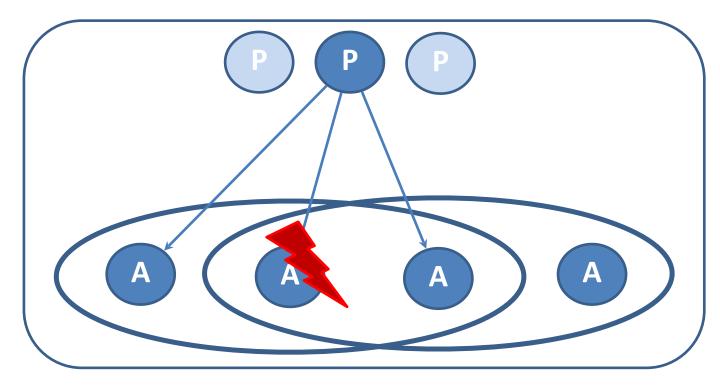


We need multiple acceptors to tolerate faults.

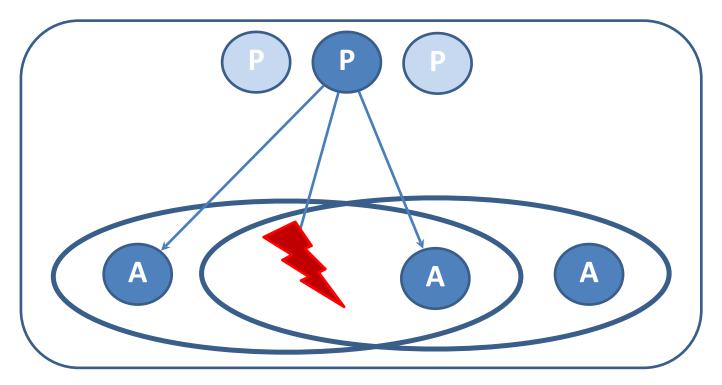
- Proposer sends proposal to a majority of acceptors or more
- If a majority of acceptors choses a particular proposal (value) then that value is considered chosen



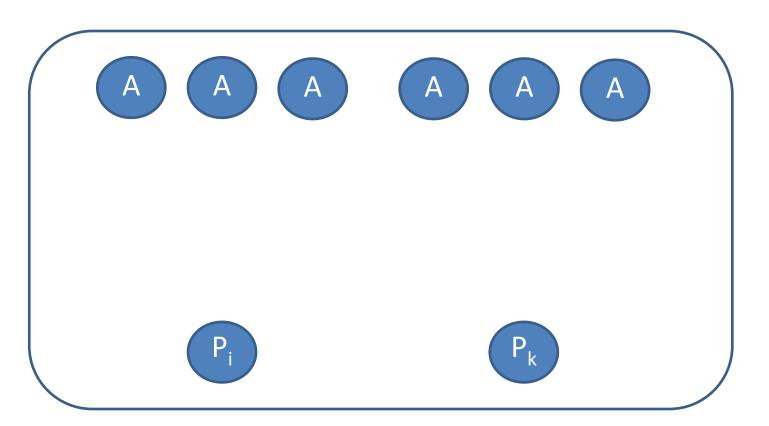
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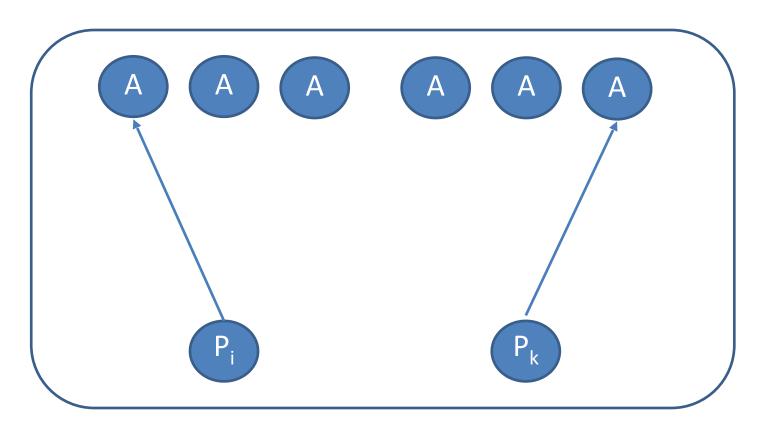


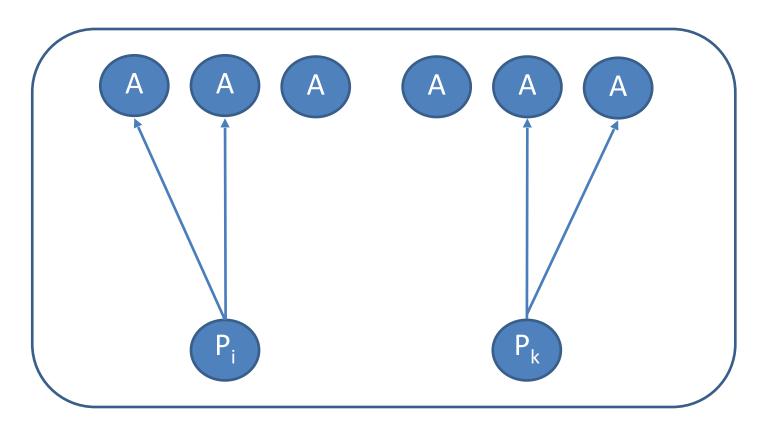
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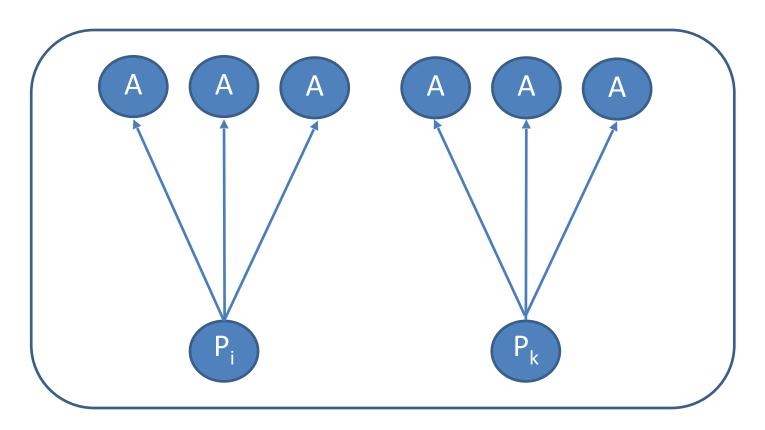


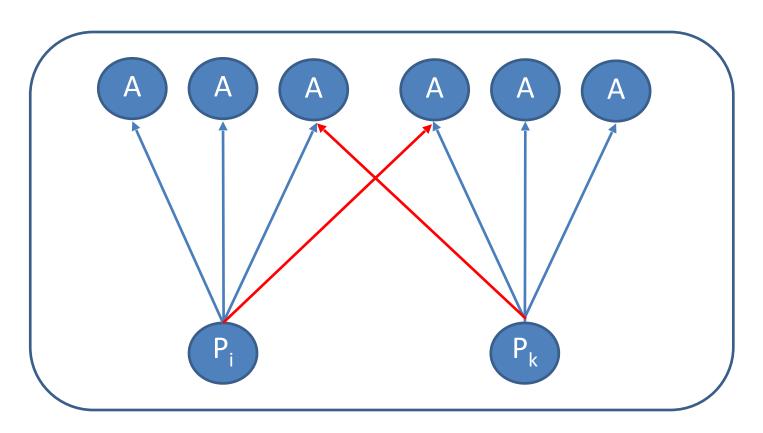
- Proposer sends proposal to a majority of acceptors or more
- If a majority of acceptors choses a particular proposal (value)
 then that value is considered chosen
- But what proposal to chose?
- Each acceptor accepts the first proposal it receives and rejects the rest
- A proposer who receives a majority of replies (i.e., votes) from acceptors chooses its own value
 - → Only one proposal will get a majority, so only one value will be chosen
- Proposer sends the chosen value to everyone



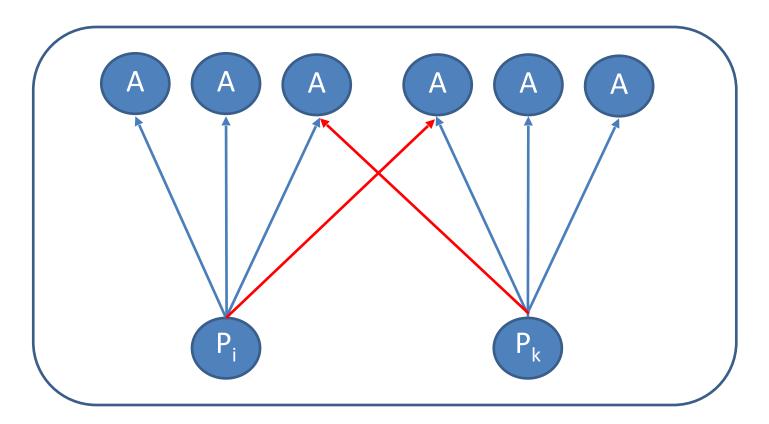






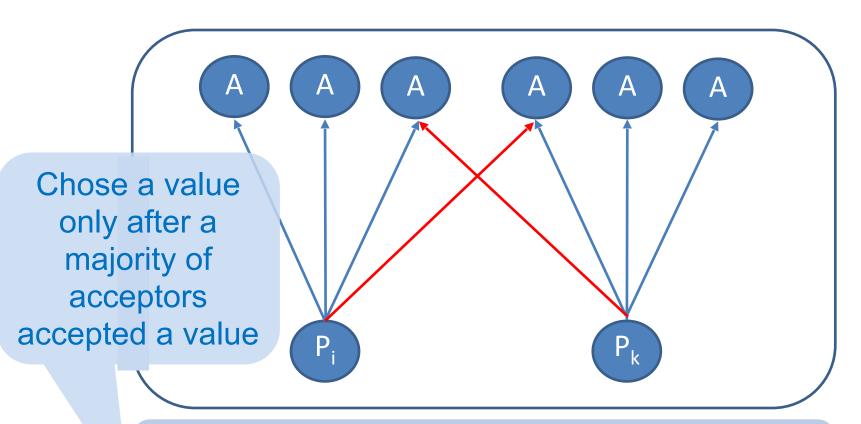


(Multiple proposers, multiple acceptors)



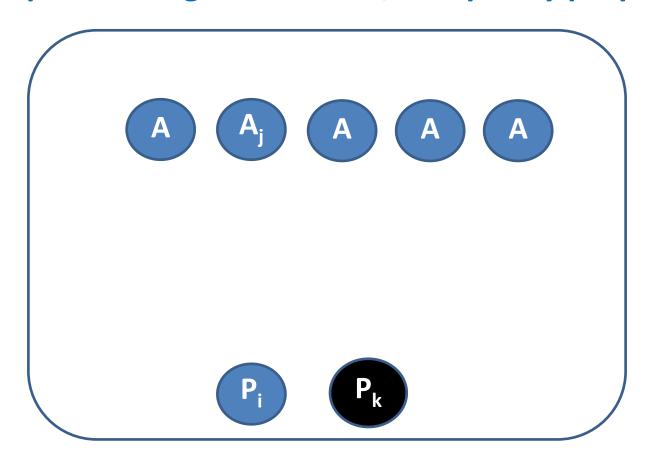
Multiple proposers send proposals concurrently, no one collects a majority!

(Multiple proposers, multiple acceptors)

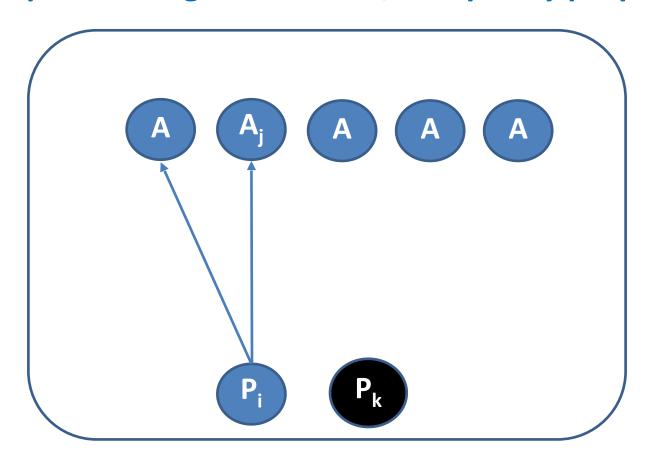


Need to allow for acceptors to change their mind about the value they chose.

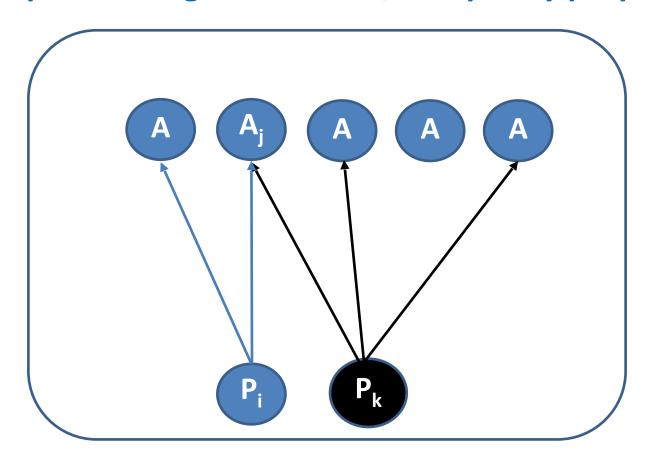
(Acceptors change their mind, accept any proposal)



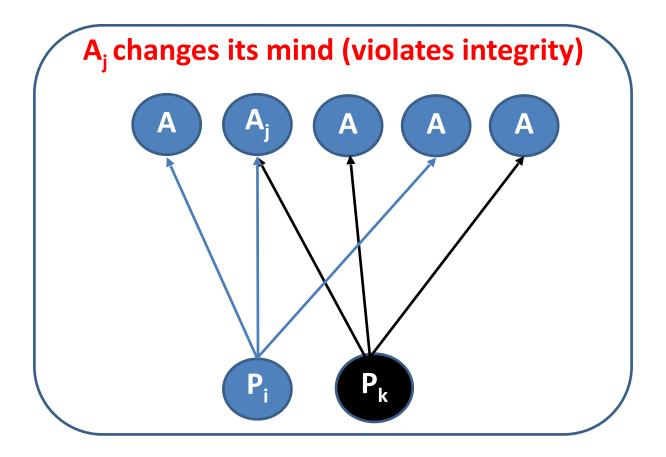
(Acceptors change their mind, accept any proposal)



(Acceptors change their mind, accept any proposal)

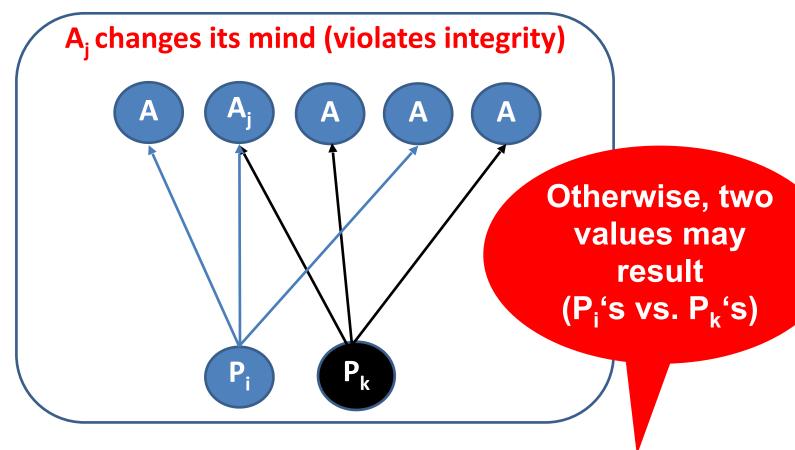


(Acceptors change their mind, accept any proposal)



Integrity: Each node can decide a value at most once.

