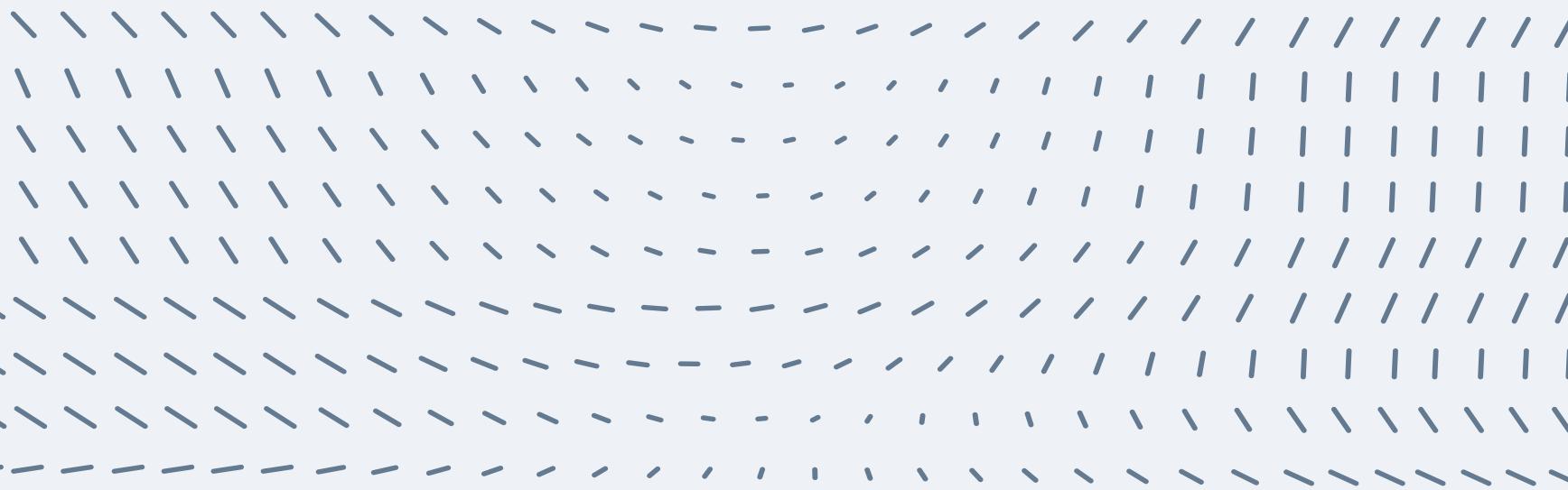


Characterizing consensus in the Heard-Of model

Igor Walukiewicz

joint work with A.R. Balasubramanian



Consesus problem:

Every process starts with the same value of its input variable. We require:

- termination: every process eventually sets its dec value,
- agreement: all dec variables have the same value,
- every dec variable is set at most once,
- the value of dec variables is one of the initial values of input variables.

FLP theorem: consensus is impossible in fully asynchronous systems
in the presence of faults

2/3 algorithm

the multiset of values received from other processes

send (inp)

| if uni(H) $\wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;
| if mult(H) $\wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;

send x_1

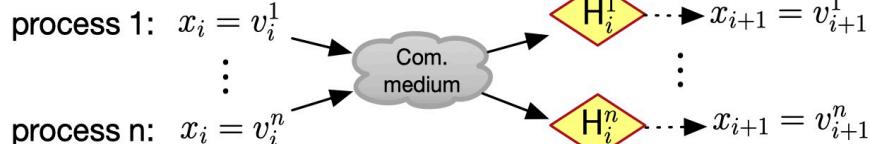
| if uni(H) $\wedge |H| > \frac{2}{3}n$ then $dec := smor(H)$;

smallest most frequent value
in H

Communication predicate: eventually $\psi^1 = (\varphi_=\wedge\varphi_{\frac{2}{3}}, \text{true})$ and later

$$\psi^2 = (\varphi_{\frac{2}{3}}, \varphi_{\frac{2}{3}})$$

round:



2/3 algorithm

the multiset of values received from other processes

send (*inp*)

| if uni(H) $\wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;
 | if mult(H) $\wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;

send x_1

| if uni(H) $\wedge |H| > \frac{2}{3}n$ then $dec := smor(H)$;

smallest most frequent value
in H

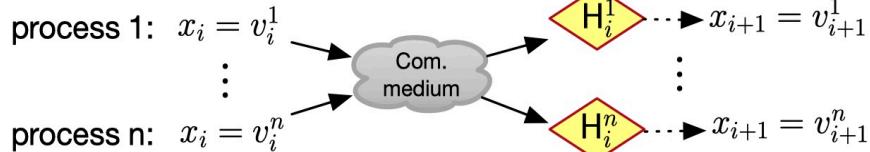
Communication predicate: eventually $\psi^1 = (\varphi_1 \wedge \varphi_{\frac{2}{3}}, \text{true})$ and later

$$\psi^2 = (\varphi_{\frac{2}{3}}, \varphi_{\frac{2}{3}})$$

every process receives the same multiset

H contains values from $\geq \frac{2}{3}$ of processes

round:



2/3 algorithm

the multiset of values received from other processes

send (inp)

| if uni(H) $\wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;

| if mult(H) $\wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;

send x_1

| if uni(H) $\wedge |H| > \frac{2}{3}n$ then $dec := smor(H)$;

smallest most frequent value
in H

Communication predicate: eventually $\psi^1 = (\varphi_1 \wedge \varphi_{\frac{2}{3}}, \text{true})$ and later

$$\psi^2 = (\varphi_{\frac{2}{3}}, \varphi_{\frac{2}{3}})$$

every process receives the same multiset

H contains values from $\geq \frac{2}{3}$ of processes

• At $(\varphi_1, \varphi_{\frac{2}{3}}, \text{true})$ phase, every process sets inp to the same value

• At $(\varphi_{\frac{2}{3}}, \varphi_{\frac{2}{3}})$ phase later, every process sets dec to this value

Q : can we change $\frac{2}{3}$ to $\frac{1}{2}$?

2/3 algorithm

the multiset of values received from other processes

send (inp)

| if $uni(H) \wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;
 | if $mult(H) \wedge |H| > \frac{2}{3}n$ then $x_1 := inp := smor(H)$;

send x_1

| if $uni(H) \wedge |H| > \frac{2}{3}n$ then $dec := smor(H)$;

smallest most frequent value
in H

Communication predicate: eventually $\psi^1 = (\varphi_1 \wedge \varphi_{\frac{2}{3}}, \text{true})$ and later

$$\psi^2 = (\varphi_{\frac{2}{3}}, \varphi_{\frac{2}{3}})$$

every process receives the same multiset

H contains values from $\geq \frac{2}{3}$ of processes

Q : can we change $2/3$ to $1/2$?

$$f = \{\overbrace{a, \dots, a}^{1/2}, \overbrace{b, \dots, b}^{1/2}\}$$

H_a - more a's

H_b - more b's

$$f' = \{a, \dots, a, \overbrace{b, \dots, b}^{1/2 + \epsilon}\}$$

send $H = \{a, \dots, a\}$ to p_1 and nothing to others. So p_1 dec on a.
 $\epsilon \in \frac{1}{2} - \frac{1}{3}$

In the next phase send $H_{all} = \{a, \dots, a, b, \dots, b\}$ to every process. They decide on b.

Heard-off model

Introduced by Bernadette Charron-Bost · André Schiper in 2009

A round based model for non synchronous computing.

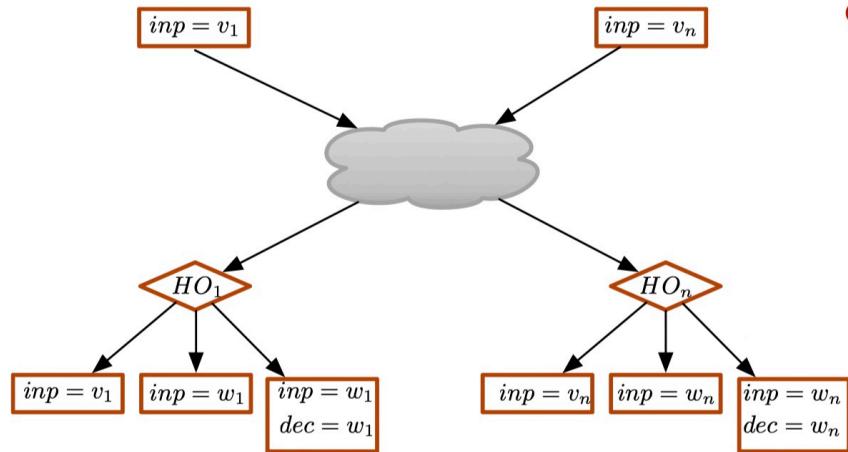
Unified treatment of different types of faults through transmission faults.

A model is relatively simple and concise:

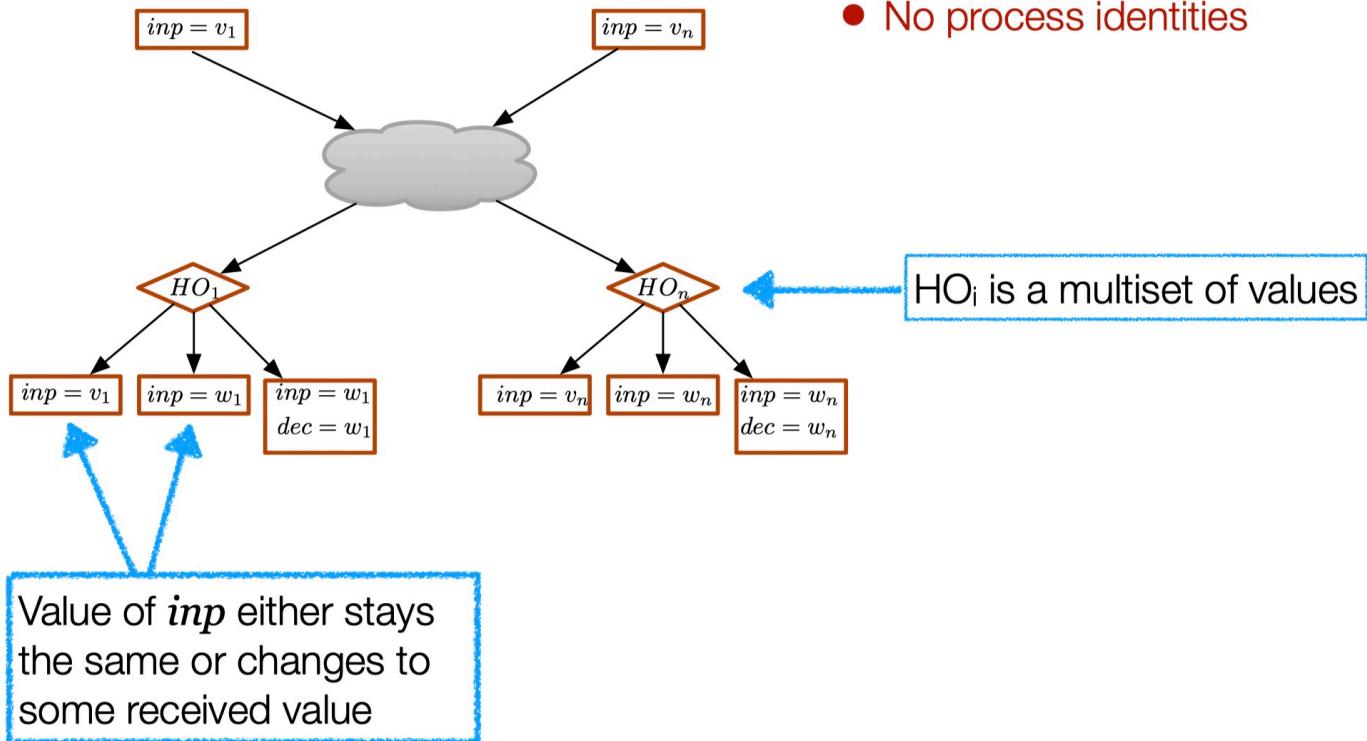
a good candidate to develop verification methods

- [Charron-Bost, Stefan Merz,...] Efficient encoding the model in Isabelle, and TLA
- [Drăgoi, Henzinger, Zufferey,...] A semi-automatic proof method, a domain-specific language based on HO-model.
- [Ognjen Maric, Christoph Sprenger, David Basin, *Cut-off Bounds for Consensus Algorithms*], see later
- [R. Bloem, S. Jacobs, A. Khalimov, I. Konnov, S. Rubin, H. Veith, and J. Widder. *Decidability of Parameterized Verification*], a book, 2015

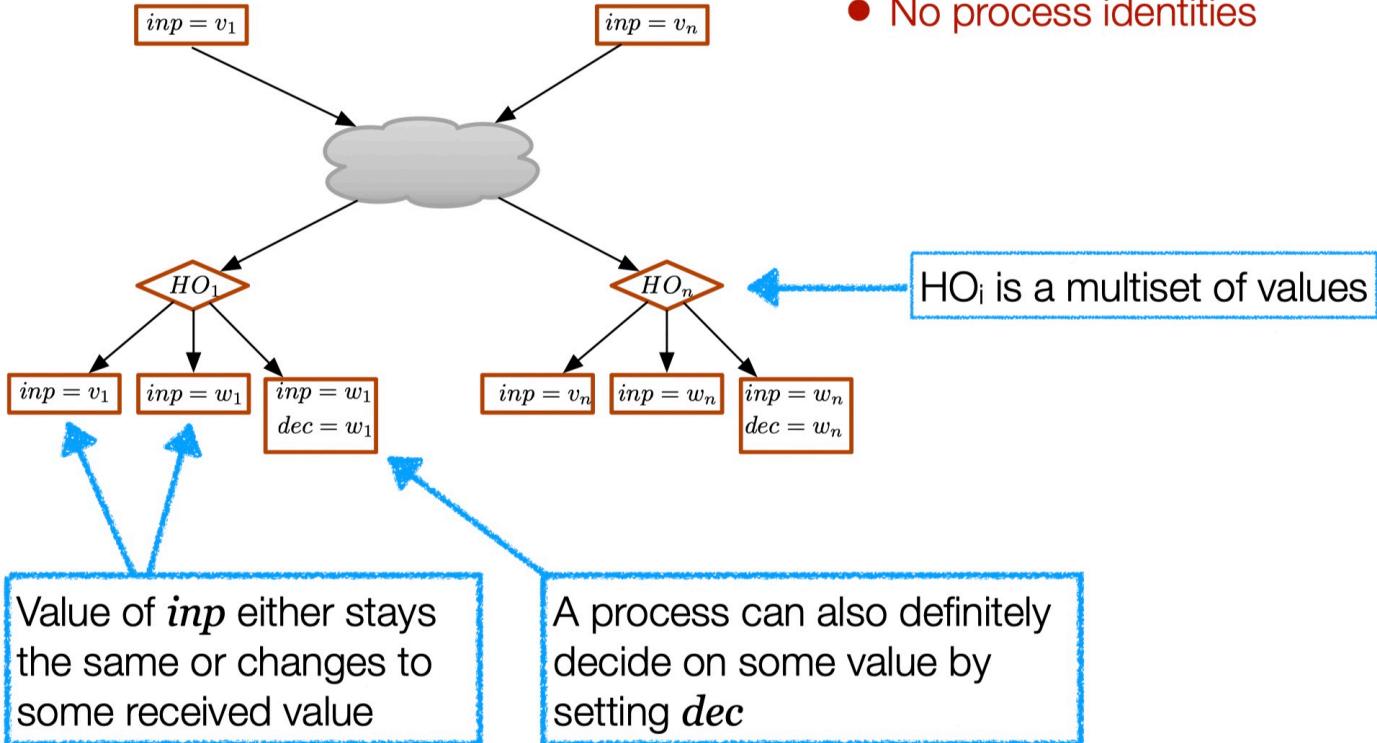
- No operations on variables
- No failure of components
- No process identities



- No operations on variables
- No failure of components
- No process identities

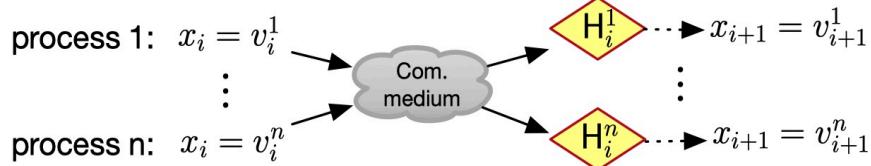


- No operations on variables
- No failure of components
- No process identities

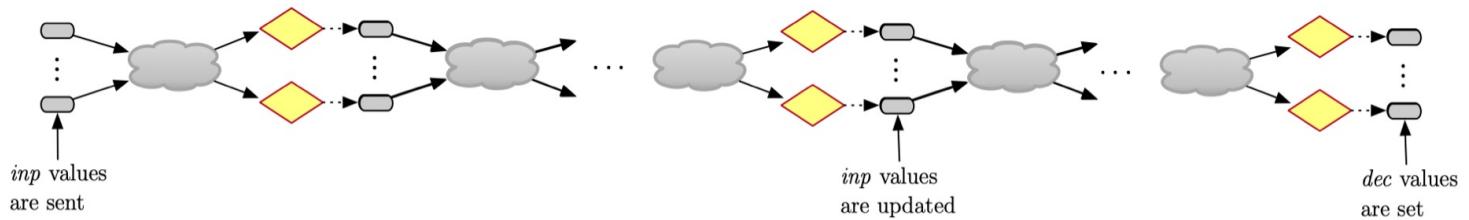


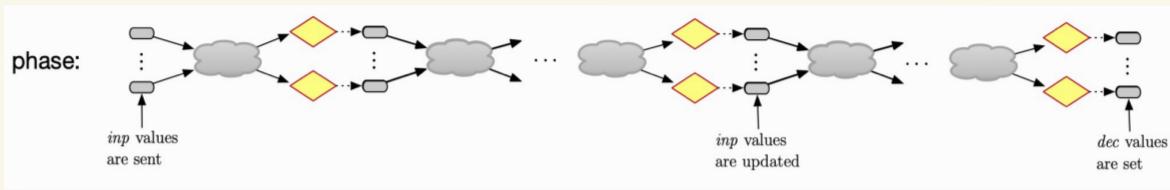
Heard-of algorithm

round:



phase:





```
send  $x_{i-1}$ 
  if uni(H)  $\wedge |H| > thr_u^i \cdot n$  then  $x_i := op_0^i(H)$ ;
  :
  if mult(H)  $\wedge |H| > thr_m^{i,k} \cdot n$  then  $x_i := op_k^i(H)$ ;
```

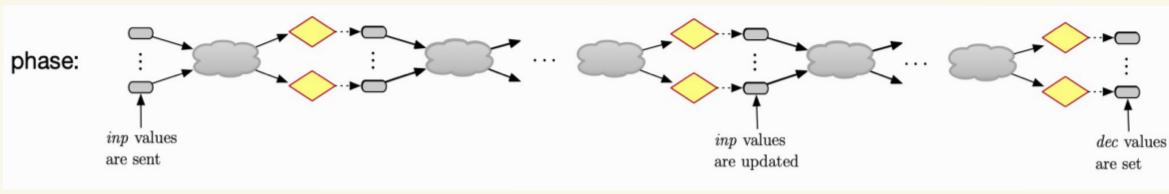
x_{i-1} sent, x_i set

```
send  $x_{ir-1}$ 
  if uni(H)  $\wedge |H| > thr_u^{ir} \cdot n$  then  $x_{ir} := inp := op_0^{ir}(H)$ ;
  :
  if mult(H)  $\wedge |H| > thr_m^{ir,k} \cdot n$  then  $x_{ir} := inp := op_k^{ir}(H)$ ;
```

round ri where inp is set [update]

```
send  $x_{l-1}$ 
  if uni(H)  $\wedge |H| > thr_u^l \cdot n$  then  $dec := op_0^l(H)$ ;
  :
  if mult(H)  $\wedge |H| > thr_m^{l,k} \cdot n$  then  $dec := op_k^l(H)$ ;
```

last round where dec is set [decision]



```

send inp
| if uni(H) ∧ |H| > thr1u · n then x1 := op10(H);
|
| :
| if mult(H) ∧ |H| > thr1,km · n then x1 := op1k(H);

```

```

send xi-1
| if uni(H) ∧ |H| > thriu · n then xi := opi0(H);
|
| :
| if mult(H) ∧ |H| > thri,km · n then xi := opik(H);

```

```

send xir-1
| if uni(H) ∧ |H| > thriru · n then xir := inp := opir0(H);
|
| :
| if mult(H) ∧ |H| > thrir,km · n then xir := inp := opirk(H);

```

```

send xl-1
| if uni(H) ∧ |H| > thrlu · n then dec := opl0(H);
|
| :
| if mult(H) ∧ |H| > thrl,km · n then dec := oplk(H);

```

```

send (inp)
| if uni(H) ∧ |H| >  $\frac{2}{3}n$  then x1 := inp := smor(H);
| if mult(H) ∧ |H| >  $\frac{2}{3}n$  then x1 := inp := smor(H);

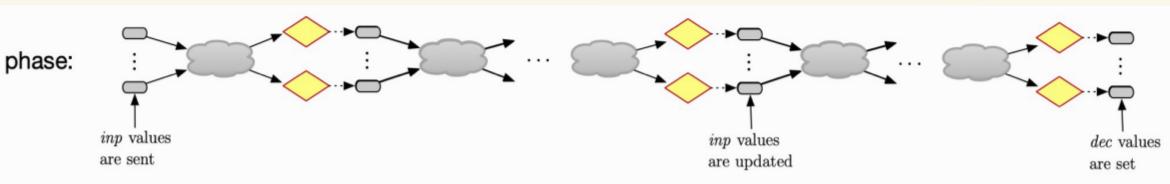
```

```

send x1
| if uni(H) ∧ |H| >  $\frac{2}{3}n$  then dec := smor(H);

```

Communication predicate: eventually $\psi^1 = (\varphi_1 \wedge \varphi_{\frac{2}{3}}, \text{true})$ and later
 $\psi^2 = (\varphi_{\frac{2}{3}}, \varphi_{\frac{2}{3}})$



```

send inp
| if uni(H) ∧ |H| >  $thr_u^1 \cdot n$  then  $x_1 := op_0^1(H)$ ;
| :
| if mult(H) ∧ |H| >  $thr_m^{1,k} \cdot n$  then  $x_1 := op_k^1(H)$ ;

```

```

send  $x_{i-1}$ 
| if uni(H) ∧ |H| >  $thr_u^i \cdot n$  then  $x_i := op_0^i(H)$ ;
| :
| if mult(H) ∧ |H| >  $thr_m^{i,k} \cdot n$  then  $x_i := op_k^i(H)$ ;

```

```

send  $x_{ir-1}$ 
| if uni(H) ∧ |H| >  $thr_u^{ir} \cdot n$  then  $x_{ir} := inp := op_0^{ir}(H)$ ;
| :
| if mult(H) ∧ |H| >  $thr_m^{ir,k} \cdot n$  then  $x_{ir} := inp := op_k^{ir}(H)$ ;

```

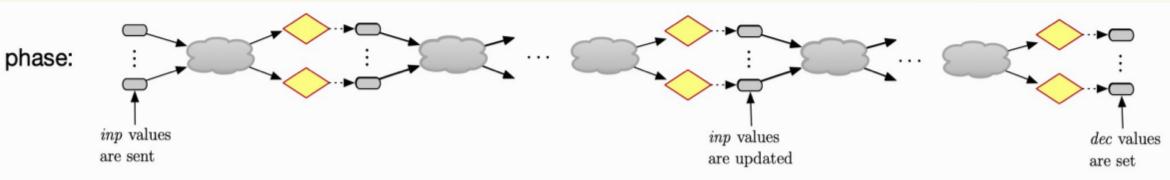
```

send  $x_{l-1}$ 
| if uni(H) ∧ |H| >  $thr_u^l \cdot n$  then  $dec := op_0^l(H)$ ;
| :
| if mult(H) ∧ |H| >  $thr_m^{l,k} \cdot n$  then  $dec := op_k^l(H)$ ;

```

Wanted:

- Given an algorithm over a fixed set of values decide if it solves the consensus
- What operations and tests are allowed?
- Do we have a cut-off principle? restriction to k-proc
- Do we have a 0/1 principle? restriction to {0,1} values



send inp

```

| if uni(H) ∧ |H| >  $thr_u^1 \cdot n$  then  $x_1 := op_0^1(H);$ 
|
| :
| if mult(H) ∧ |H| >  $thr_m^{1,k} \cdot n$  then  $x_1 := op_k^1(H);$ 

```

Semantics: phase round

$$(f, d) \xrightarrow{\psi} (f', d') \quad \text{and} \quad f \xrightarrow{\varphi_i} f' .$$

$f : \{1, \dots, n\} \rightarrow Dvt??$ $d : \{1, \dots, n\} \rightarrow Dvt??$

D finite and linearly ordered

send x_{i-1}

```

| if uni(H) ∧ |H| >  $thr_u^i \cdot n$  then  $x_i := op_0^i(H);$ 
|
| :
| if mult(H) ∧ |H| >  $thr_m^{i,k} \cdot n$  then  $x_i := op_k^i(H);$ 

```

send x_{ir-1}

```

| if uni(H) ∧ |H| >  $thr_u^{ir} \cdot n$  then  $x_{ir} := inp := op_0^{ir}(H);$ 
|
| :
| if mult(H) ∧ |H| >  $thr_m^{ir,k} \cdot n$  then  $x_{ir} := inp := op_k^{ir}(H);$ 

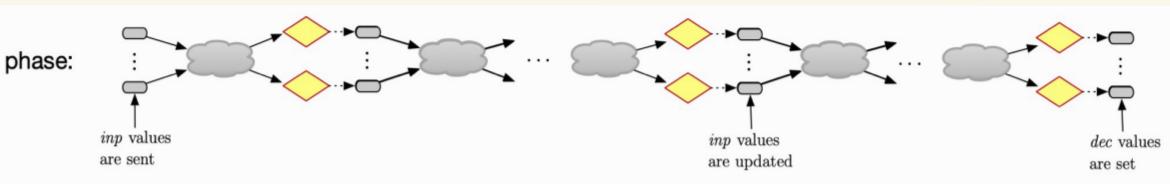
```

send x_{l-1}

```

| if uni(H) ∧ |H| >  $thr_u^l \cdot n$  then  $dec := op_0^l(H);$ 
|
| :
| if mult(H) ∧ |H| >  $thr_m^{l,k} \cdot n$  then  $dec := op_k^l(H);$ 

```



send inp

- | if $\text{uni}(\mathcal{H}) \wedge |\mathcal{H}| > thr_u^1 \cdot n$ then $x_1 := \text{op}_0^1(\mathcal{H})$;
- \vdots
- | if $\text{mult}(\mathcal{H}) \wedge |\mathcal{H}| > thr_m^{1,k} \cdot n$ then $x_1 := \text{op}_k^1(\mathcal{H})$;

send x_{i-1}

- | if $\text{uni}(\mathcal{H}) \wedge |\mathcal{H}| > thr_u^i \cdot n$ then $x_i := \text{op}_0^i(\mathcal{H})$;
- \vdots
- | if $\text{mult}(\mathcal{H}) \wedge |\mathcal{H}| > thr_m^{i,k} \cdot n$ then $x_i := \text{op}_k^i(\mathcal{H})$;

send $x_{\text{ir}-1}$

- | if $\text{uni}(\mathcal{H}) \wedge |\mathcal{H}| > thr_u^{\text{ir}} \cdot n$ then $x_{\text{ir}} := inp := \text{op}_0^{\text{ir}}(\mathcal{H})$;
- \vdots
- | if $\text{mult}(\mathcal{H}) \wedge |\mathcal{H}| > thr_m^{\text{ir},k} \cdot n$ then $x_{\text{ir}} := inp := \text{op}_k^{\text{ir}}(\mathcal{H})$;

send x_{l-1}

- | if $\text{uni}(\mathcal{H}) \wedge |\mathcal{H}| > thr_u^l \cdot n$ then $dec := \text{op}_0^l(\mathcal{H})$;
- \vdots
- | if $\text{mult}(\mathcal{H}) \wedge |\mathcal{H}| > thr_m^{l,k} \cdot n$ then $dec := \text{op}_k^l(\mathcal{H})$;

Semantics:

$$\text{phase} \quad (f, d) \xrightarrow{\psi} (f', d') \quad \text{and} \quad f \xrightarrow{\varphi} i f' .$$

- $f : \{1, \dots, n\} \rightarrow \text{Dut}^?$ $d : \{1, \dots, n\} \rightarrow \text{Dut}^?$

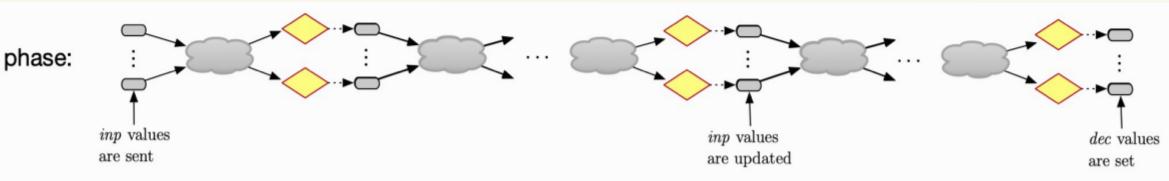
D finite and linearly ordered

- $f \xrightarrow{i} f'$ if $\exists (H_1, \dots, H_n) \models e \wedge p \quad H_p \in \text{iset}(f)$
 $f(p) = \text{update}_i(H_p)$

$\min(H)$ min value in $H - \{?\}$

$\text{smor}(H)$ smallest most frequent value in $H - \{?\}$
 $f(p) = ?$ if no test holds for H_p

Rem: tests count $?$ value but operations ignore it



send inp

```

| if uni(H) ∧ |H| > thr1u · n then  $x_1 := op_0^1(H)$ ;
| :
| if mult(H) ∧ |H| > thr1,km · n then  $x_1 := op_k^1(H)$ ;
```

send x_{i-1}

```

| if uni(H) ∧ |H| > thriu · n then  $x_i := op_0^i(H)$ ;
| :
| if mult(H) ∧ |H| > thri,km · n then  $x_i := op_k^i(H)$ ;
```

send x_{ir-1}

```

| if uni(H) ∧ |H| > thriru · n then  $x_{ir} := inp := op_0^{ir}(H)$ ;
| :
| if mult(H) ∧ |H| > thrir,km · n then  $x_{ir} := inp := op_k^{ir}(H)$ ;
```

send x_{l-1}

```

| if uni(H) ∧ |H| > thrlu · n then  $dec := op_0^l(H)$ ;
| :
| if mult(H) ∧ |H| > thrl,km · n then  $dec := op_k^l(H)$ ;
```

Semantics:

phase round

$$(f, d) \xrightarrow{\psi} (f', d') \quad \text{and} \quad f \xrightarrow{\varphi} i f'$$

$f : \{1, \dots, n\} \rightarrow Dvt?$ $d : \{1, \dots, n\} \rightarrow Dvt?$

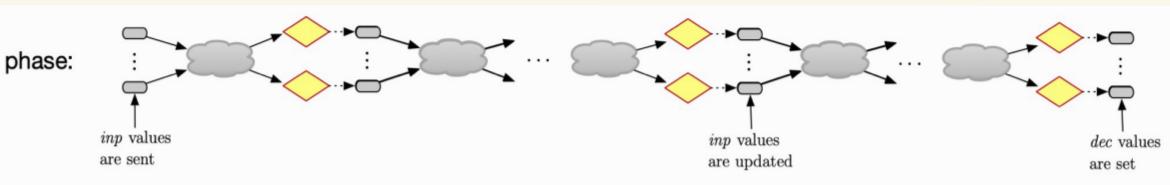
D finite and linearly ordered

- $f \xrightarrow{i} f'$ if $\exists (H_1, \dots, H_n) \models e \wedge p \quad H_p \in \text{iset}(f)$
 $f(p) = \text{update}_i(H_p)$

$\min(H)$ min value in $H - \{p\}$

$\text{smor}(H)$ smallest most frequent value in $H - \{p\}$
 $f(p) > ?$ if no test holds for H_p

- $(f, d) \xrightarrow{\psi} (f', d')$ if $f_0 \xrightarrow{u_1} f_1 \xrightarrow{u_2} \dots \xrightarrow{u_l} f_c$
- $f_0 = f$
- $f'(p) = f_{ir}(p)$ if $f_{ir}(p) \neq ?$ and $f'(p) = f(p)$ otherwise
- $d'(p) = d(p)$ if $d(p) \neq ?$ and $d'(p) = f_c(p)$ otherwise



send inp

```

| if uni(H) ∧ |H| > thr1u · n then  $x_1 := op_0^1(H)$ ;
| :
| if mult(H) ∧ |H| > thr1,km · n then  $x_1 := op_k^1(H)$ ;
```

send x_{i-1}

```

| if uni(H) ∧ |H| > thriu · n then  $x_i := op_0^i(H)$ ;
| :
| if mult(H) ∧ |H| > thri,km · n then  $x_i := op_k^i(H)$ ;
```

send x_{ir-1}

```

| if uni(H) ∧ |H| > thriru · n then  $x_{ir} := inp := op_0^{ir}(H)$ ;
| :
| if mult(H) ∧ |H| > thrir,km · n then  $x_{ir} := inp := op_k^{ir}(H)$ ;
```

send x_{l-1}

```

| if uni(H) ∧ |H| > thrlu · n then  $dec := op_0^l(H)$ ;
| :
| if mult(H) ∧ |H| > thrl,km · n then  $dec := op_k^l(H)$ ;
```

Semantics: phase round

$$(f, d) \xrightarrow{\psi} (f', d') \quad \text{and} \quad f \xrightarrow{\varphi} i f'$$

$f : \{1, \dots, n\} \rightarrow Dvt?$ $d : \{1, \dots, n\} \rightarrow Dvt?$

D finite and linearly ordered

$f \xrightarrow{i} f'$ if $\exists (H_1, \dots, H_n) \models \psi \wedge H_p \in \text{mset}(f)$
 $f(p) = \text{update}_i(H_p)$

Communication predicate

$$(G\bar{\psi}) \wedge (F(\psi_1 \wedge F(\psi_2 \wedge \dots (F\psi_k) \dots)))$$

↑ phase predicates

$\psi = (\psi_1, \dots, \psi_k)$

↑ round predicates

ψ_i is $(|H| > thr \cdot n)$ or $(eq \ n \ |H| > thr \cdot n)$

A Characterization

► **Theorem 22.** An algorithm solves consensus iff it is:

- syntactically safe,
- there are $i \leq j$ with ψ_i a unifier and ψ_j a decider.

$$(\mathbf{G}\overline{\psi}) \wedge (\mathbf{F}(\psi_1 \wedge \mathbf{F}(\psi_2 \wedge \dots (\mathbf{F}\psi_k) \dots)))$$

We fix $D = \{a, b\}$ (we show O/I-principle with oer proof)

Some notation for $f: \{1, \dots, n\} \rightarrow D \cup \{?\}$ $\text{bias}(\theta) = (a, \dots, a, \underbrace{b, \dots, b}_{\theta \cdot n})$ $b \cdot a^2(\theta) = (? \dots ?, \underbrace{b, \dots, b}_{\theta \cdot n})$
 $\text{solo} = (b, \dots, b)$ $\text{solo}^2 = (? \dots ?)$

A round i is solo safe wrt. ψ if $\text{thr}_u^i \leq \text{thr}_l(\psi)$ ($\text{solo} \stackrel{\psi}{=} \text{solo}$)

A round i is preserving wrt. ψ if either:

- no uni instruction, or
- no mult instruction, or
- $\text{thr}_i(\psi) < \max(\text{thr}_u^i, \text{thr}_m^{i, \psi})$

Rem $\text{bias}(\theta) \stackrel{\psi}{=} \text{solo}^2$ is possible

A Characterization

► **Theorem 22.** An algorithm solves consensus iff it is:

- syntactically safe,
- there are $i \leq j$ with ψ_i a unifier and ψ_j a decider.

$$(G\overline{\psi}) \wedge (F(\psi_1 \wedge F(\psi_2 \wedge \dots (F\psi_k) \dots)))$$

A round i is solo safe wrt. ψ if $\text{thr}_u^i \leq \text{thr}_v^i(\psi)$

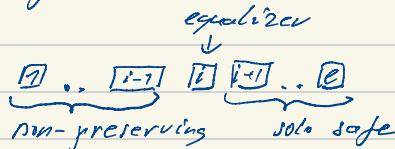
A round i is preserving wrt. ψ if either:

- no uni instruction, or
- no mult instruction, or
- $\text{thr}_v^i(\psi) < \max(\text{thr}_u^i, \text{thr}_m^{i,u})$

Rem bics $(\theta) \xrightarrow{i} \text{solo?}$ is possible

ψ is a decider if all rounds are solo safe wrt. ψ

ψ is a unifier if • Round i s.t



- $\text{thr}_v^i(\psi) \geq \text{thr}_m^{i,u}$ and either $\text{thr}_v^i(\psi) \geq \text{thr}_u^i$ or $\text{thr}_v^i(\psi) \geq \overline{\text{thr}}$
where $\overline{\text{thr}} = \max(1 - \text{thr}_u^i, 1 - \text{thr}_m^{i,u}/2)$

A Characterization

- **Theorem 22.** An algorithm solves consensus iff it is:
- syntactically safe,
 - there are $i \leq j$ with ψ_i a unifier and ψ_j a decider.

- **Definition 9.** An algorithm is syntactically safe when:

1. First round has a `mult` instruction.
2. Every round has a `uni` instruction.
3. In the first round the operation in every `mult` instruction is smor.
4. $thr_m^{1,k}/2 \geq 1 - thr_u^{\text{ir}+1}$, and $thr_u^1 \geq 1 - thr_u^{\text{ir}+1}$.

```
send inp
  if uni(H) ∧ |H| > thr_u^1 · n then x1 := op01(H);
  :
  if mult(H) ∧ |H| > thr_m1,k · n then x1 := opk1(H);
```

```
send xi-1
  if uni(H) ∧ |H| > thr_ui · n then xi := op0i(H);
  :
  if mult(H) ