A Quasi-Genuine FIFO Total Order Multicast Primitive

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Abstract

1 Introduction

Some multicast primitives have been devised in a such a way that multicast groups needed to communicate only when they had messages to exchange. These multicast primitives are called *genuine*. We argue that it is possible, however, to devise a multicast primitive that, although not genuine, can make use of some knowledge given by the application to figure out which groups *can* communicate with a given group. With such knowledge, although message exchanges take place even when there is no application message being transmitted between some two groups, such exchanges happen only when they are able to send to – or receive from – one another. The primitive that makes use of such property we call *quasi-genuine*.

2 System model and definitions

We assume a system composed of nodes distributed over a geographical area. Nodes may fail by crashing and subsequently recover, but do not experience arbitrary behavior (i.e., no Byzantine failures). Communication is done by message passing, through the primitives send(p, m) and receive(m), where p is the addressee of message m. Messages can be lost but not corrupted. If a message is repeatedly resubmitted to a *correct node* (defined below), it is eventually received.

Our protocols ensure safety under both asynchronous and synchronous execution periods. The FLP impossibility result [2] states that under asynchronous assumptions consensus cannot be both safe and live. We thus assume that the system is initially asynchronous and eventually becomes synchronous. The time when the system becomes synchronous is called the $Global\ Stabilization\ Time\ (GST)$ [1], and it is unknown to the nodes.

Before GST, there are no bounds on the time it takes for messages to be transmitted and actions to be executed. After GST, such bounds exist but are unknown. After GST nodes are either *correct* or *faulty*. A correct node is operational "forever" and can reliably exchange messages with other correct nodes. This assumption is only needed to prove liveness properties about the system. In practice, "forever" means long enough for one instance of consensus to terminate.

3 Quasi-genuine Global FIFO Multicast

Genuine multicast protocols are those where two multicast groups only communicate with each other when one has some message to send to the other. A quasi-genuine multicast protocol assumes that:

A1: every group knows from which other groups a multicast message can possibly arrive, and to which other groups it can send a multicast message.

In a quasi-genuine multicast protocol, different groups communicate with each other even if there is no message to be sent from one to the other, but, from A1, there is no need for a group g_i to communicate with some other group g_j which cannot send messages to g_i , or receive messages from g_i^{-1} . This information may be given by the

¹This relation may even be asymmetric: it could be possible to send a message from group g_i to g_j , but not in the opposite direction. In this case, in a protocol where a group is blocked waiting for possible messages from other groups, g_j may block its delivery of messages waiting for some kind of "clearance" from g_i , but g_i will never block waiting for messages from g_j .

application which is making use of such primitive, so, although not genuine, a quasi-genuine protocol does not imply that each group has to keep sending messages to every other group.

We define sendersTo(G) as the set of groups which are able to send a message to G. Also, we define receiversFrom(G) as the set of groups who are able to receive a message from G.

As messages are delivered according to their generation time, the delivery order is FIFO. As every two messages which are delivered in different groups should be delivered in the same order in these groups, we need total order. For the formal definition of the properties of the algorithm, assuming a crash-stop model, we have:

Uniform Validity: if a process QGFTO-Mcasts m, then one of the correct processes that is a destination of m eventually QGFTO-Delivers m.

Uniform Agreement: if a process QGFTO-Delivers m, then every correct process that is a destination of m also QGFTO-Delivers m.

Uniform Integrity: for any message m, every correct process p QGFTO-Delivers m at most once, and only if some process executed QGFTO-Mcast(m) and p is one of m's destinations.

Uniform Total Order: if processes p and p' both QGFTO-Deliver m and m', then p QGFTO-Delivers m before m' if and only if p' QGFTO-Delivers m before m'.

FIFO Order: if a correct process QGFTO-Mcasts m before it QGFTO-Mcasts m', then no correct process that is a destination of both m and m' QGFTO-Delivers m', unless it has previously QGFTO-Delivered m.

Here, we consider that there are several processes. Each process p belongs to a group G = group(p), that is, $p \in G = group(p)$.