(Acceptors change their mind, accept any proposal)



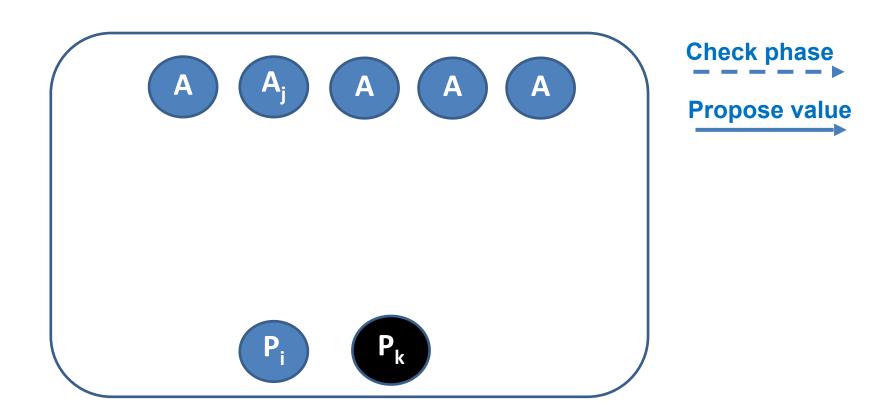
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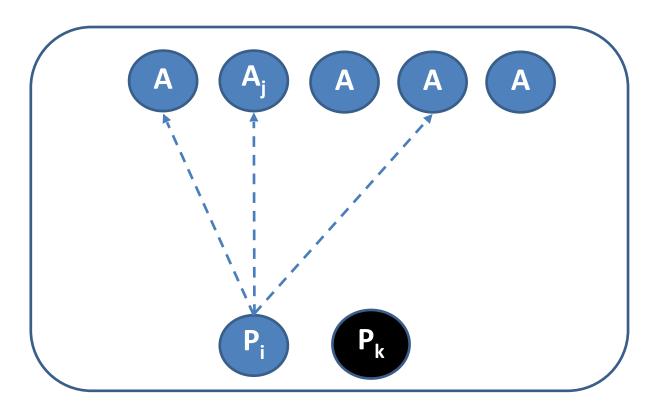
(Acceptors change their mind, accept any proposal)

A proposer can't just propose a value

- Proposer needs to first check with a majority of acceptors whether a value has already been chosen
- If yes, proposer must adopt this value and propose it to a majority of ...
- If no, proposer is free to propose its value

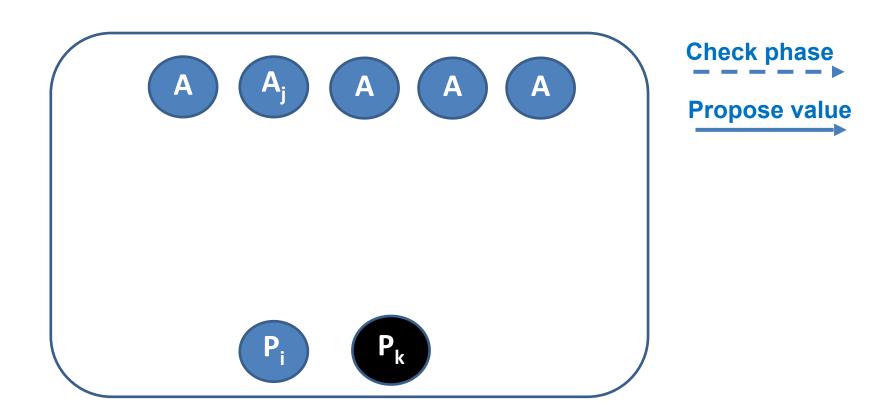
Requires a two-phase protocol: Check, act accordingly

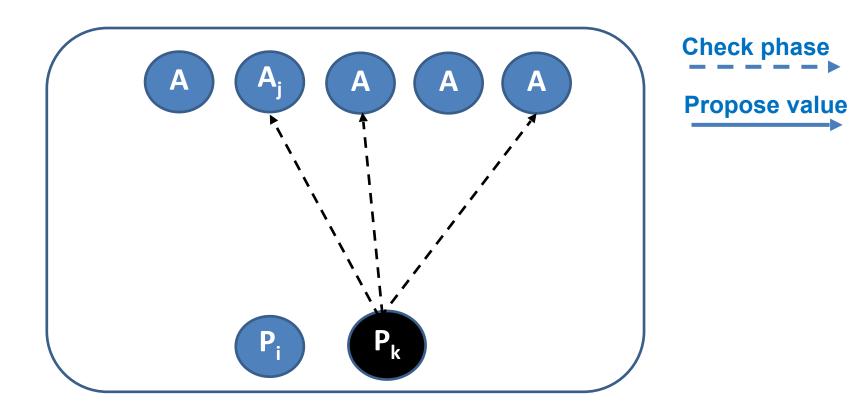


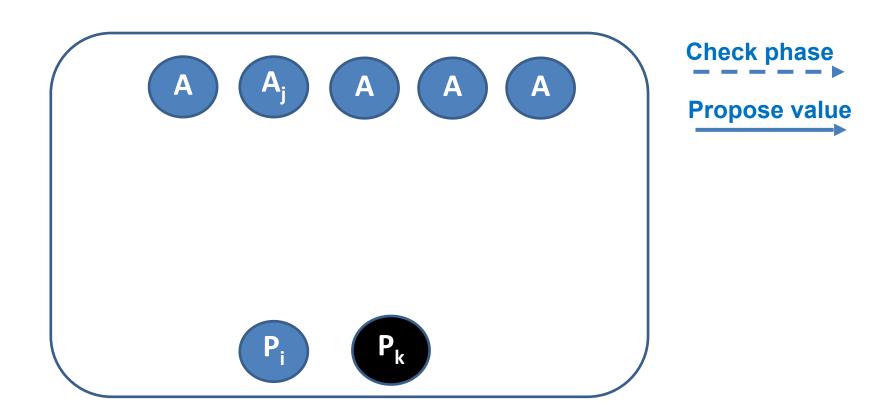


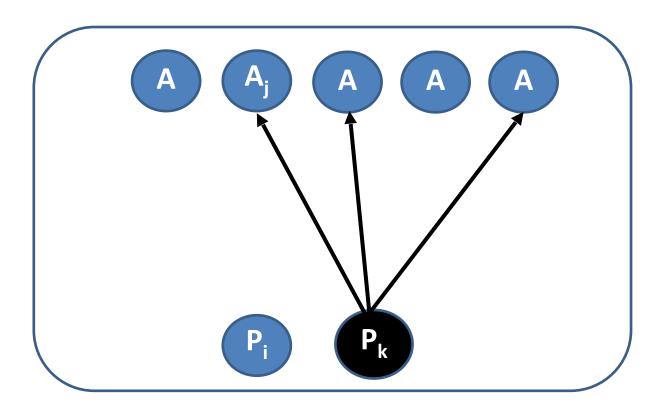
Check phase

Propose value

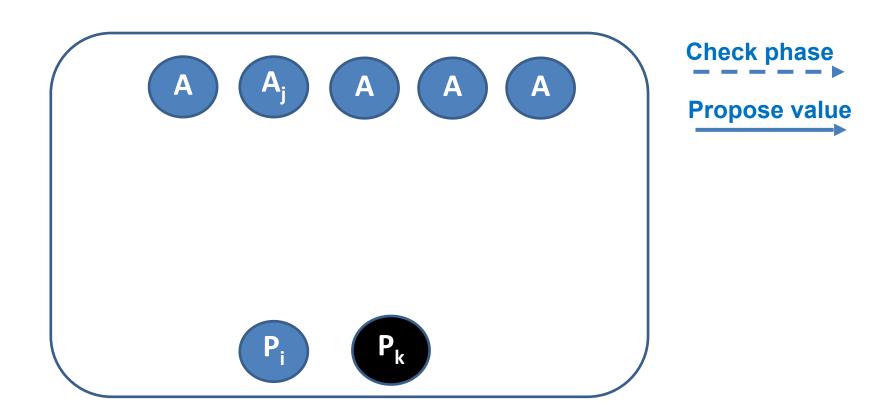


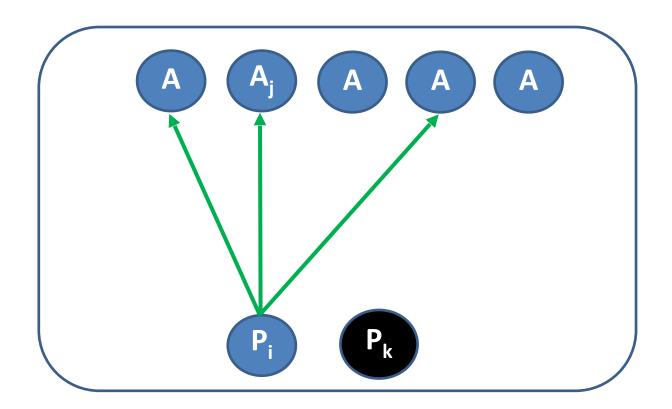




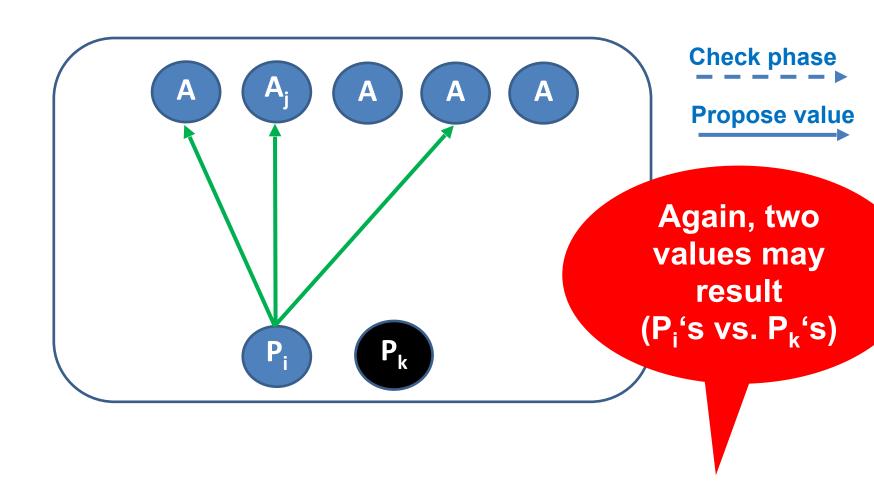


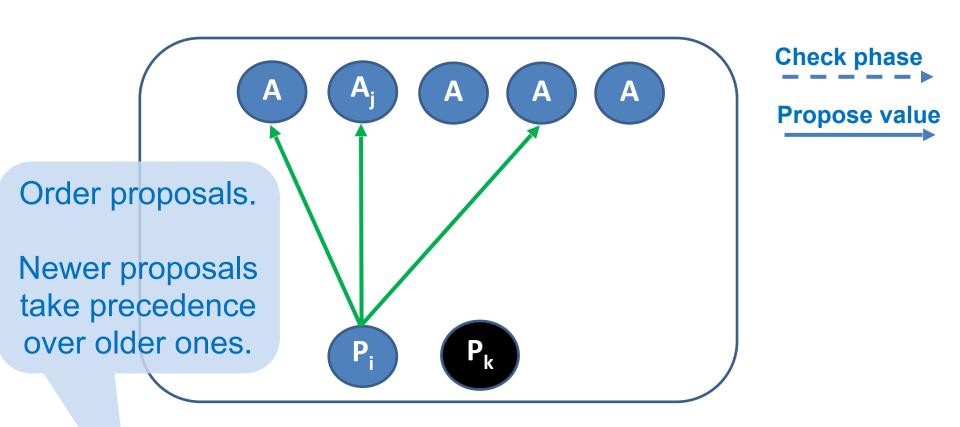
Check phase _ _ _ _ ▶
Propose value





Check phase _ _ _ _ ▶
Propose value





Once a value is chosen, abort competing proposals.

Lessons learned from Strawmen 1-4

- Require multiple acceptors to tolerate faults
- Require votes on a value from a majority of acceptors to break ties
- Need to allow for acceptors to change their mind about the value they chose to establish a majority
- Require a two-phased protocol to check for prior decisions
- Require means to order proposals to ensure single value results

The Paxos way

Preview

- Each acceptor may be able to accept multiple proposals based on ordering
- But, each acceptor must follow two rules:
 - If it promised to one proposal with a P# n, it can only accept a newer proposal with a P# m, where m > n.
 - If it promises to a newer proposal, it will ask the proposer to set the value of the newer proposal to the same value as an older accepted proposal.

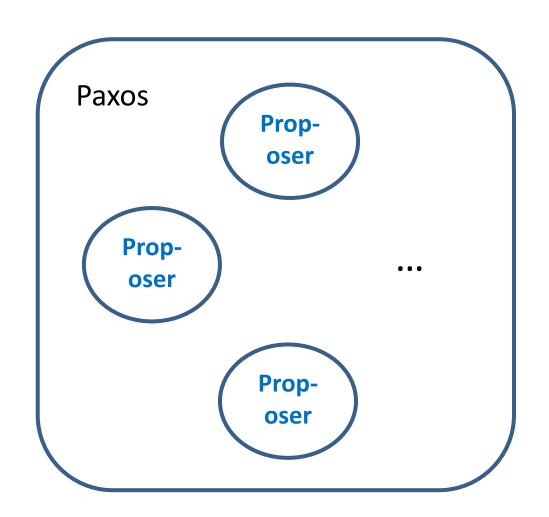
BASIC PAXOS IN DETAIL

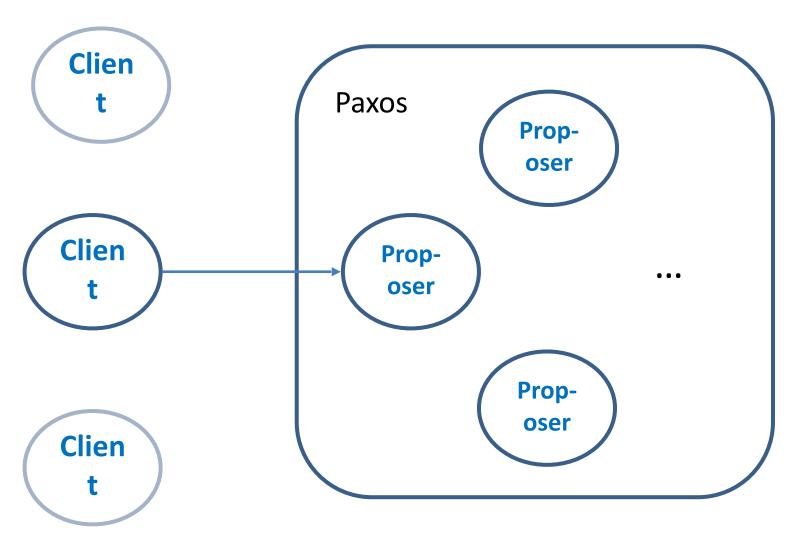
Part 3







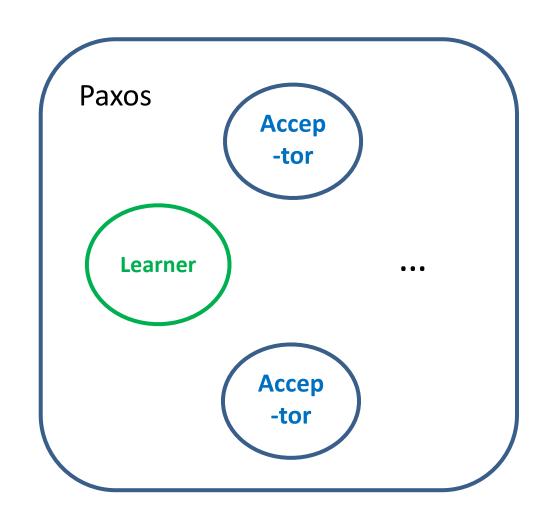


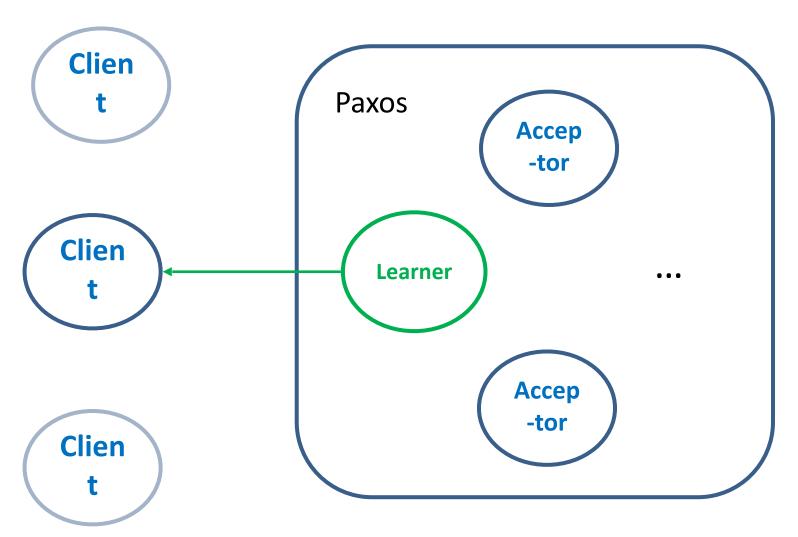












 Processes which interact with the Paxos protocol: Do not participate in protocol

 Clients send requests to proposer and wait for response from learner

 Basic Paxos decides which request is accepted (in multi-paxos, a sequence is decided)

The nature of requests depends on how Paxos is used

Role of proposers in Paxos

- Convince acceptors to agree on client requests
- Paxos refers to client request simply as values
- Proposer issues proposals for a value to ultimately obtain agreement from Paxos
- There could be several different client requests (values) that are concurrently being proposed by different proposers
- One instance of Paxos determines one value that all correct nodes agree on
- Proposers need to initially check whether any other value has been decided on by acceptors (first phase of protocol)

Proposal number & agreed value

Messages sent by proposer

```
prepare (P# (N)) First phase acceptReq (P# (N), Value (V)) Second phase
```

where **P#** refers to the **proposal number** (cf. below)

- Attempt to define an agreed value V via proposals
- Proposals may or may not be accepted by acceptors
- Proposers assign monotonically increasing numbers to each proposal (called the P#), e.g., 1,3,4,8,...*
- Value V represents the information that is to be agreed on (i.e., input from the client, client request)

*Proposal number

- Must be unique (required)
 - No two proposers can have the same number.
- Should be larger than any previous proposal number (by any proposer in instance of protocol) (desirable)
 - If this is not the case, proposer would find out by having its proposal rejected (proposer would have to re-try)
- Use a globally unique node/process identifier in lowerorder bits and an incrementing counter in high-order bits
 - E.g., (logical clock, unique node/process identifier)-pair
 - E.g., (2345 1921681215555)

Acceptors

- Acceptors decide which proposal to accept and memorize its value (i.e., write it to stable storage)
- Any proposal must be sent to a quorum of acceptors (e.g., 3 out 5 acceptors)
 - Usually, proposal is sent to every acceptor
- A proposal must be accepted by a quorum in order to pass
- Note: Paxos provides consensus, but internally it only requires majority from acceptors!
 - This makes this step more fault-tolerant than strict unanimity
 - I.e., tolerates failures

Quorum

- A quorum is a subset of acceptors such that two quorums share at least one member.
- Using quorum ensures there exists at least one acceptor who can decide between two proposals (safety)
- Typically, any majority of participating acceptors
- Example, given acceptors {A,B,C,D}:
 - Majority quorum would be any three acceptors (or more): {A,B,C}, {A,C,D}, {A,B,D}, {B,C,D}, {A,B,C,D}
 - Weighted quorum, if w_A = 2, else 1, weight 3 needed: {A,B}, {A,C}, {A,D}, {B,C,D}, {A,B,C,D}

Learner

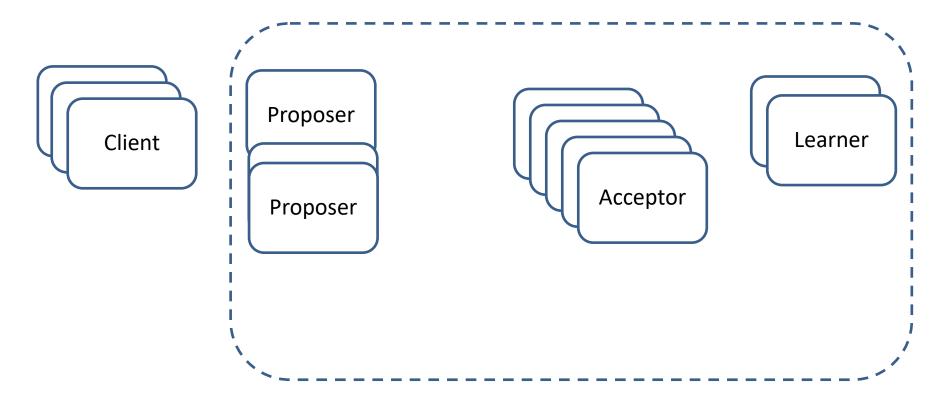
- Messages sent by learner clientRes (Value (V))
- A learner acts as a storage point for decisions made by acceptors
- Paxos converts a decision made by only a quorum of acceptors into a consensus for learners (for Paxos)
- Because the decision has already been made by acceptors, it is easier for all learners to agree



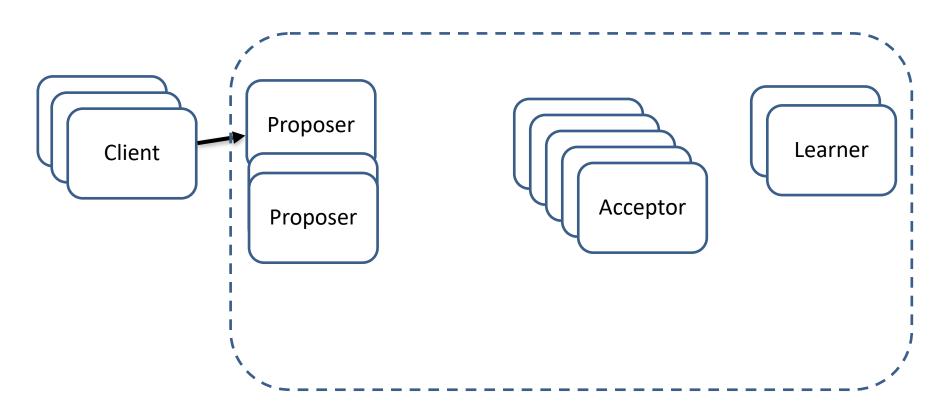


Safety and liveness properties

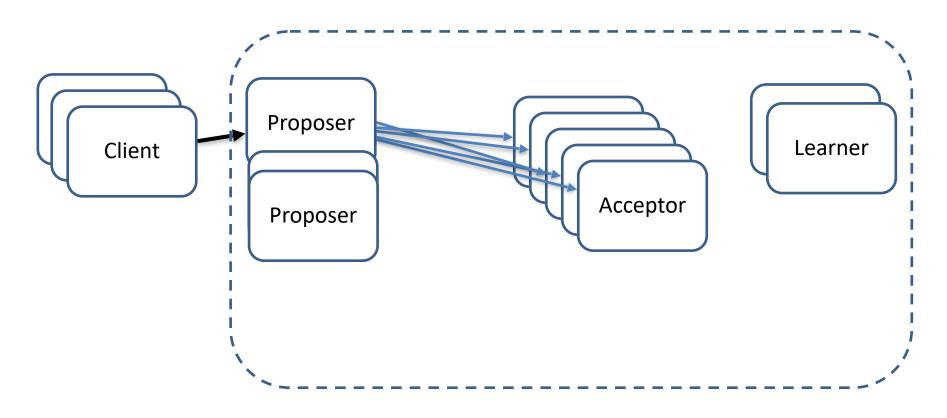
- Non-triviality: Only proposed values can be learned
- Safety: At most one value can be learned (i.e., two different learners cannot learn different values)
- Liveness: If value V has been proposed, then eventually learner L will learn some value (if sufficient processes remain non-faulty)
- Paxos ensures safety property holds, regardless of the pattern of failures (subject to 2f+1 requirement)
- Paxos may get stuck in a livelock (then, no progress; liveness property is not guaranteed)



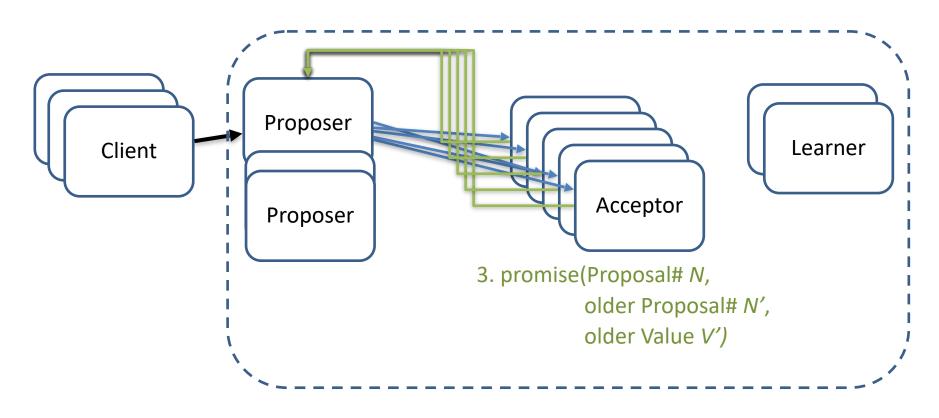
1. clientReq (Value V)



1. clientReq (Value V) 2. prepare (Proposal# N)

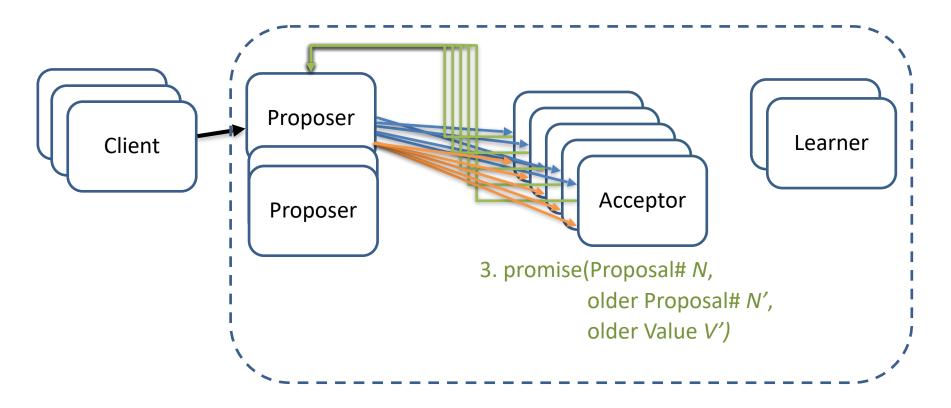


1. clientReq (Value V) 2. prepare (Proposal# N)



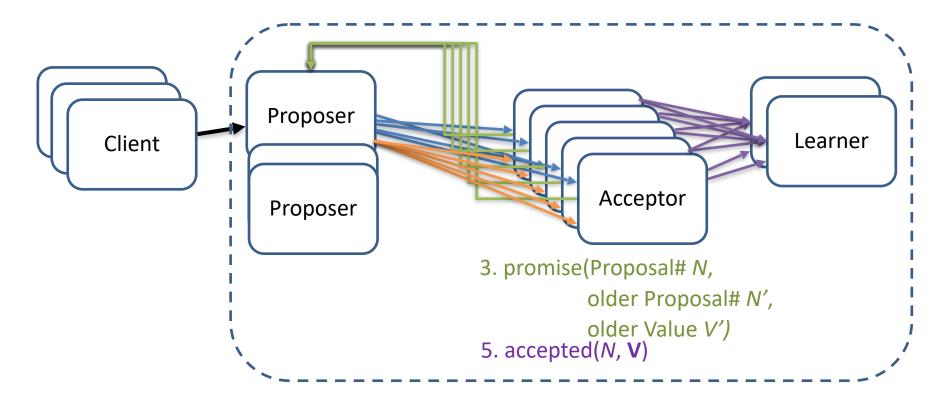
1. clientReq (Value V) 2. prepare (Proposal# N)

4. acceptReq (N, V)



1. clientReq (Value V) 2. prepare (Proposal# N)

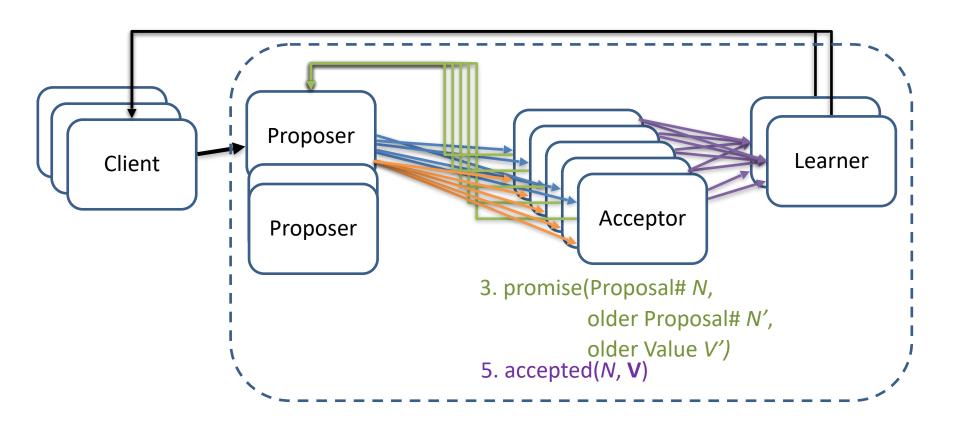
4. acceptReq (N, V)



1. clientReq (Value V) 2. prepare (Proposal# N)

6. clientRes (Decided Value D)

4. acceptReq (N, V)



Basic Paxos

- Each protocol invokation instance decides on a single output value
- Protocol may proceed over several rounds
- A successful round has two phases
 - prepare (P) and promise (A) (first phase)
 - acceptRequest (P) and accepted (A) (second phase)
- Once learner collects a majority of accepts for a value it issues clientResponse (L) ("third phase")
- Proposer needs to communicate with at least a quorum of acceptors

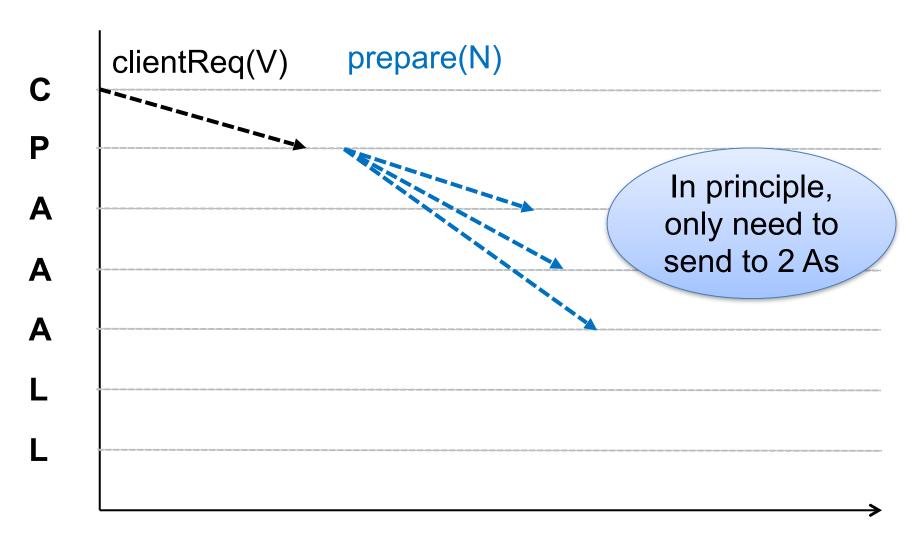
Phase 1a: Prepare (@ Proposers)

- Proposer creates proposal identified by P# N
- Any proposer could send proposals at any time
- P# N must be greater than any previous P# N' by this proposer
- Proposer sends a prepare message with P# N to quorum of acceptors: prepare(N)
- Proposer decides who (among the acceptors) is in the quorum (could be every acceptor)



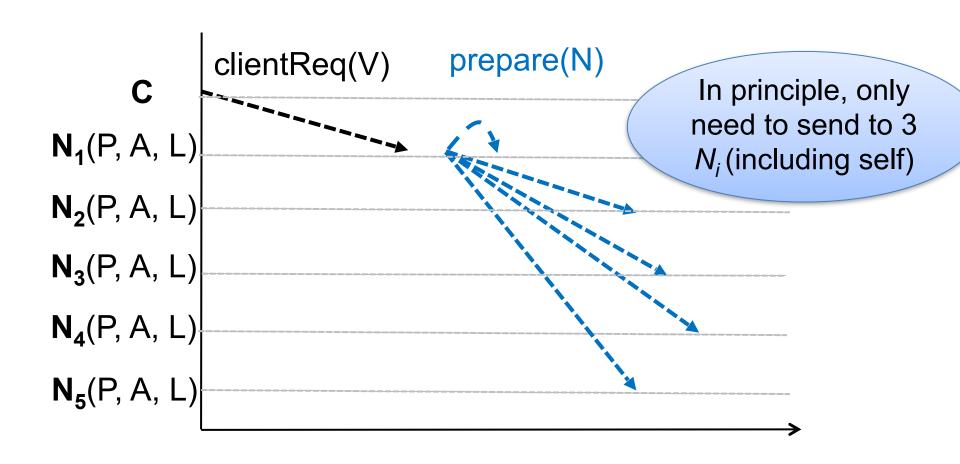
I'm not sure we have a quorum now that half our Board has been arrested.

Phase 1a: Prepare



Phase 1a: Prepare

(Roles coalesced)



Phase 1b: Promise (@ Acceptors)

 If N is larger than any previous N' received from any proposer by this acceptor, then the acceptor must return a promise to ignore all future proposals having a number less than N

promise(N, -, -)

 If the acceptor accepted a proposal at some point in the past, it must include the previous N' and previous value V' in its response to the proposer

promise(N, N', V')

Otherwise, the acceptor sends a negative reply (NACK)

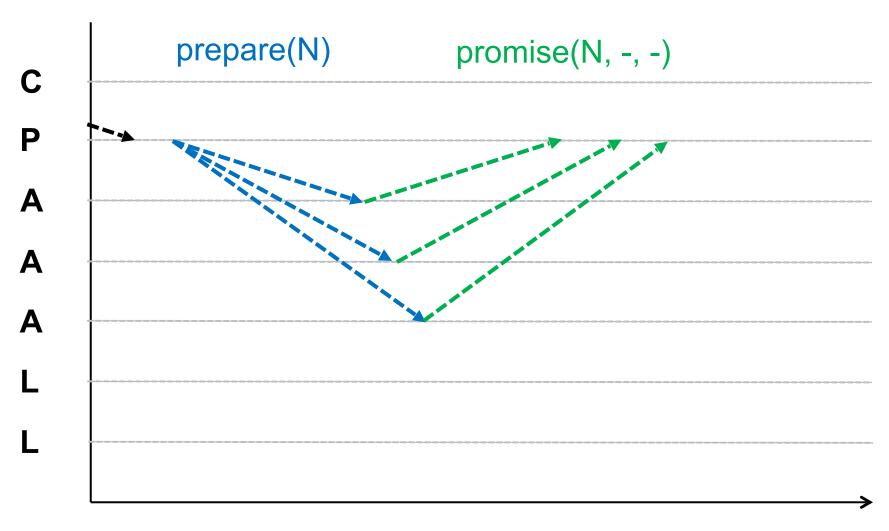
Phase 1b: Promise (@ Acceptors)

 If N is larger than any previous N' received from any proposer by this acceptor, then the acceptor must return

```
// N larger than any P# previously received
IF N > max_PN
   // Yes, remember P#, reply with promise
   max_PN = N
   reply: promise(N, -, -)
ELSE
   // No
   do not reply (or reply with a NACK)
```

Otherwise, the acceptor sends a negative reply (NACK)

Phase 1b: Prepare



Phase 1b: Promise (@ Acceptors)

Acceptor accepted proposal in the past

• If N is larger than any previous N' received from any proposer by this acceptor, then the acceptor must return a promise to ignore all future proposals having a number less than N

```
promise(N, -, -)
```

 If the acceptor accepted a proposal at some point in the past, it must include the previous N' and previous value V' in its response to the proposer

Otherwise, the acceptor sends a negative reply (NACK)

Phase 1b: Promise (@ Acceptors)

Acceptor accepted proposal in the past

```
// N larger than any P# previously received
// N > max PN
IF N \leq max PN
  //! (N > max PN)
  do not reply (or reply with a NACK)
ELSE
  //(N > max PN), was proposal accepted before?
  IF (proposal accepted == true)
      reply: promise(N, N', V')
  ELSE
      reply: promise(N, -, -)
```

Phase 2a: Accept Request (@Proposer)

 If a proposer receives enough promises from acceptors (a quorum), it needs to set a value to its proposal

 If any acceptor had previously accepted a proposal, then it would have sent its values to the proposer, who now must set the value of its proposal to the value associated with the highest proposal number reported by any acceptor

Phase 2a: Accept Request (@Proposer) cont.'d.

• If none of the **acceptors** had accepted a proposal up to this point, then the **proposer** may **choose any value** for its proposal (i.e., the one from the client request)

 Proposer sends an accept request message to a quorum of acceptors with the chosen V (value) for its proposal

acceptReq(N, V)

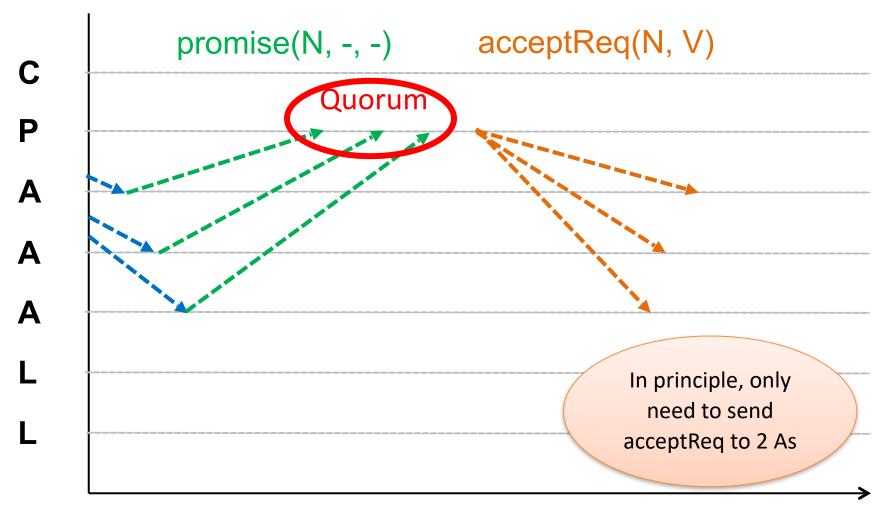
 Proposer may choose quorum from all acceptors in the system, not just ones that promised back

Phase 2a: Accept Request (@Proposer) cont.'d.

```
Were promises from a majority of acceptors
received?
IF yes
   Did any reply contain accepted values
    (from other proposals)?
   IF yes
       //Take value from promise with highest PN
       V = accepted VALUE
   ELSE
       // Use own value (client's input)
       \lor = \mathbf{OUR} \ \mathbf{VALUE}
   reply acceptReq(N, V) to majority of acceptors
    (or more)
```

Phase 2a: Accept Request

Quorum size is 2



Phase 2b: Accepted (@Acceptor)

(Accept Request – acceptReq)

- If an acceptor receives an acceptReq message for a proposal number N, it must accept it if and only if it has not already promised to only consider proposals having an identifier greater than N
- In this case, it registers the corresponding value V and sends an accepted message to the proposer and every learner

accepted(N, V)

 Otherwise, it ignores the acceptReq and sends a NACK to the proposer

Phase 2b: Accepted (@Acceptor)

(Accept Request – acceptReq)

 If an acceptor receives an acceptReq message for a proposal number N, it must accept it if and only if it has not already promised to only consider proposals having an identifier greater than N

 In this case, it registers the corresponding value V and sends an accepted message to the proposer and every learner

accepted(N, V)

 Otherwise, it ignores the acceptReq and sends a NACK to the proposer

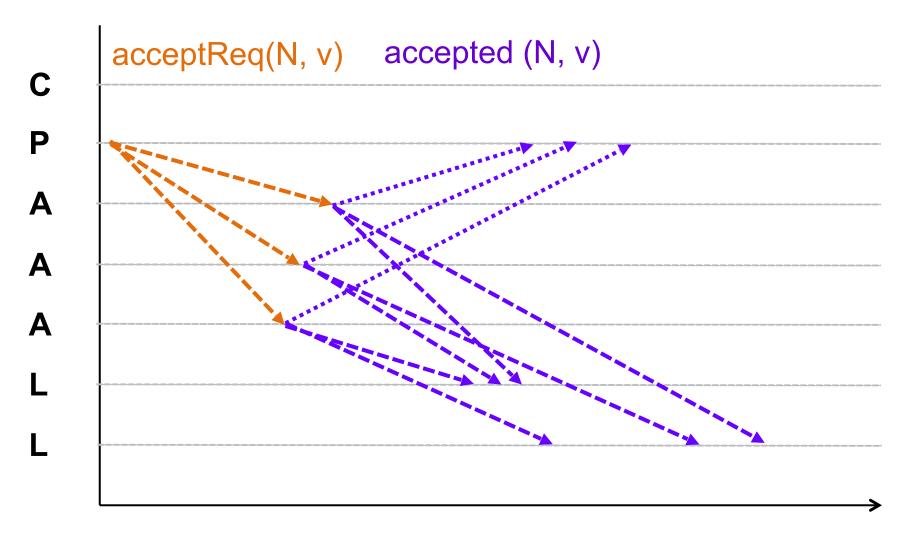
Optional

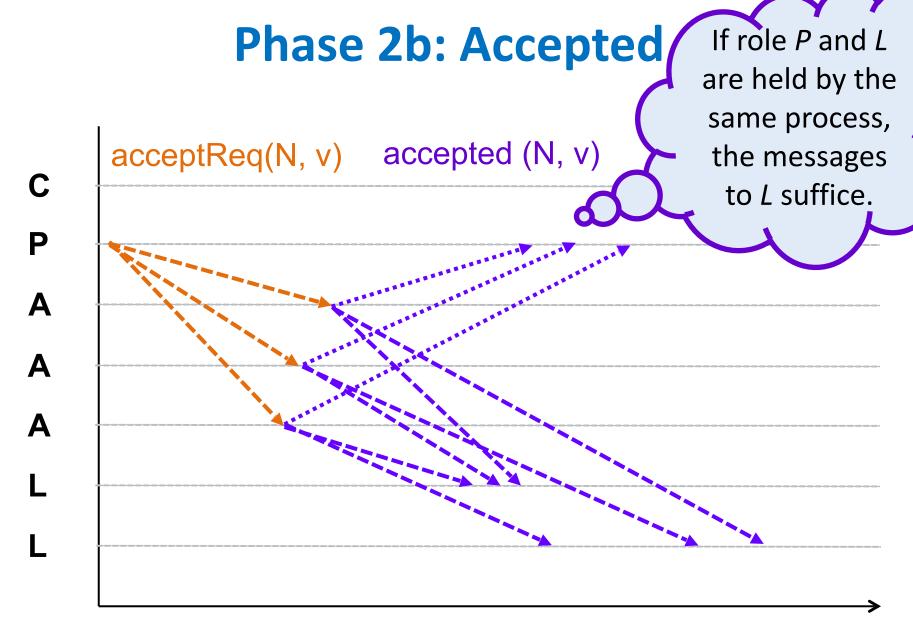
Phase 2b: Accepted (@Acceptor)

(Accept Request – acceptReq)

```
// Is P# N the largest seen so far?
IF (N >= max PN)
    // note that we accepted a proposal
    proposal accepted = true
    // save the accepted proposal number
    accepted ID = N
    // save the accepted proposal value
    accepted VALUE = V
    reply: accepted(N, V) to proposer & learners
ELSE
    do not respond (or respond with a NACK)
```

Phase 2b: Accepted





Notes on Phase 2b

An acceptor can accept multiple proposals

 Paxos guarantees that acceptors ultimately agree on a single value

Notes on Phase 2b

- Rounds fail when multiple proposers send conflicting prepare messages which invalidate acceptReq messages
- Rounds fail when proposer does not receive a quorum of replies (promise or accepted messages)

 In these cases, another round must be started with a higher proposal number

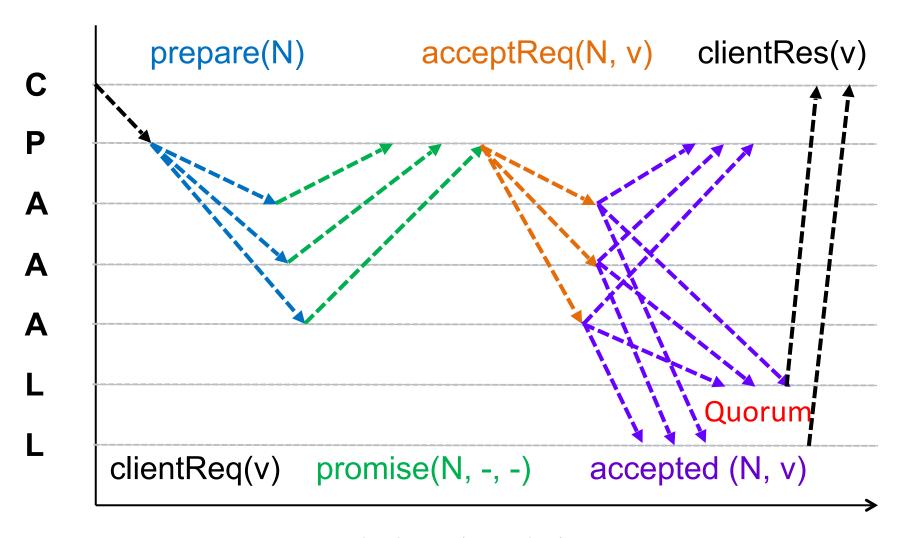
Phase 3: Decided (@Learner)

 A learner learns a decided value if it receives accept messages from a quorum of acceptors

 A quorum is required to avoid conflicting accepts from multiple concurrent proposals

 Once a learner has learned a decided value, it can execute the associate command and/or communicate with a client

Basic Paxos protocol timeline



FAILURE HANDLING IN PAXOS

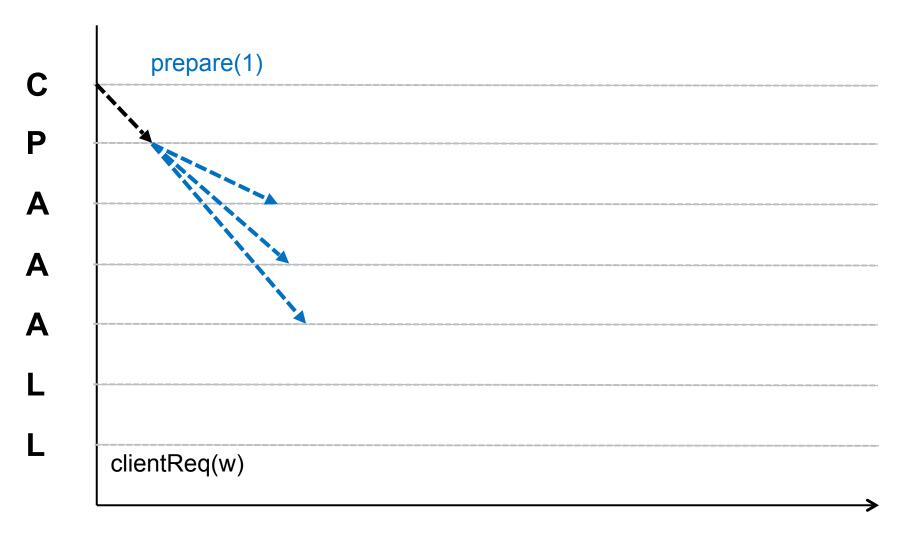
Part 4

Failure scenarios

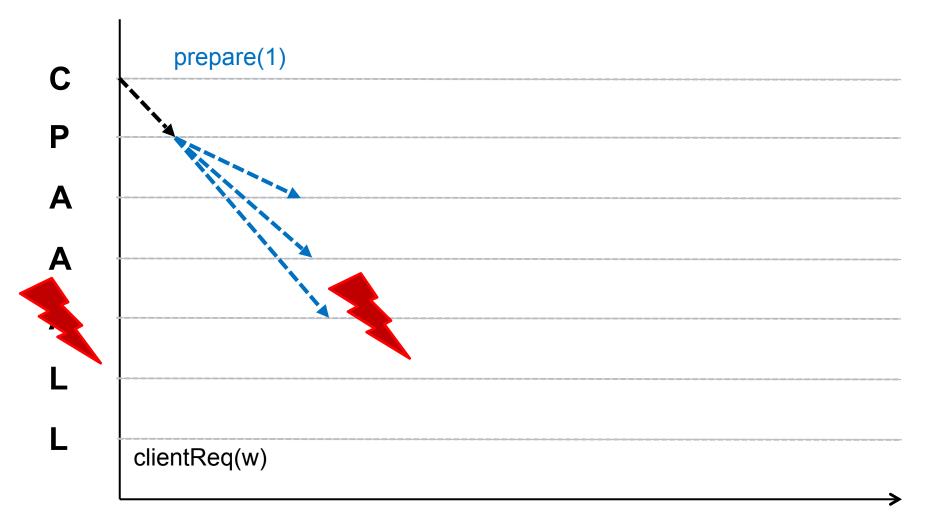
- Failure of acceptor
- Failure of redundant learner
- Failure of proposer
- Dueling proposers
- Communication failures



Basic Paxos: Failure of acceptor I

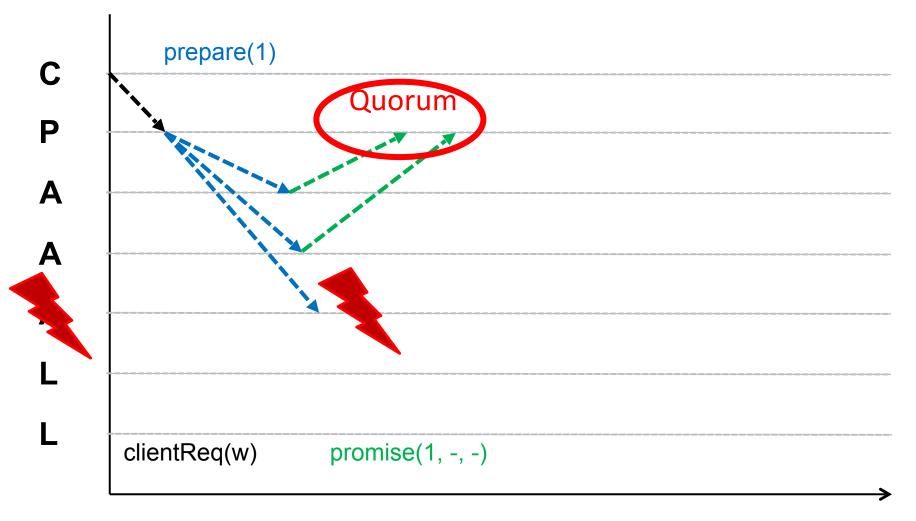


Basic Paxos: Failure of acceptor II



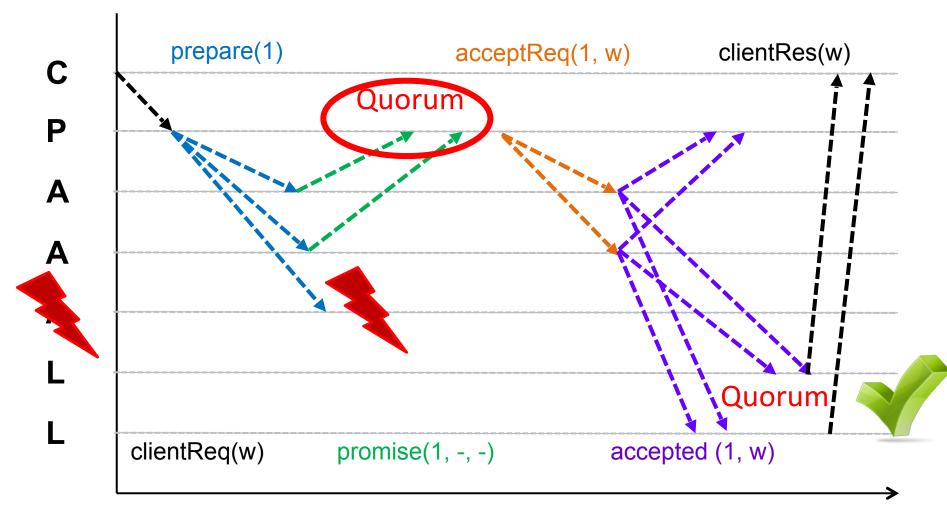
Basic Paxos: Failure of acceptor III

Quorum size is 2



Basic Paxos: Failure of acceptor IV

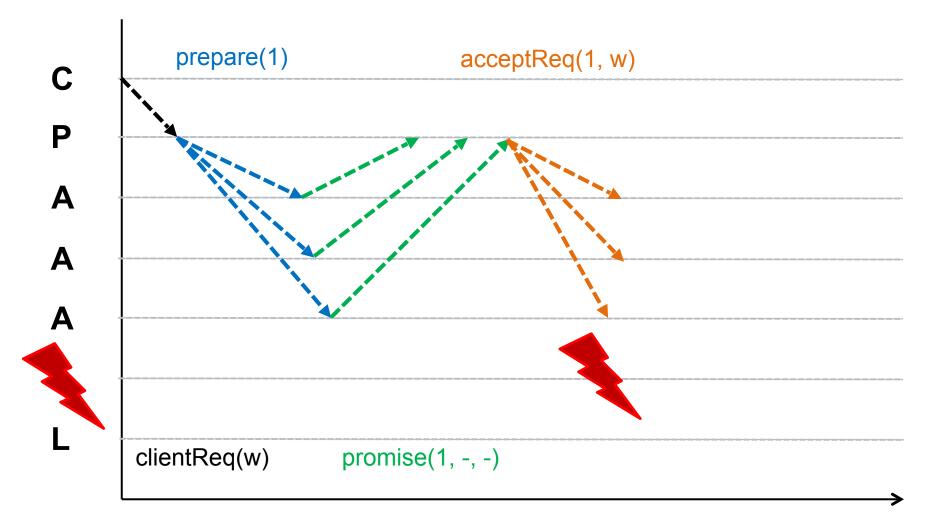
Quorum size is 2



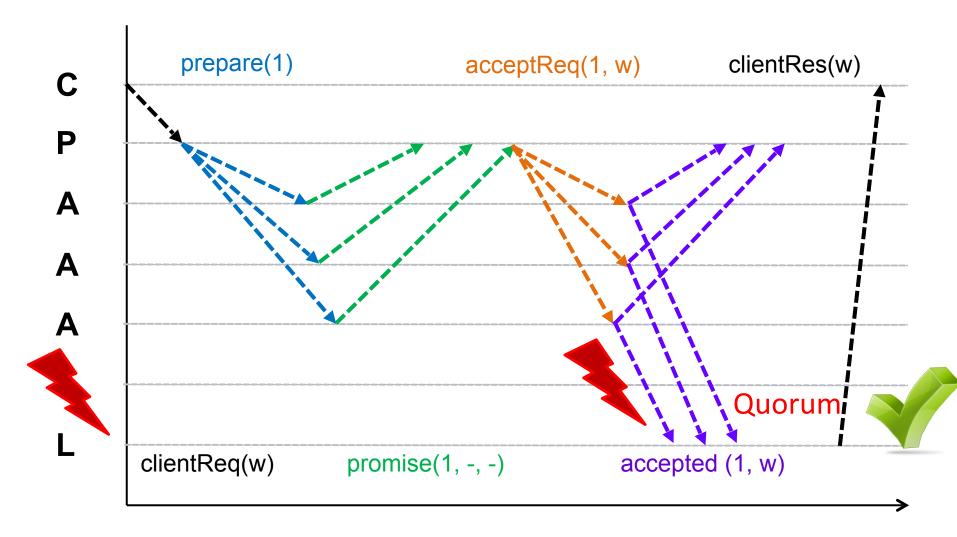
Basic Paxos: Failure of redundant learner



Failure of redundant learner I



Failure of redundant learner II

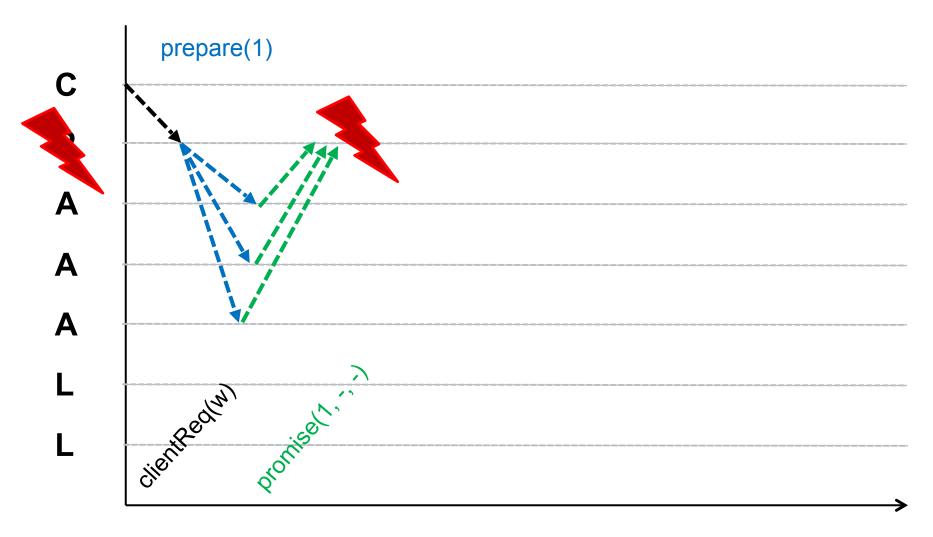


Basic Paxos: Failure of proposer

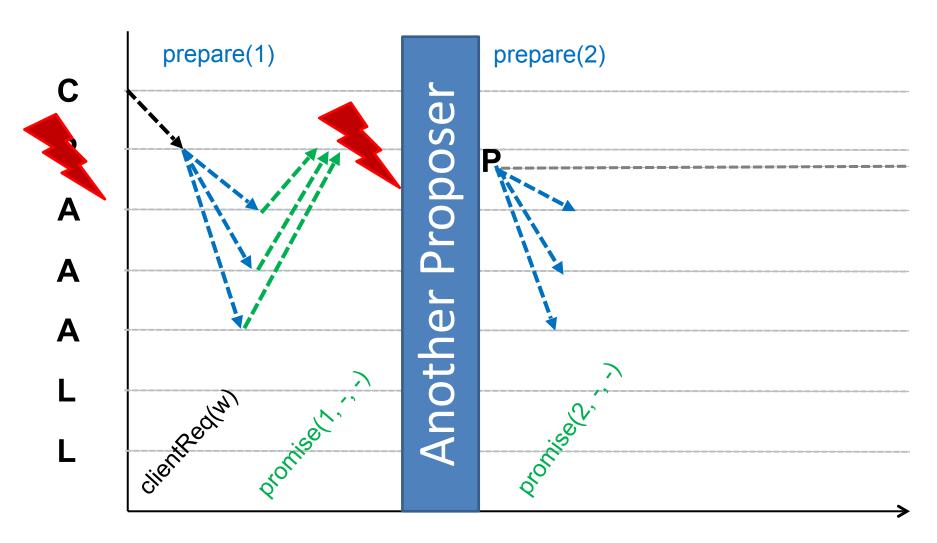


Basic Paxos: Failure of proposer I

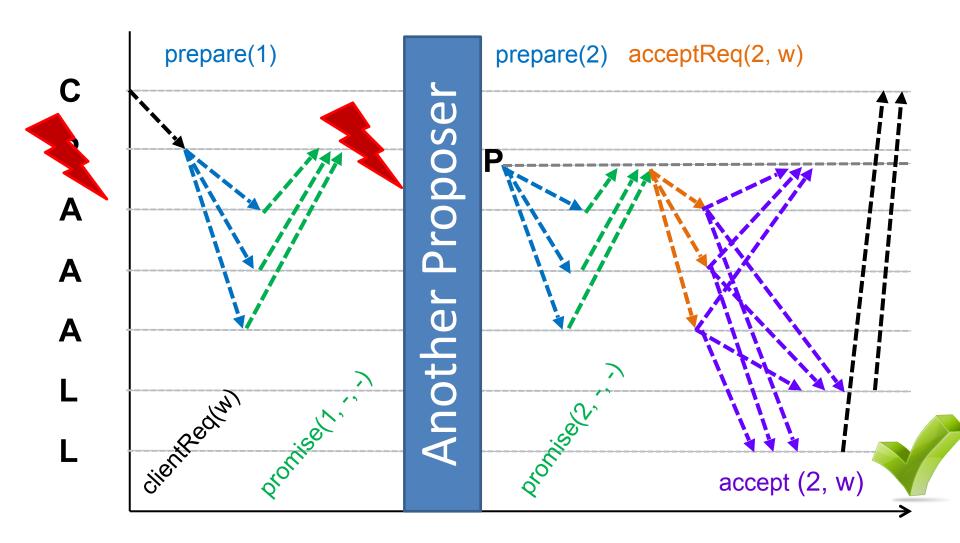
In prepare phase



Basic Paxos: Failure of proposer II



Basic Paxos: Failure of proposer III

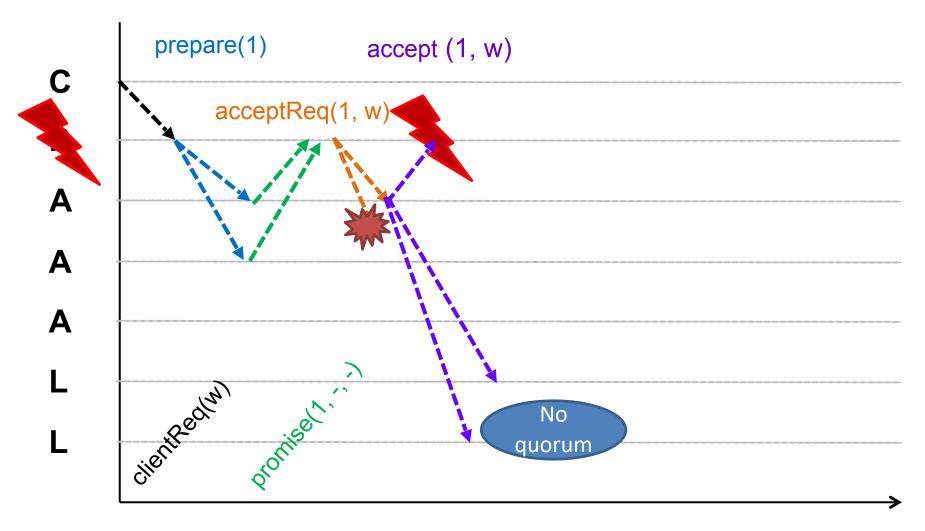


Basic Paxos: Failure between accepts

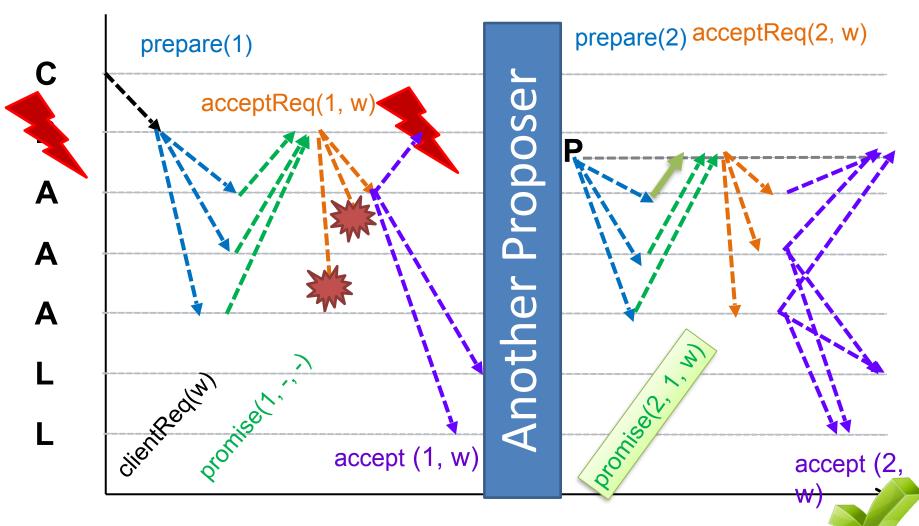
In accept phase



Basic Paxos: Failure in Phase 2

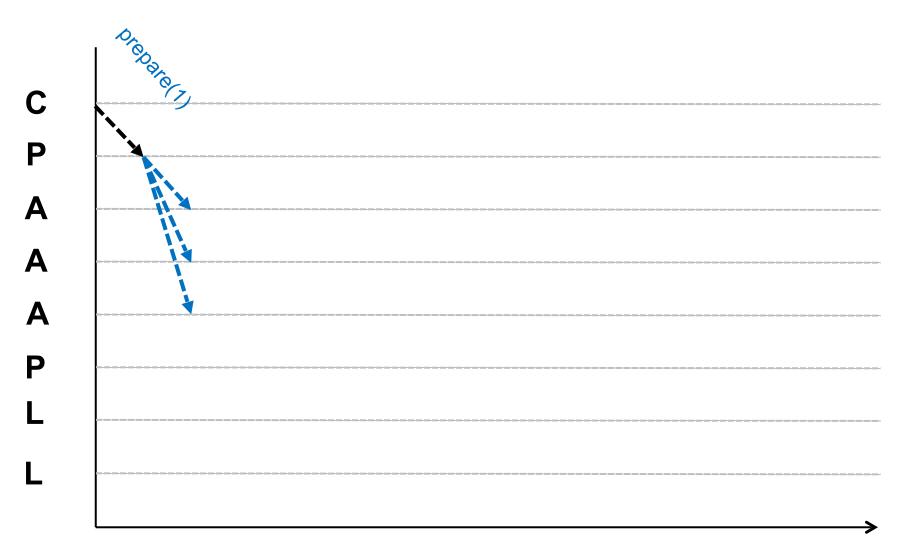


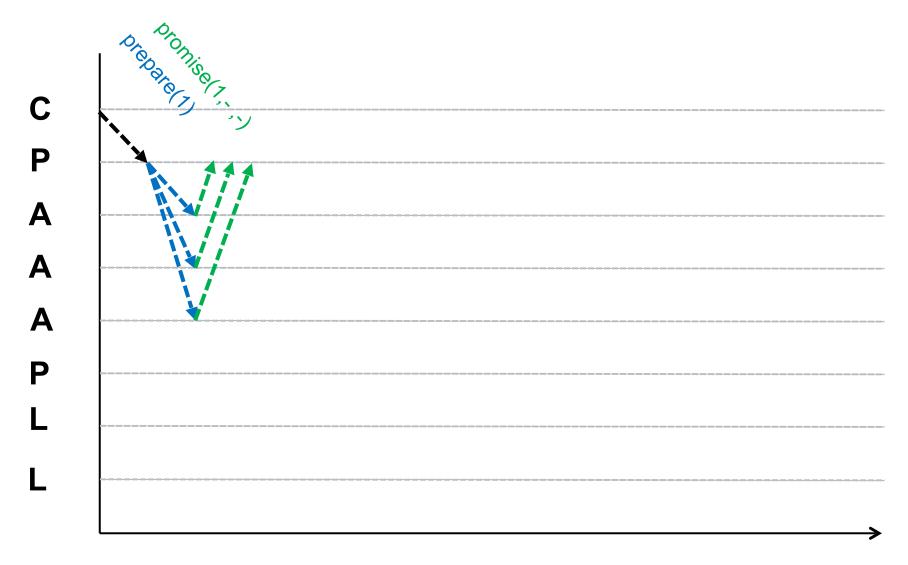
Basic Paxos: Failure in Phase 2

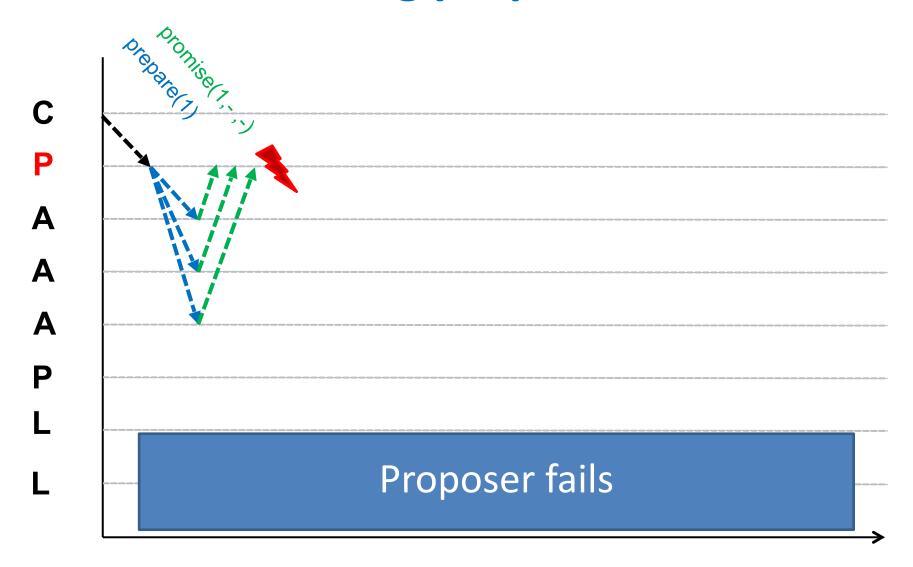


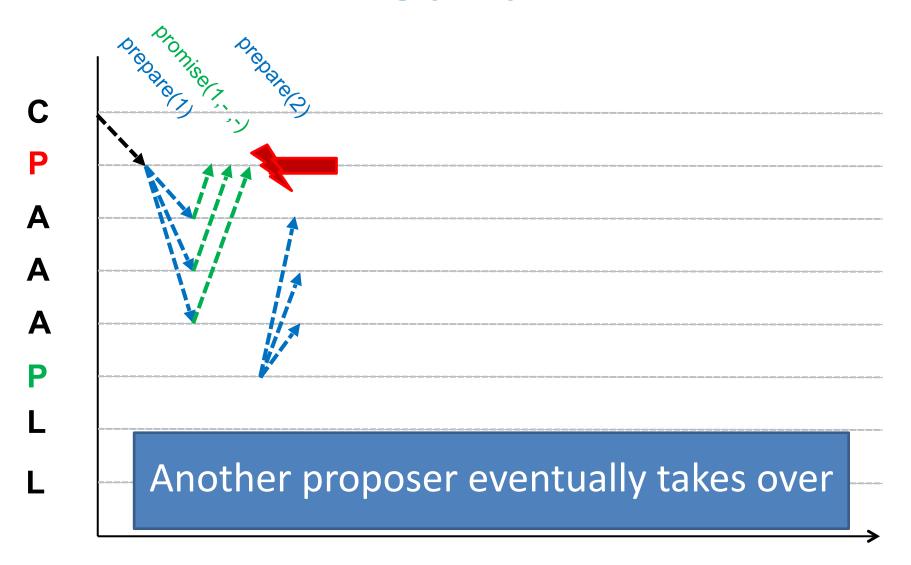
Basic Paxos: Dueling proposers

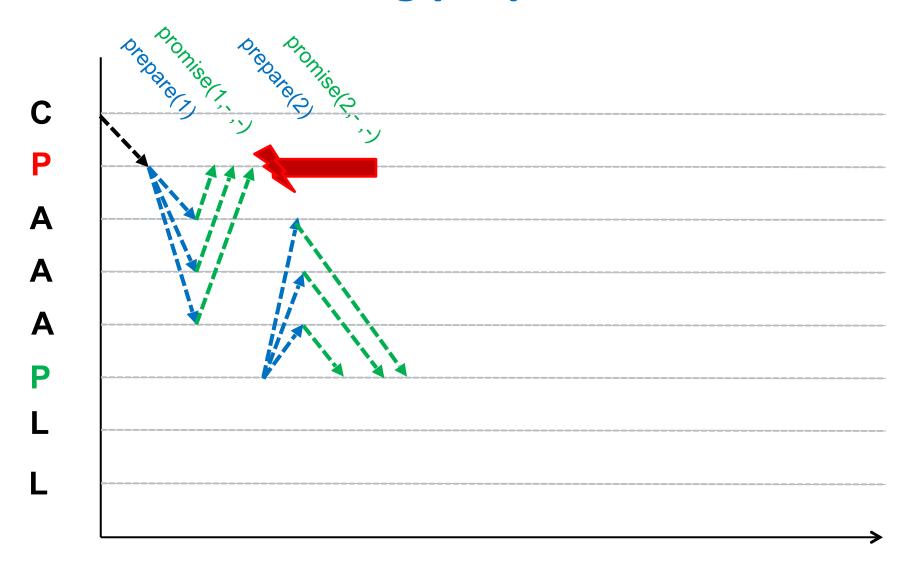


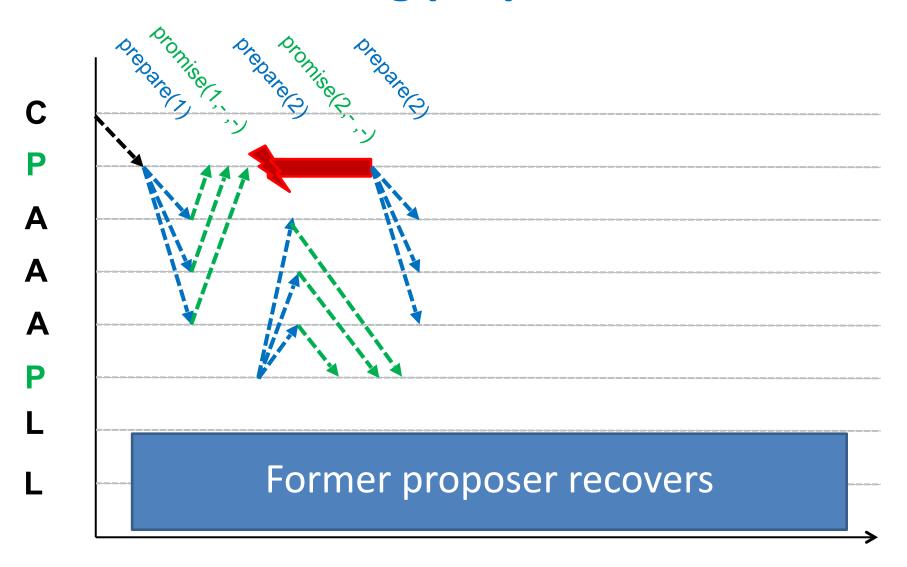


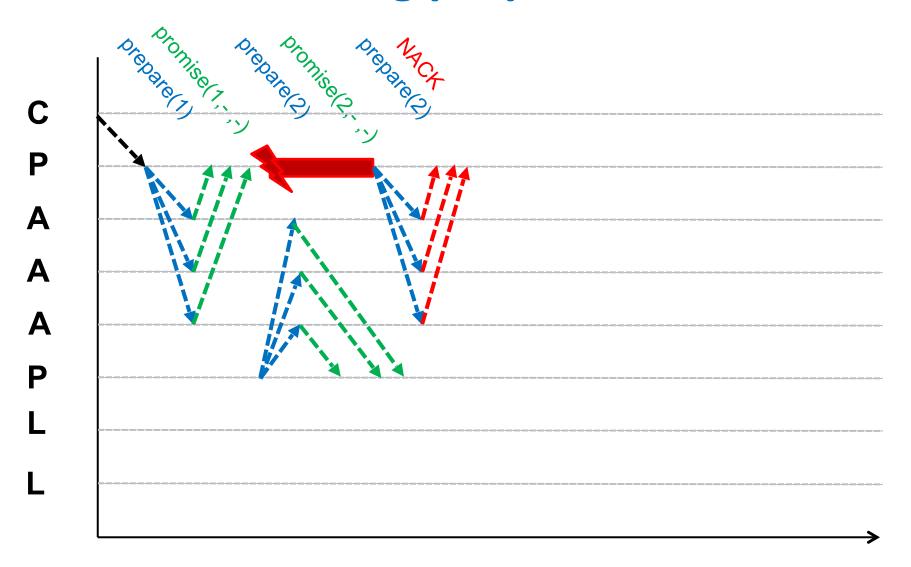


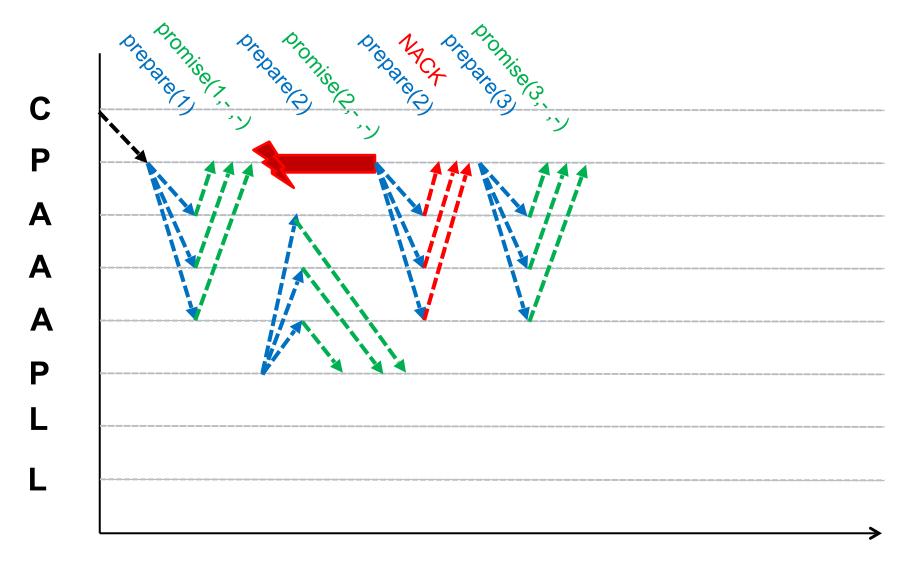


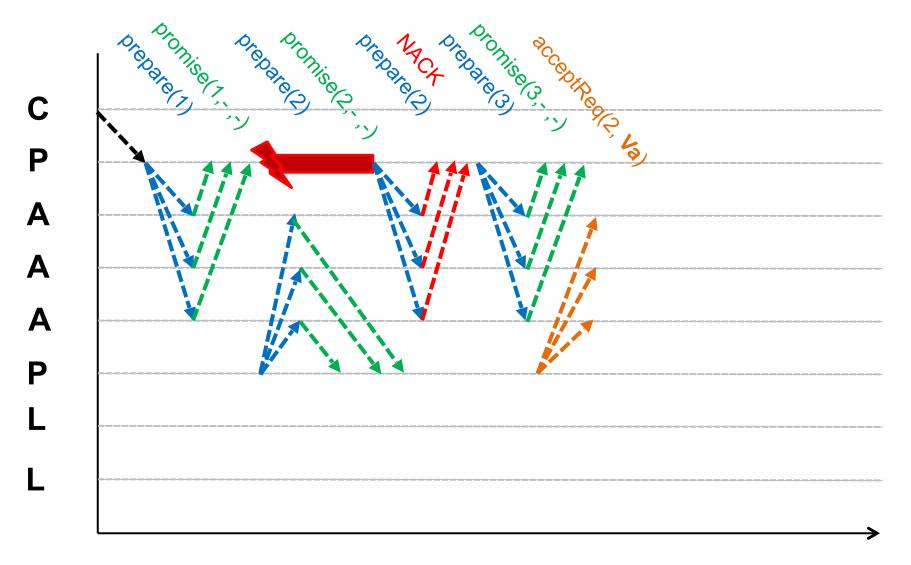


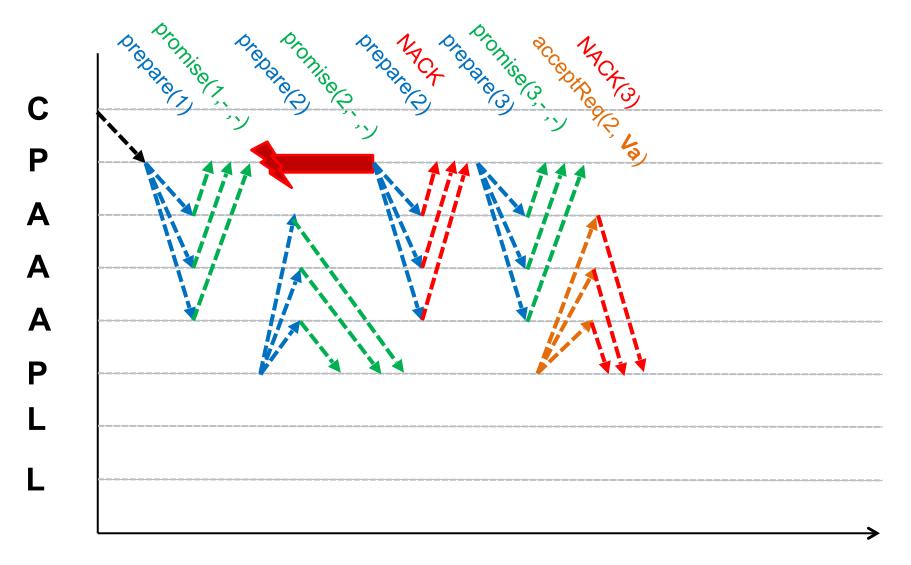


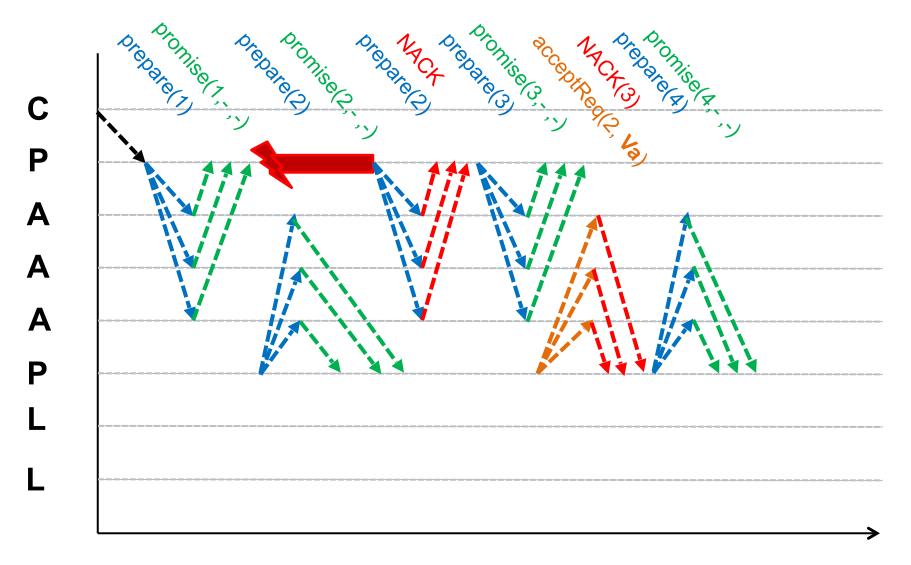


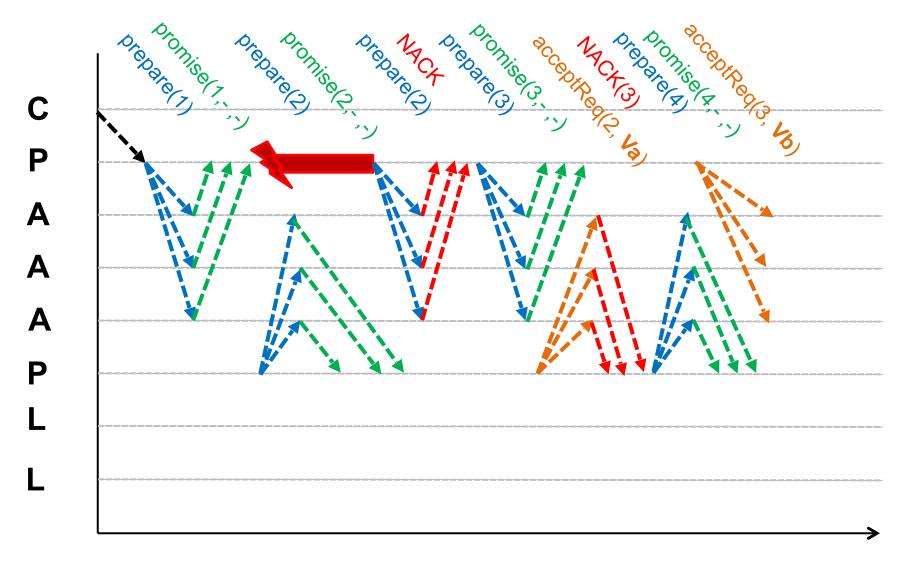


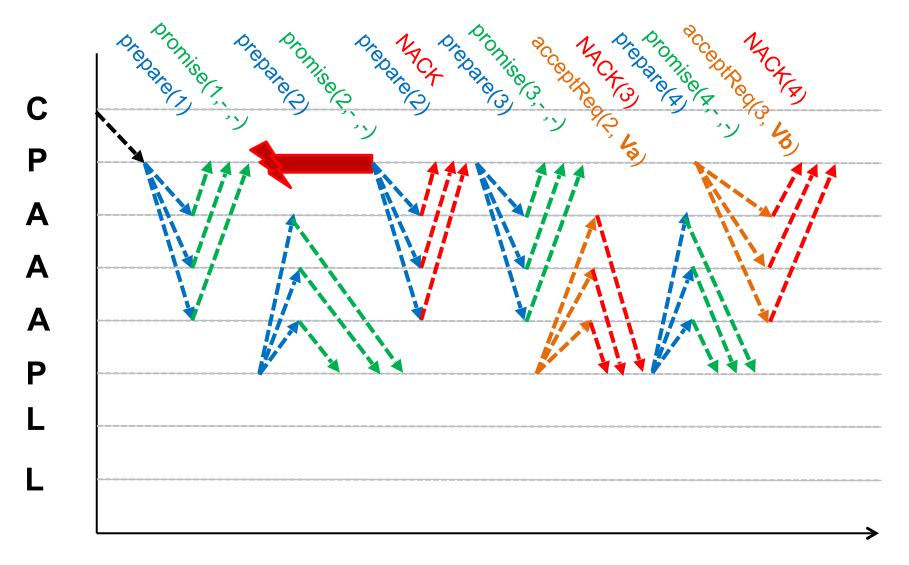


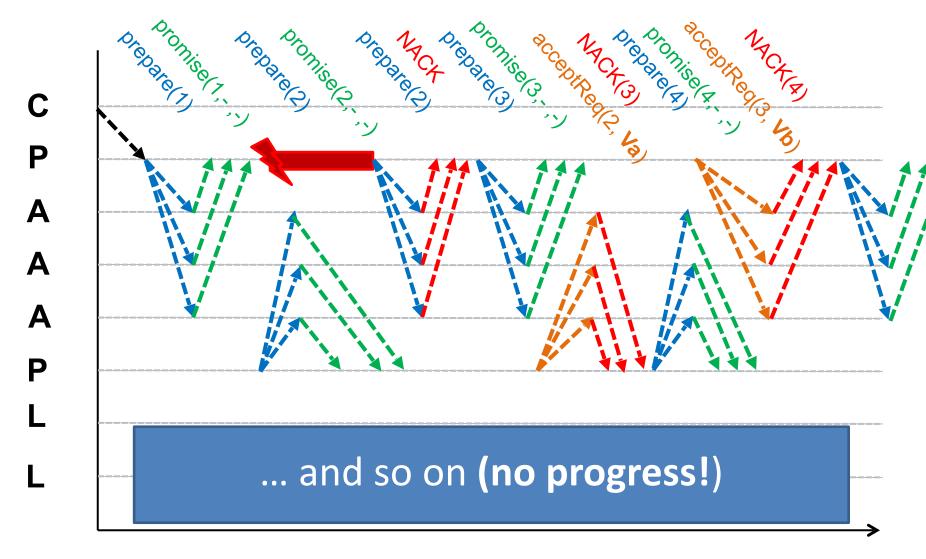






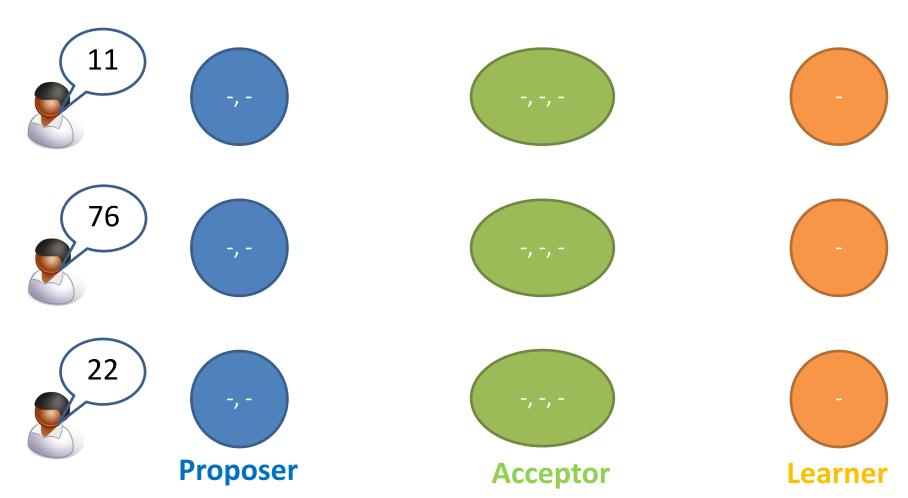






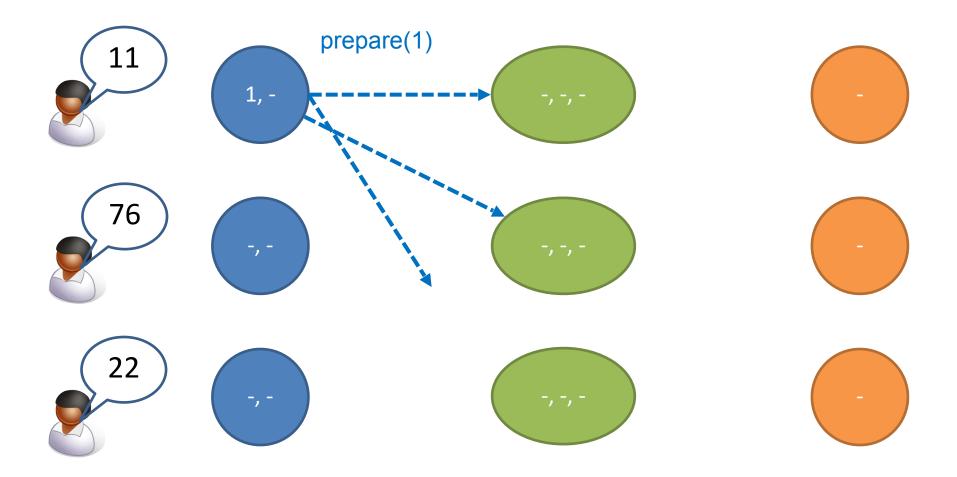
Basic Paxos: Communication failures

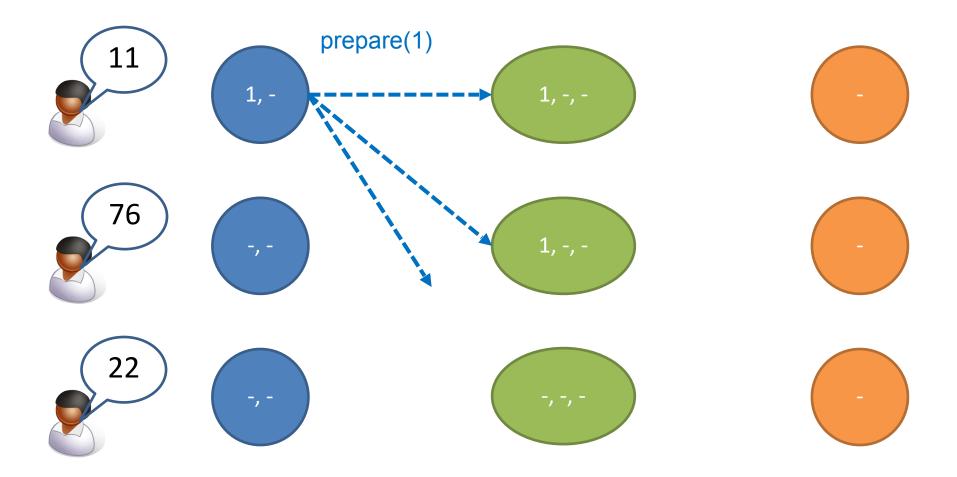


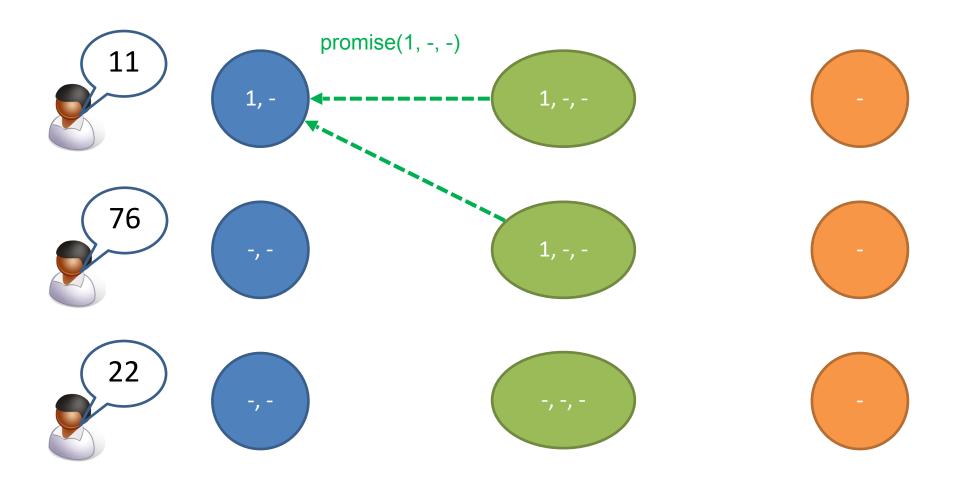


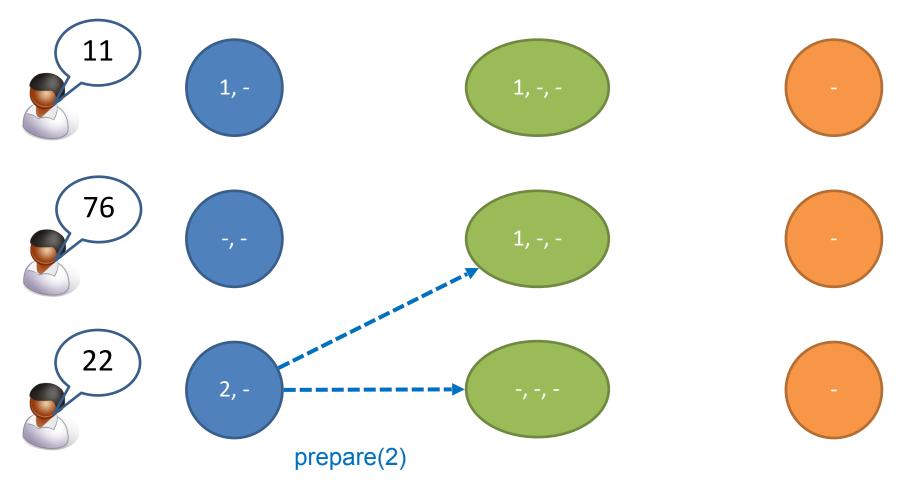
Quorum size is 2

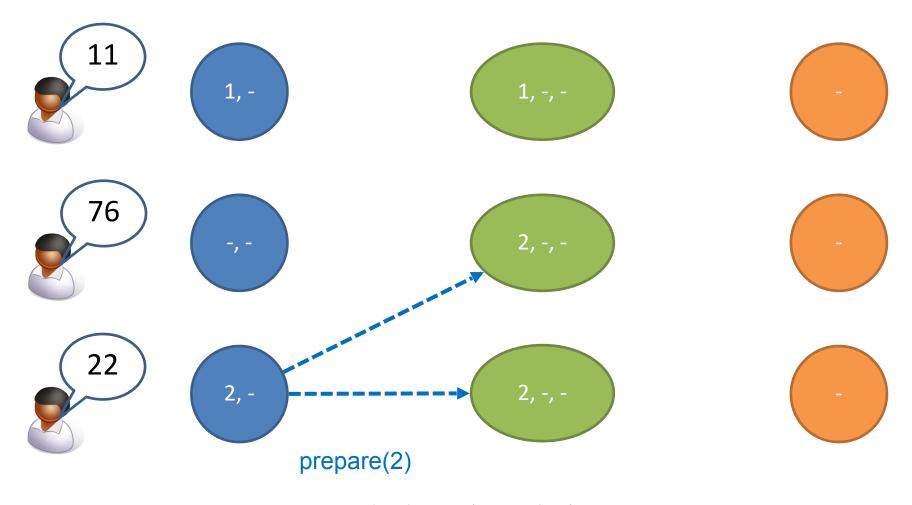
Distributed Systems (H.-A. Jacobsen)

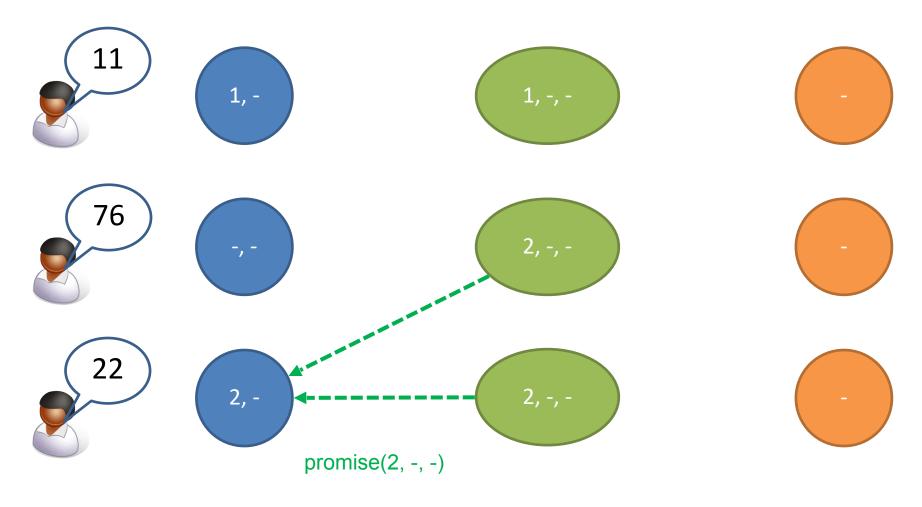


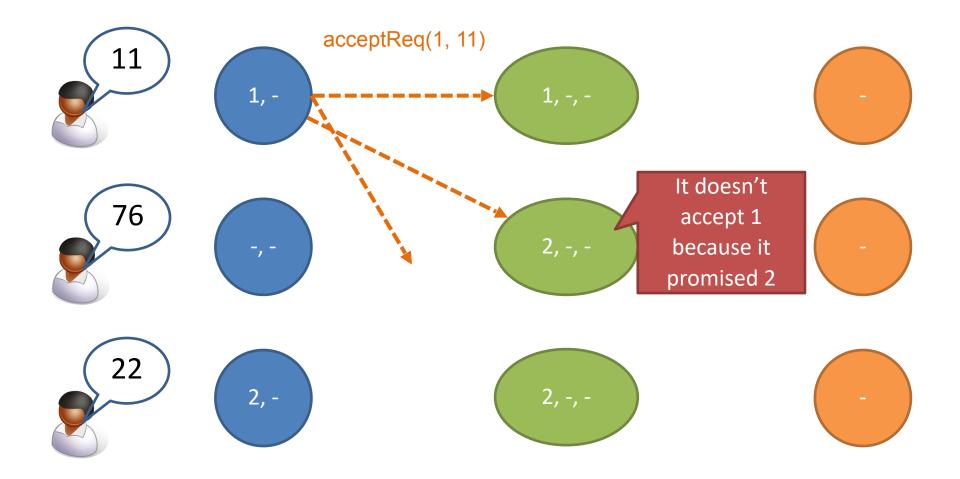


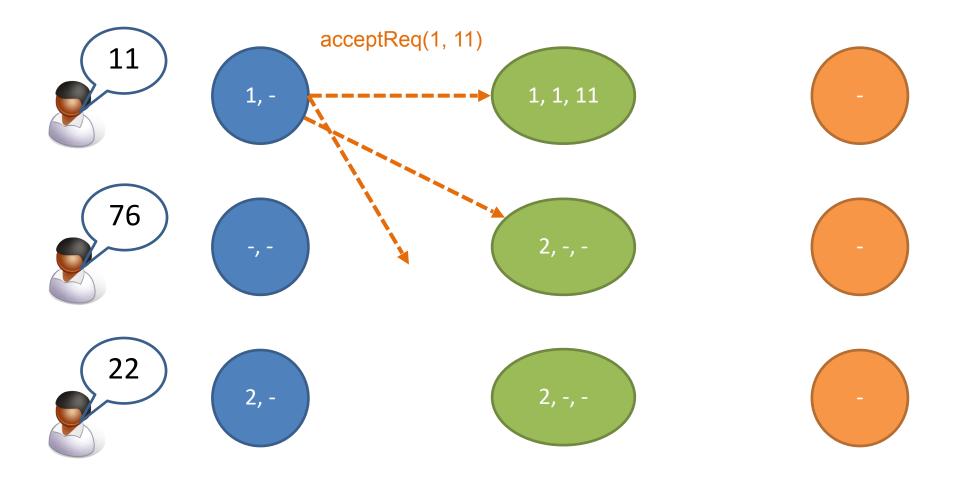




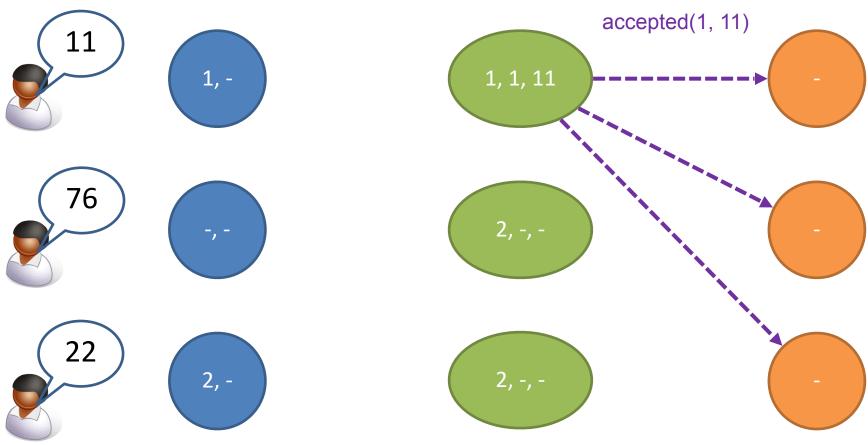


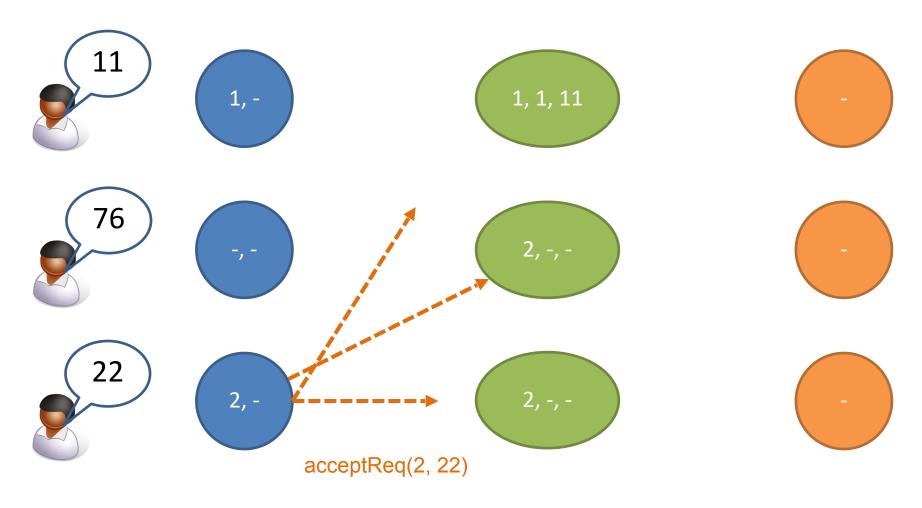


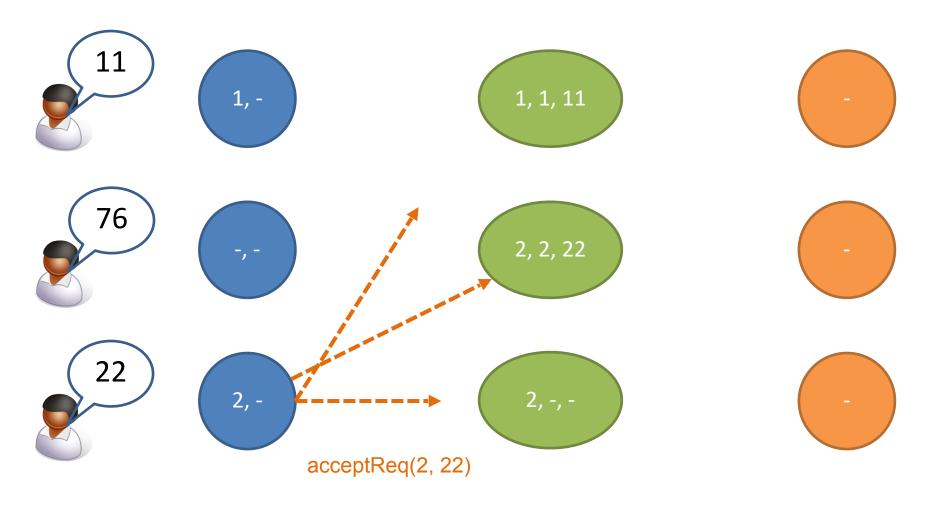




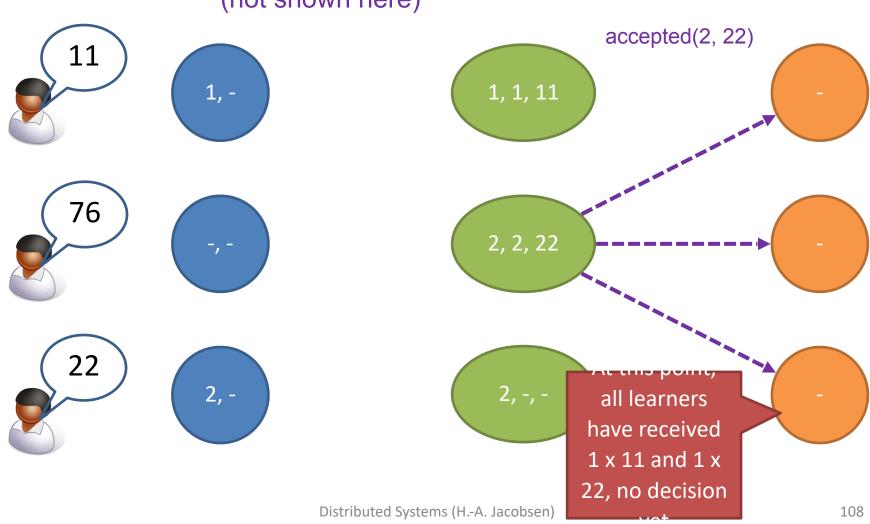
accepted(1, 11) message also send to all **proposers** (not shown here)

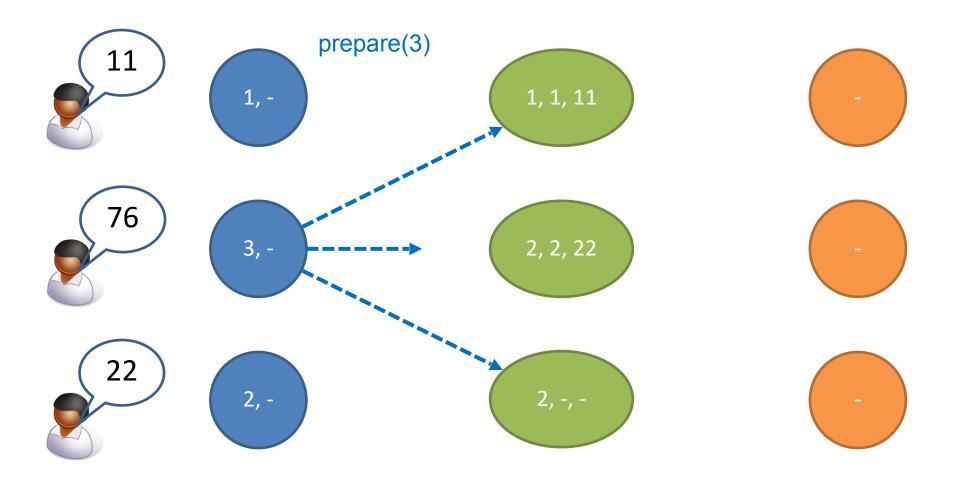


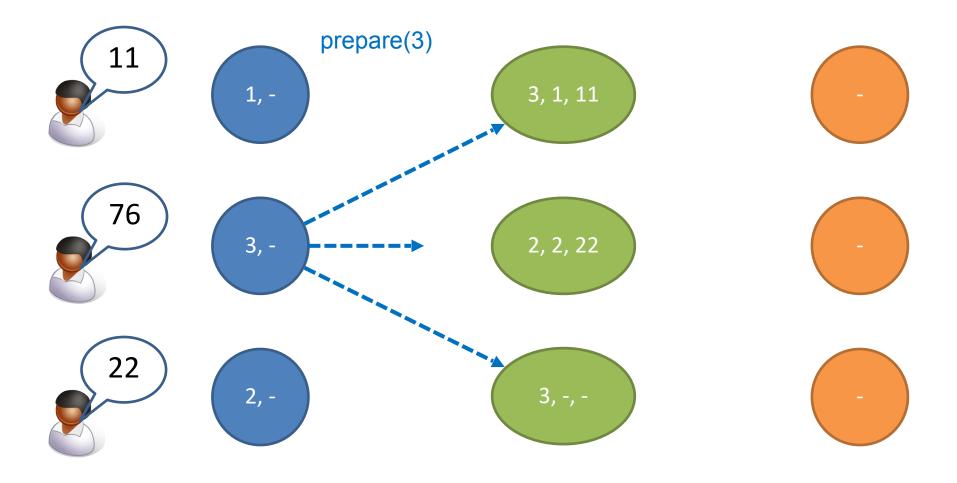


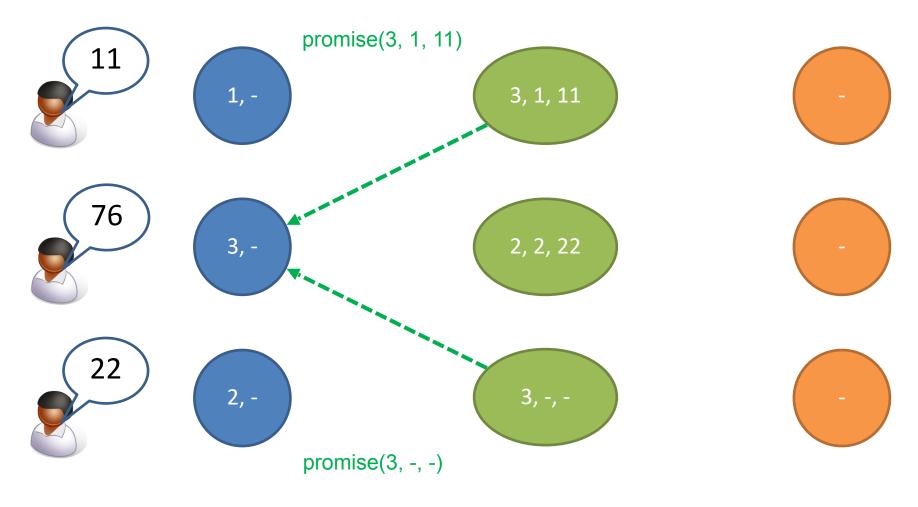


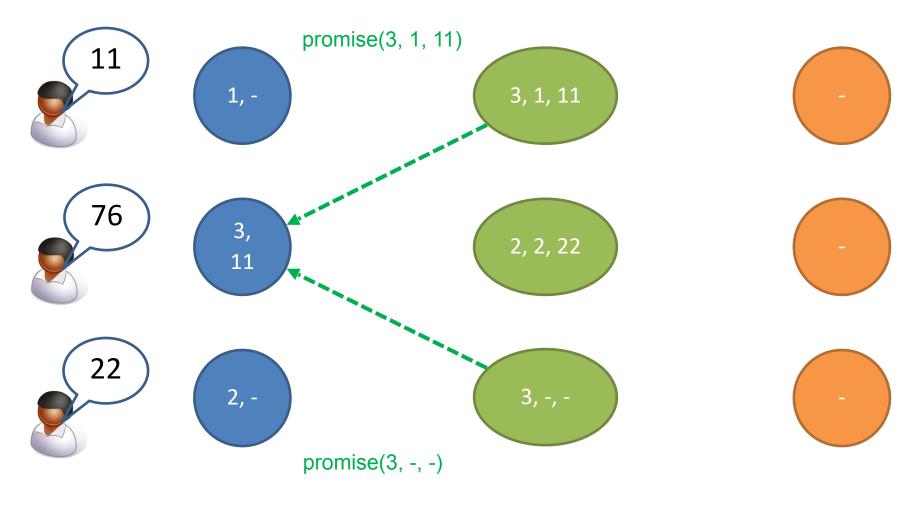
accepted(2, 22) message also send to all **proposers** (not shown here)

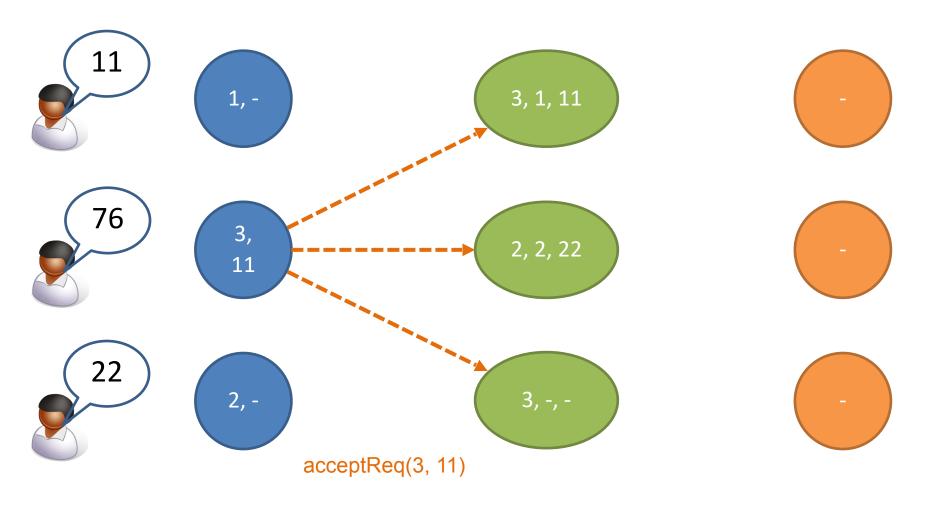


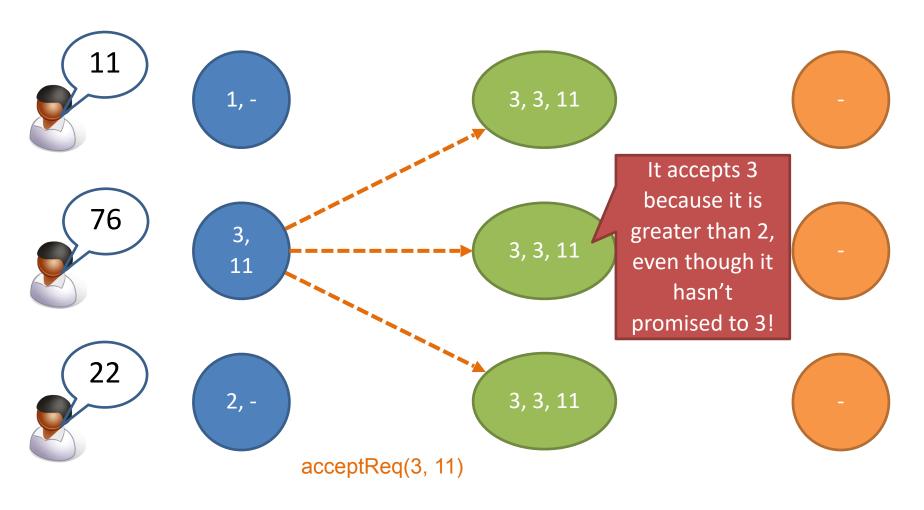


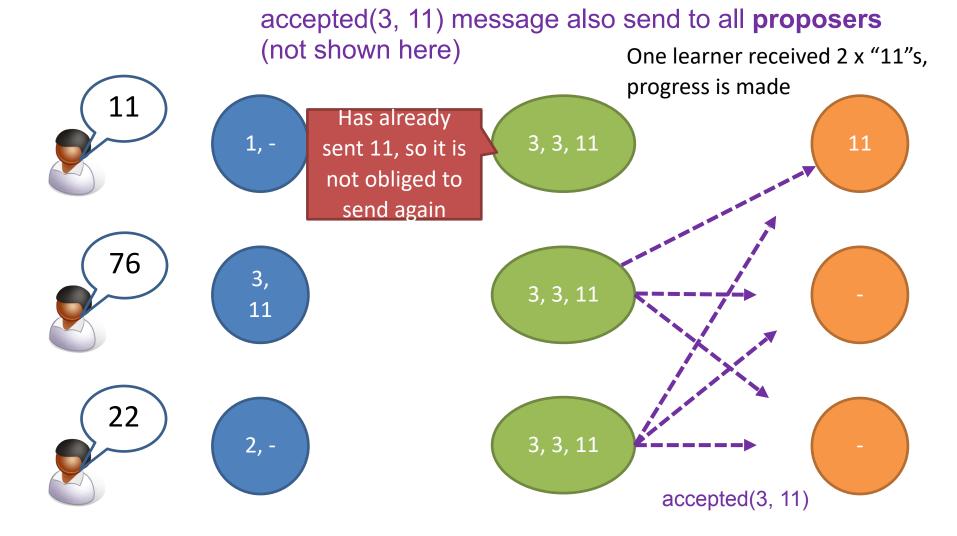


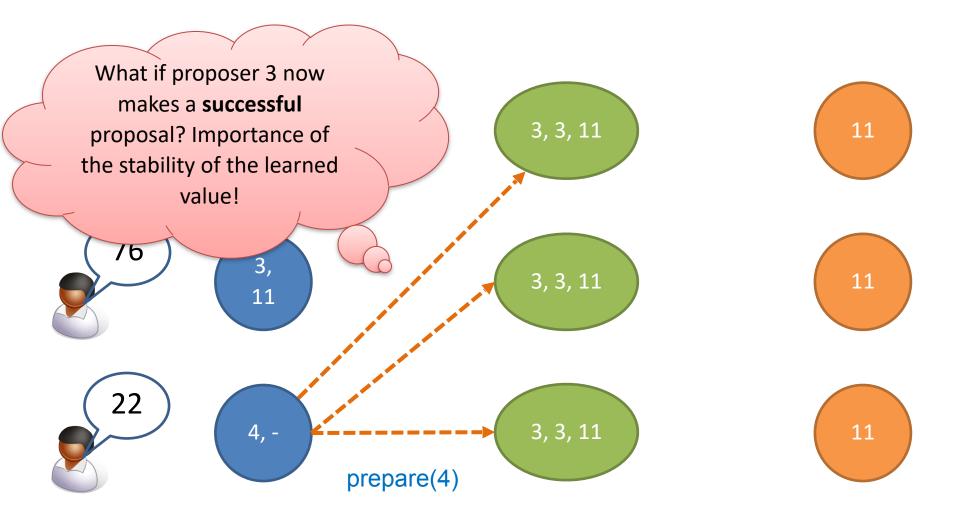












"Paxos family"

- Basic Paxos, Multi-Paxos, Cheap Paxos, Fast Paxos, Byzantine Paxos etc.
- Protocols with spectrum of trade-offs between
 - Number of processes
 - Number of message delays before learning the agreed value
 - Activity level of individual participants
 - Number of messages sent
 - Types of failures tolerated

Discussion

- Configuration management not addressed by Basic Paxos (n assumed fix in protocol instance)
- Roles are coalesced in practice, i.e., same node acts a proposer, acceptor and learner
- A client request that does not become the result (consensus value) of an instance of Paxos will have to be retried by the client

Summary

- Consensus in an asynchronous environment with failures and unreliable network assuming 2f+1 nodes
- Better than previously seen coordination algorithms
- Paxos guarantees safety, but progress may not hold
- Core mechanisms of Paxos are ordering using proposal numbers and quorum accepts without rollback (e.g., future proposals take older accepted values)
- Paxos is at the heart of Internet-scale systems deployed by major industry players (e.g., Chubby)
- Paxos protocol family has many members; here, Basic Paxos was reviewed (decides only on one value)