

# From a Mathematical Paper to Efficient Code

ASE 2017

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# Motivation

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# From a mathematical paper...

## Ouroboros Praos: An adaptively-secure, semi-synchronous proof-of-stake blockchain

Bernardo David\*, Peter Gazi\*\*, Aggelos Kiayias\*\*\*, and Alexander Russell†

October 6, 2017

**Abstract.** We present “Ouroboros Praos”, a proof-of-stake blockchain. The first time, provides security against *fully-adaptive cor setting*: Specifically, the adversary can corrupt any partition of the population of stakeholders at any moment as long as the set of honest stakeholders is an honest majority of stake; furthermore, the protocol tolerates message delivery delay unknown to protocol participants. To achieve these guarantees we formalize and realize in this paper a suitable form of forward secure digital signatures and a new construction that maintains unpredictability under malicious key generation. This provides a general combinatorial framework for the analysis of secure proof-of-stake blockchains. We prove our protocol secure under standard assumptions in the random oracle model.

### Protocol $\pi_{\text{SPoS}}$

The protocol  $\pi_{\text{SPoS}}$  is run by stakeholders  $U_1, \dots, U_n$  interacting among themselves and with ideal functionalities  $\mathcal{F}_{\text{INIT}}, \mathcal{F}_{\text{VRF}}, \mathcal{F}_{\text{KES}}, \mathcal{F}_{\text{DSIG}}, \mathcal{H}$  over a sequence of slots  $S = \{sl_1, \dots, sl_R\}$ . Define  $T_i \triangleq 2^{\ell_{\text{VRF}}(\phi_f(\alpha_i))}$  as the threshold for a stakeholder  $U_i$ , where  $\alpha_i$  is the relative stake of  $U_i$ ,  $\ell_{\text{VRF}}$  denotes the output length of  $\mathcal{F}_{\text{VRF}}$ ,  $f$  is the active slots coefficient and  $\phi_f$  is the mapping from Definition 1. Then  $\pi_{\text{SPoS}}$  proceeds as follows:

1. **Initialization.** The stakeholder  $U_i$  sends  $(\text{KeyGen}, \text{sid}, U_i)$  to  $\mathcal{F}_{\text{VRF}}$ ,  $\mathcal{F}_{\text{KES}}$  and  $\mathcal{F}_{\text{DSIG}}$ ; receiving  $(\text{VerificationKey}, \text{sid}, v_i^{\text{vrf}})$ ,  $(\text{VerificationKey}, \text{sid}, v_i^{\text{kes}})$  and  $(\text{VerificationKey}, \text{sid}, v_i^{\text{dsig}})$ , respectively. Then, in case it is the first round, it sends  $(\text{ver\_keys}, \text{sid}, U_i, v_i^{\text{vrf}}, v_i^{\text{kes}}, v_i^{\text{dsig}})$  to  $\mathcal{F}_{\text{INIT}}$  (to claim stake from the genesis block). In any case, it terminates the round by returning  $(U_i, v_i^{\text{vrf}}, v_i^{\text{kes}}, v_i^{\text{dsig}})$  to  $\mathcal{Z}$ . In the next round,  $U_i$  sends  $(\text{genblock\_req}, \text{sid}, U_i)$  to  $\mathcal{F}_{\text{INIT}}$ , receiving  $(\text{genblock}, \text{sid}, S_0, \eta)$  as the answer.  $U_i$  sets the local blockchain  $C = B_0 = (S_0, \eta)$  and its initial internal state  $st = H(B_0)$ .
2. **Chain Extension.** After initialization, for every slot  $sl_j \in S$ , every online stakeholder  $U_i$  performs the following steps:
  - (a)  $U_i$  receives from the environment the transaction data  $d \in \{0, 1\}^*$  to be inserted into the blockchain.
  - (b)  $U_i$  collects all valid chains received via diffusion into a set  $C$ , pruning blocks belonging to future slots and verifying that for every chain  $C' \in C$  and every block  $B' = (st', d', sl', B_{\pi'}, \sigma_{sl'}) \in C'$  it holds that the stakeholder who created it is in the slot leader set of slot  $sl'$  (by parsing  $B_{\pi'}$  as  $(U_s, y', \pi')$  for some  $s$ , verifying that  $\mathcal{F}_{\text{VRF}}$  responds to  $(\text{Verify}, \text{sid}, \eta \parallel sl', y', \pi', v_s^{\text{vrf}})$  by  $(\text{Verified}, \text{sid}, \eta \parallel sl', y', \pi', 1)$ , and that  $y' < T_i$ ), and that  $\mathcal{F}_{\text{KES}}$  responds to  $(\text{Verify}, \text{sid}, (st', d', sl', B_{\pi'}), sl', \sigma_{sl'}, v_s^{\text{kes}})$  by  $(\text{Verified}, \text{sid}, (st', d', sl', B_{\pi'}), sl', 1)$ .  $U_i$  computes  $C' = \text{maxvalid}(C, C)$ , sets  $C'$  as the new local chain and sets state  $st = H(\text{head}(C'))$ .
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Fig. 4: Protocol  $\pi_{\text{SPoS}}$ .

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• written in  
English

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- written in English
- written by Mathematicians

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- very abstract

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## ...to efficient code

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235 -- CHECK: @verifyEncShare
236 -- | Verify encrypted shares
237 verifyEncShares
238     :: MonadRandom m
239     => SecretProof
240     -> Scrape.Threshold
241     -> [(VssPublicKey, EncShare)]
242     -> m Bool
243 verifyEncShares SecretProof{..} threshold (sortWith fst -> pairs)
244     | threshold <= 1      = error "verifyEncShares: threshold must be > 1"
245     | threshold >= n - 1 = error "verifyEncShares: threshold must be < n-1"
246     | otherwise =
247         Scrape.verifyEncryptedShares
248             spExtraGen
249             threshold
250             spCommitments
251             spParallelProofs
252             (coerce $ map snd pairs) -- shares
253             (coerce $ map fst pairs) -- participants
254 where
255     n = fromIntegral (length pairs)
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## ...to efficient code

- written in Haskell

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## ...to efficient code

```
235 -- CHECK: @verifyEncShare
236 -- | Verify encrypted shares
237 verifyEncShares
238     :: MonadRandom m
239     => SecretProof
240     -> Scrape.Threshold
241     -> [(VssPublicKey, EncShare)]
242     -> m Bool
243 verifyEncShares SecretProof{..} threshold (sortWith fst -> pairs)
244     | threshold <= 1      = error "verifyEncShares: threshold must be > 1"
245     | threshold >= n - 1 = error "verifyEncShares: threshold must be < n-1"
246     | otherwise =
247         Scrape.verifyEncryptedShares
248             spExtraGen
249             threshold
250             spCommitments
251             spParallelProofs
252             (coerce $ map snd pairs) -- shares
253             (coerce $ map fst pairs) -- participants
254 where
255     n = fromIntegral (length pairs)
```

- written in Haskell
- written by Software Engineers
- efficient code

# From a mathematical paper to efficient code

- Starting point for our software is a *mathematical* paper written by *mathematicians* in *plain English*.<sup>1</sup>

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## Question

How can we guarantee that the code we deploy faithfully translates the algorithms described in the original paper?