3.1 Message delivery

Each message m has a source group m.src, a set of destination groups m.dst and a timestamp m.ts. Note that, by abuse of notation, we have 'process $p \in m.dst$ ' instead of ' \exists group $G \in m.dst$: process $p \in G$ '. The total order delivery of messages in a group can be solved by using consensus. Each consensus instance agrees upon some message set as the next ones to be delivered – messages within the same set are told apart by the timestamp m.ts applied by the process which created them; to solve timestamp collisions, the unique id of the sender process can be used. If processes send messages to each other using FIFO reliable channels, and after receival, messages are proposed via consensus in the order in which they are received, the FIFO delivery order is ensured.

The complicating factor is the possibility of a message having at least one destination group different from its source group. So, all involved groups must somehow agree regarding the delivery order of these messages. However, from assumption A1, each group knows which other groups it could send messages to – or receive messages from. We can use this by defining barriers for multicast, such that $barrier(G_{send}, G_{recv}) = t$ means that the group G_{send} promised that it would send no more messages with a timestamp lower than t to group G_{recv} . We have defined that $sendersTo(G) = \{G': G' \text{ is able to send a message to } G\}$. When a process p, from group G, has received all the barrier values from all the groups in sendersTo(G), and they are all greater than a value t, then p knows that no more messages with timestamp lower than t are coming from other groups and that, once the local ordering (the ordering of messages originated in G) is done, all the messages with timestamp up to t can be delivered. Besides, a barrier is sent along with the bundle of all messages with timestamp greater than the last previous barrier sent from G_{send} to G_{recv} , so that when a process has received a barrier from a group, it means that it knows all the messages sent by that group until the time value stored in that barrier.

As mentioned before, we use consensus to deliver messages. Consider that each consensus instance I from each group I.grp receives a monotonically increasing unique integer identifier, without gaps, that is, for any two instances I_i and I_k , such that $I_i.grp = I_k.grp$, if $I_i.id + 1 < I_k.id$, there is necessarily an instance $I_j: I_i.grp = I_j.grp = I_k.grp \wedge I_i.id < I_j.id < I_k.id$. No group runs two consensus instances in parallel: before initiating an instance of id k+1 each process checks whether the instance k has already been decided, so some messages may wait to be proposed. When a process is allowed to initiate a new consensus instance, the pending messages may be proposed as a batch.

There are three possibilities for each message m, in the perspective of a process p of G:

• The message m was originated in G, which is the only destination of m:

In this case, when m is received by p, p checks whether the latest consensus instance I_{prev} in which it participated, or is trying to start, has already been decided – if not, p enqueues m in a propPending queue as the next message being proposed by it, so other tasks can keep being executed. Then, once I_{prev} has been decided, p may start a new instance. Before that, all messages in propPending that have been already decided are discarded from propPending. The rest is proposed as a batch in the consensus instance. Once m is decided, it is not immediately delivered to the application. Instead, it is inserted in a barPending list

for later being delivered, which will happen once every group G' in sendersTo(G) has already sent a message barrier(G',G) = t, such that t > m.ts. This is done because there could be a message m' yet to come from another group G', such that m'.ts < m.ts.

- When m is originated in G, but it has at least one group other than G as a destination:
 - In this case, when m is received, p tries to initiate a consensus instance within G to decide m. If p cannot start the proposal now, m is enqueued in propPending for being proposed later along with other pending messages. Then, once p may start a new instance, all messages in propPending that have been already decided are discarded from propPending. The rest is proposed as a batch in the new consensus instance. Once any message m is decided, if $G \in m.dst$, m is inserted in the barPending list. Besides, when m is decided, p sends m to every p': $(\exists G' \in m.dst \setminus \{G\}) \land (p' \in G')$. When m is received by each $p' \in G'$, p' checks whether it has ever inserted m in its own barPending list. If not, p' inserts m into barPending and adjusts barrier(G, G') to m.ts. To ensure that, once a message m is received from another group G, every message m' : m'.ts < m.ts also from G has already been received, every message is sent through a lossless FIFO channel².
- When G is one of the destinations of m, but m was originated in some other group G': In this case, when m is received for the first time³ by p, m is inserted into the barPending list of p and the value of barrier(G', G) is set to m.ts.

The messages in the barPending list are always sorted in ascending order of their timestamps. When the first message m, in the barPending list of a process p : group(p) = G, is such that m.ts < barrier(G, G') for all $G' \in sendersTo(G)$, then m is conservatively delivered by p to the application as the next message. We claim that this delivery respects the FIFO total order⁴.

A more formal description of the protocol is given in Algorithm 1. We consider that three primitives are given: getTime(), which returns the current value of the local wallclock; Propose(k, val), which proposes a value val for the consensus instance of id k within its group; and also Decide(k, val), which is called when the consensus instance of id k finishes. Decide(k, val) is called for all the processes of the group that initiated it, when they learn that the value val has been agreed upon in instance of id k. For the sake of simplicity, we assume that, for consensus instances within the same group, the values are decided in the same order of the instances id's⁵. Finally, we also use a FIFO reliable multicast primitive FR-MCast(m, groupSet), which FR-Delivers m to all the processes in all the groups in groupSet in one communication step, in FIFO order (e.g. the one described in [?]).

Moreover, each process p of group G keeps some lists of messages:

- propPending, containing the messages waiting to be proposed by p;
- barPending, with the messages ready to be QGFTO-Delivered, but which may be waiting for barriers from the groups in sendersTo(G);
- decided, which contains the messages that have already been proposed and decided within group(p);
- delivered, which contains the messages that have been QGFTO-Delivered already.

Something that must be noticed is that some messages might not have their source groups as a destination. Anyway, each message m of this type still has to be agreed upon in its group of origin G, so that its order among other messages from G may be decided and m will be retrievable, even in the presence of failures.

Assuming δ as the communication delay between every pair of processes, the time needed to decide a message m after it has been QGFTO-Mcast by some process is equal, in the worst case, to $\delta + 2T_{cons}$, where δ is the time needed to FR-Deliver a message and T_{cons} is the time needed to execute a consensus instance. This value is counted twice because m may have been inserted into propPending right after a consensus instance has been initiated. In that case, m would have to wait such consensus to finish, to be then proposed and finally decided. However, it may also happen that m has been inserted into propPending right before some proposal has been made, so it would take only $\delta + T_{cons}$ to decide m. As m may go into propPending anytime between the worst and the best case with the same probability, the average time needed for deciding m would be equal to $\delta + 1.5T_{cons}$. Nevertheless, the time needed to finally QGFTO-Deliver m will depend on when barriers are received from other groups.

²An ordinary TCP connection would be enough to provide such FIFO lossless channel.

³Multiple processes may have sent m. To ensure integrity and order, only the first delivery is considered.

⁴Proof needed.

⁵This can be easily done by delaying the callback of Decide(k, val) while there is some unfinished consensus instance of id k': k' < k from the same group.

Algorithm 1 QGFTO-Mcast(m) – executed by every process p from group G

```
1: Initialization
       k \leftarrow 0, nextProp \leftarrow 0, decided \leftarrow \emptyset, delivered \leftarrow \emptyset, propPending \leftarrow \emptyset, barPending \leftarrow \emptyset
       for all G' \in sendersTo(G) do
 3:
          barrier(G',G) \leftarrow -\infty
 4:
 5: To send a message m - QGFTO-Mcast(m)
       m.ts \leftarrow getTime()
 6:
                                                                                            \{current \ wallclock \ value \ as \ the \ timestamp \ of \ m\}
       FR-MCast(m,\{G\})
 7:
    When FR-Deliver(m')
       if G = m'.src then
 9:
          propPending \leftarrow propPending \cup \{m'\}
10:
       else if m' \notin barPending \land m' \notin delivered then
11:
          barPending \leftarrow barPending \cup \{m'\}
12:
          barrier(m'.src, G) \leftarrow m'.ts
13:
14: When \exists m \in propPending \land nextProp = k
15:
       propPending \leftarrow propPending \setminus decided
16:
       if propPending \neq \emptyset then
          nextProp \leftarrow k+1
17:
          Propose(k, propPending)
18:
19: When Decide(k, msqSet)
20:
       decided \leftarrow decided \cup msgSet
21:
       for all m \in msgSet : G \in m.dst do
          barPending \leftarrow barPending \cup \{m\}
22:
       while \exists m \in msgSet : (\forall m' \in msgSet : m \neq m' \Rightarrow m.ts < m'.ts) do
23:
          FR-MCast(m,m.dst \setminus \{G\})
24:
25:
          msgSet \leftarrow msgSet \setminus \{m\}
                                                                                   {the messages are sent in ascending order of timestamp}
26:
       nextProp \leftarrow k+1
       k \leftarrow k + 1
27:
28: When \exists m \in barPending : \forall G' \in sendersTo(G) : m.ts < barrier(G', G)
    \land \nexists m' \in barPending : m'.ts < m.ts
       barPending \leftarrow barPending \setminus \{m\}
29:
       QGFTO-Deliver(m)
30:
       delivered \leftarrow delivered \cup \{m\}
31:
```

3.1.1 Addressing liveness

The problem with Algorithm 1 is that it does not guarantee liveness when a group has no message to receive from some other group and then keeps waiting for a new message to increase the barrier value and proceed with the delivery of new messages. However, liveness can be easily provided by sending periodic empty messages from G to each $G' \in receiversFrom(G)$ to which no message has been sent for a specified time threshold barrierThreshold. Algorithm 2 describes this. When a message m from group G to some other group G' has been FR-MCast by $p \in G$, p knows that the other processes of G did the same and that m will be eventually received by the processes of G', serving as barrier from G to G' (l. 13 of Algorithm 1). However, when there is a long period after the last time when such kind of message has been created, p decides to create some empty message to send to the processes of G' with the sole purpose of increasing their barrier values and allow for the delivery of possibly blocked messages in G'.

Algorithm 2 Achieving liveness by sending periodic messages; executed by every process p of group G

```
1: Initialization
2:
      for all G' \in receiversFrom(G) do
         lastBarrierCreated(G') = -\infty
3:
    When FR-MCasting a message m to some group G' \neq G
      for all G' \in m.dst : G' \neq G do
5:
6:
         lastBarrierCreated(G') \leftarrow m.ts
    When \exists G' \in receiversFrom(G) : getTime() - lastBarrierCreated(G') > barrierThreshold
      null \leftarrow \text{empty message}
8:
      null.ts \leftarrow lastBarrierCreated(G') + barrierThreshold
9:
      null.src \leftarrow G
10:
11:
      null.dst \leftarrow \{G'\}
      propPending \leftarrow propPending \cup \{null\}
12:
                                                                                        {saving that nothing was sent until null.ts}
```

The problem with addressing liveness this way is that, in the worst case, G' has decided a message m and has just received the last barrier b from G, such that b < m.ts. This would mean that, if G has no messages to send to G', G' will have to wait, at least, for barrierThreshold – maybe just to receive some b':b' < m.ts, having to wait again and so on. How long exactly it will take to QGFTO-Deliver m depends on many variables, such as how far in the past m was created and how long it takes for some barrier b:b>m.ts to arrive.

It is necessary to guarantee that a null message will eventually be proposed, decided, and a barrier will be sent to some group which might be needing it, so that progression is guaranteed. Therefore, this kind of messages are created by every process in the group, since if any one of them does not have it, such message might never be decided. Besides, they are excluded from the propPending list only when decided in the group (l. 15 of Algorithm 1). Since they are obviously never delivered to the application, they can remain in such list and be decided even after some message with higher timestamp is decided. Not removing them unless they are decided ensures that they will be sent and that other groups will be able to increase their barrier values. To prevent the multiple null messages – created by different processes within the group – of being decided, they could be created in a way such that the different processes can somehow figure out that two different null messages are equivalent⁶.

However, there is a way to provide liveness withouth such a possibly long delay for the conservative delivery of messages, although that would imply creating more messages and making deeper changes in the delivery algorithm. Let blockers(m) be defined as the set of groups whose barrier is needed in order for some group to deliver m. More formally, $blockers(m) = \{G_B : \exists G_{dst} \in m.dst \land G_B \in sendersTo(G_{dst})\}$. The idea is that, once each group G_B in blockers(m) have sent a barrier b > m.ts to all the groups belonging to $m.dst \cap receiversFrom(G_B)$, all possible destinations of m can deliver it. This way, instead of relying on periodic messages, whenever a process p in a group G has a message m to send, p sends m to every $p' \in m.dst \cup G \cup blockers(m)$. It is sent to the groups in blockers(m), so that they know that there is a message which will be blocked until they send a proper barrier to unblock it.

When the process p' of some group G' receives m, such that $m.src \neq G'$, p' knows that there might be other groups depeding on the barrier of G' to deliver m. For that reason, it will immediately create a null message with a

⁶This could be done by assuming no timestamp collisions and by using them to uniquely identify messages. Then, only one of the messages created with the same timestamp (l. 9 of Algorithm 2) would be decided.

timestamp equal to m.ts and with $null.dst = m.dst \cap receiversFrom(G')$. Then, p' will insert such message in its optPending queue – to ensure that, once it goes to propPending, any message $m': m'.ts < null.ts \land m'.src = G'$ is already there. As soon as null.ts > now - w(p'), the null message will be proposed in G' and, once null is decided, each process of G' will send a $\{null, \text{`cons'}\}$ message to each process in each group $G \in m.dst \cap receiversFrom(G')$. This way, any group which was waiting for a barrier from G' to deliver m will be able to do so as soon as it receives such null message. The new delivery algorithm would be as described in Algorithm 3.

Now, assuming that w(p) is the same for every process p, we have a worst case delivery latency for m of $w(p) + 2T_{cons}$, as the null message is created and proposed in parallel with m. However, each sender process is sending m not only to every destination process, but also to every process in its group and to every process belonging to some group of blockers(m). This can create a fairly high amount of messages. Unfortunately, this has to be done to guarantee that such null message will eventually be proposed, decided, and a barrier will be sent to some group which might be needing it. Although this kind of messages are excluded from the propPending list only when decided in the group (l. 26 of Algorithm 3), if at least one of the processes does not have it, it could never be decided. Again, like in Algorithm 2, there might be many processes in a group proposing a null message because of the same m. Although this is not wrong, it is inefficient, and a way to identify null messages created for the same purpose should be devised⁷.

3.2 Recovering from mistakes

Unfortunately, even with a very good delay estimation (e.g. on an environment with a low jitter), there is absolutely no guarantee that the multicast protocol described in section 3 will deliver the game command messages optimistically and conservatively in the same order. When it doesn't, it is considered a *mistake*. Every mistake of the optimistic delivery – either a lost command message, or an out-of-order delivery – will cause a rollback of the optimistic state of the objects and re-execution of some of the optimistically delivered commands.

To perform that, we consider that each object has an optimistic delivery queue, Q_{opt} . Whenever a command is optimistically delivered, the optimistic state is updated and the command is pushed in the back of Q_{opt} . Whenever a command C_c is conservatively delivered, it updates the conservative state of each object in $obj(C_c)$ and, for each one of them, the algorithm checks whether it is the first command in Q_{opt} . If it is, C_c is simply removed from Q_{opt} and the execution continues. If it isn't, it means that C_c was either optimistically delivered out of order, or it was simply never optimistically delivered. It then checks whether Q_{opt} contains C_c . If it does, it means the command was optimistically delivered out of order, and it is removed from the list – if Q_{opt} doesn't contain C_c , it was probably lost⁸. Then, the optimistic state is overwritten with the conservative one and, from that state, all the remaining comands in Q_{opt} are re-executed, leading to a new optimistic state for that object.

References

- [1] DWORK, C., LYNCH, N., AND STOCKMEYER, L. Consensus in the presence of partial synchrony. *Journal of the ACM (JACM) 35*, 2 (1988), 288–323.
- [2] Fischer, M. J., Lynch, N. A., and Paterson, M. S. Impossibility of distributed consensus with one faulty process. *J. ACM 32* (April 1985), 374–382.

⁷Again, we could use timestamps as unique identifiers and assume no timestamp collisions. But for that to work, instead of making null.ts = m.ts (l. 12 of Algorithm 3), we could define null.ts as a little bit greater than m.ts.

⁸Also, when C_c is delivered, but it is not in Q_{opt} , the remaining possibility is the very unlikely case where the conservative delivery happened before the optimistic one. To handle this case, C_c is stored in a list of possibly delayed optimistic delivery and, if it is ever optimistically delivered, the algorithm will know that it should only discard that command, instead of updating the optimistic state.

Algorithm 3 QGFTO-Mcast(m) – executed by every process p from group G

```
1: Initialization
       k \leftarrow 0, nextProp \leftarrow 0, decided \leftarrow \emptyset, propPending \leftarrow \emptyset, optPending \leftarrow \emptyset, barPending \leftarrow \emptyset
       for all G' \in sendersTo(G) do
 3:
 4:
          barrier(G',G) \leftarrow -\infty
 5: To send a message m - QGFTO-Mcast(m)
       m.ts \leftarrow getTime()
                                                                                            \{current \ wallclock \ value \ as \ the \ timestamp \ of \ m\}
       FR-MCast(m,m.dst \cup \{G\} \cup blockers(m))
 7:
 8: When FR-Deliver(m')
       if G \neq m'.src \land \exists G' \in (m'.dst \cap receiversFrom(G)) then
 9:
          null \leftarrow \text{empty message}
10:
          null.src \leftarrow G
11:
                                                                                           {some other group needs a barrier from this one}
          null.ts \leftarrow m'.ts
12:
          null.dst \leftarrow m'.dst \cap receiversFrom(G)
13:
          optPending \leftarrow optPending \cup \{null\}
14:
       if m'.ts < getTime() - w(p) \lor G \notin m'.dst then
15:
          discard m'
16:
                                                                                     {late commands probably lead to out-of-order delivery}
17:
       else
          optPending \leftarrow optPending \cup \{m'\}
18:
     When \exists m \in optPending : getTime() > m.ts + w(p) \land \nexists m' \in optPending : m'.ts < m.ts
19:
20:
       optPending \leftarrow optPending \setminus \{m\}
       if G \in m.dst \wedge m \neq null then
21:
          GF-OPT-Deliver(m)
22:
       if G = m.src then
23:
          propPending \leftarrow propPending \cup \{m\}
24:
     When \exists m \in propPending \land nextProp = k
25:
       propPending \leftarrow propPending \setminus (decided \cup \{m' : \exists m'' \in decided \land m'.ts < m''.ts \land m' \neq null\})
26:
       if propPending \neq \emptyset then
27:
28:
          nextProp \leftarrow k+1
          Propose(k, propPending)
29:
30: When Decide(k, msgSet)
31:
       decided \leftarrow decided \cup msgSet
       for all m \in msgSet : G \in m.dst \land m \neq null do
32:
33:
          barPending \leftarrow barPending \cup \{m\}
       while \exists m \in msgSet : (\forall m' \in msgSet : m \neq m' \Rightarrow m.ts < m'.ts) do
34:
          for all p' \in m.dst \setminus \{G\} do
35:
             \operatorname{send}(p', \{m, '\cos'\})
36:
                                                                                     {this message is sent through a FIFO lossless channel}
37:
          msgSet \leftarrow msgSet \setminus \{m\}
                                                                                   {the messages are sent in ascending order of timestamp}
38:
       nextProp \leftarrow k+1
       k \leftarrow k + 1
39:
40: When receive(\{m', \{\text{'cons'}\}\})
       if m' \notin barPending \land m' \notin delivered \land m' \neq null then
41:
          barPending \leftarrow barPending \cup \{m\}
42:
       barrier(m'.src, G) \leftarrow max(m'.ts, barrier(m'.src, G))
43:
                                                                                        {channels are FIFO, but there are different senders}
44: When \exists m \in barPending : \forall G' \in sendersTo(G) : m.ts < barrier(G', G)
    \wedge \not\exists m' \in barPending : m'.ts < m.ts
       barPending \leftarrow barPending \setminus \{m\}
45:
       QGFTO-Deliver(m)
46:
47:
       delivered \leftarrow delivered \cup \{m\}
```