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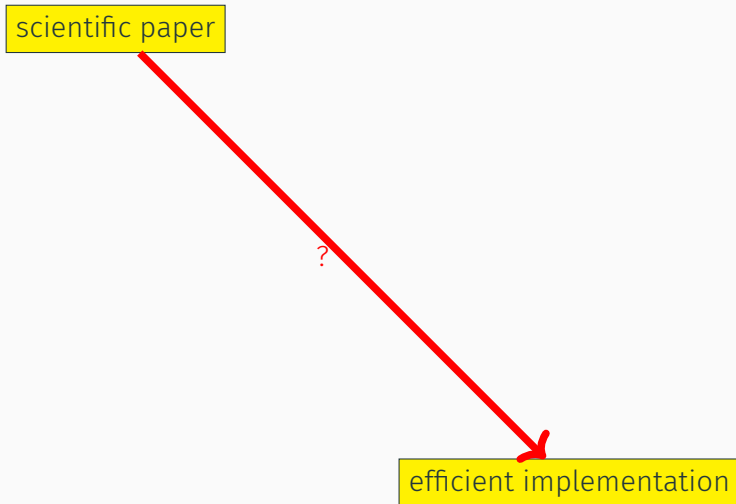
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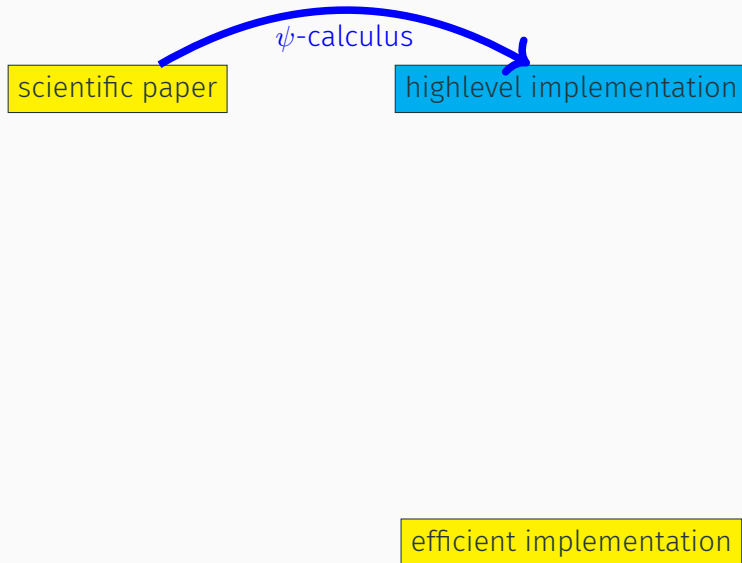
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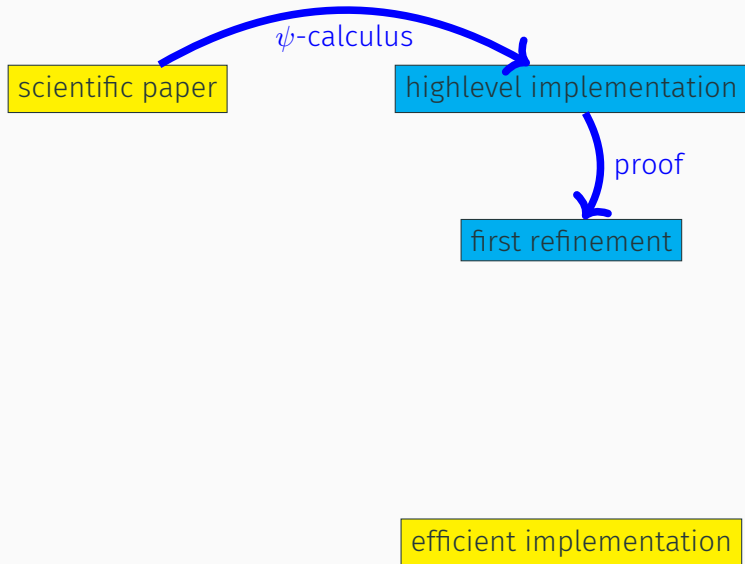
There is a lot at stake:

- We at IOHK are very proud of the quality of our research branch. We want to ensure this quality translates into equal quality of our software.
- Literally hundreds of millions of dollars are managed by our code. A single mistake can be extremely costly.
- Apart from these, we are interested in developing best practices that can be applied to a wide range of domains, pushing the envelope of what is possible and practicable.

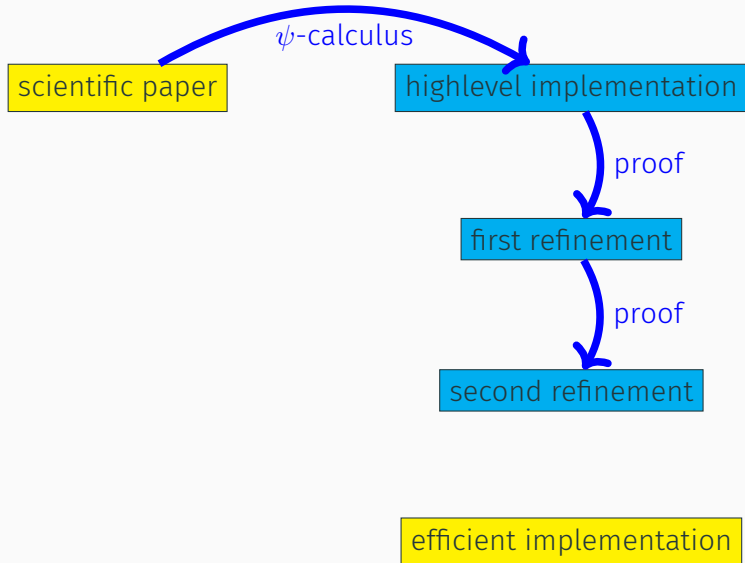




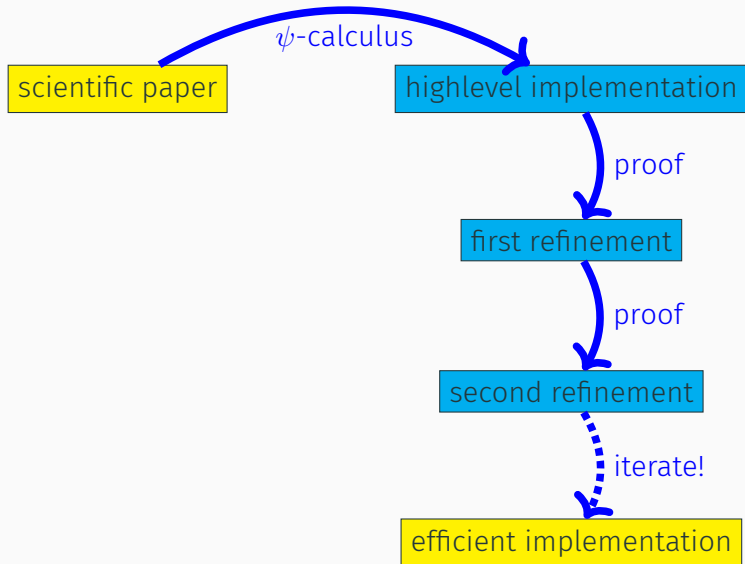
# Idea



# Idea







# The $\psi$ -Calculus

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## From $\lambda$ -calculus...

The (untyped)  $\lambda$ -calculus was created by Alonzo Church in the 1930s.

It is like a "universal assembly" language for functional programming.

Very simple, only three constructs:

- variables:  $x$ ,
- lambda-abstractions:  $\lambda x.M$  and
- function application:  $MN$ .

The  $\lambda$ -calculus is Turing complete.

### Example

In the  $\lambda$ -calculus, the identity function is  $\lambda x.x$ . The function  $\lambda x.(\lambda y.x)$  maps an  $x$  to the constant function of value  $x$ .

## ...via $\pi$ -calculus...

The  $\lambda$ -calculus is great for modelling sequential (functional) programs, but unsuitable for the description of **distributed** systems.

The  **$\pi$ -calculus** (Robin Milner, 1999) is for distributed systems what the  $\lambda$ -calculus is for sequential ones.

Where "everything is a function" in  $\lambda$ -calculus, "everything is a process" in  $\pi$ -calculus. There are six simple constructs in  $\pi$ -calculus:

- running two processes concurrently:  $P \mid Q$ ,
- waiting for a message on a channel:  $c(x).P$ ,
- sending a message over a channel:  $\bar{c}\langle x \rangle.P$ ,
- replicating a process forever:  $!P$ ,
- creating a new channel:  $(\nu x)P$  and
- doing nothing:  $0$ .

## ...and $\psi$ -calculus...

In  $\pi$ -calculus, both channels and messages belong to the same type of **names**.

Even though  $\pi$ -calculus is very powerful (it can emulate  $\lambda$ -calculus and is in particular Turing-complete), many extensions have been suggested and studied (polyadic  $\pi$ -calculus, spi-calculus,...).

The  **$\psi$ -calculus** (Bengtson et al., 2011) allows (almost) arbitrary datatypes to be used as channels and messages.

In addition to the constructions from  $\pi$ -calculus, it offers

- **conditions**:  $\varphi$ ,
- **case-analysis**:  $\text{case } \varphi_1 : P_1 \square \varphi_2 : P_2 \square \dots$  and
- **assertions**:  $(\psi)$ .

The  $\psi$ -calculus is powerful enough to contain  $\pi$ -calculus and its popular extensions as special cases.

## ...to $\psi$ -calculus with broadcast

There is an extension of the  $\psi$ -calculus that allows **broadcasting** messages (Borgström et al., 2011):

- **broadcast input**:  $? \underline{K}N$  and
- **broadcast output**:  $! \bar{K}N$ .

This version of the  $\psi$ -calculus is flexible and powerful enough to allow a straightforward translation of (cryptographic) protocols.

There is tool support for proving properties of  $\psi$ -processes.

The calculus can also be embedded into Haskell to create programs that can actually be run.

# Example protocol

A cryptographic protocol like [Ouroboros Praos](#) (David et al., 2017) can then be translated into high-level Haskell that cryptographers can understand:

```
mainLoop :: SlotNumber -> SPsi BcState BcMsg ()
mainLoop sl = do
  (mmsg, _) <- bInp timeout
  case mmsg of
    Nothing          -> mainLoop sl
    Just (BcChain c) -> do
      isValid <- gets $ verifyAndPrune sl c
      case isValid of
        Right c' -> modify $
          \ s -> s {bcRecvChains = c' : bcRecvChains s}
        Left _    -> return ()
      mainLoop sl
  Just (BcEndSlot nextSlot) -> do
    modify bcPickMaxValid
    when (firstInEpoch nextSlot) $
      modify $ updateGenesis (epochNumber nextSlot)
    startOfSlot (slotNumber nextSlot)
```

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Using  $\psi$ -calculus tools or other formal methods, each refinement has to be proven correct.

In the end, we get an uninterrupted chain from scientific paper to efficient code.

Thank you for your attention!

Do you have any questions?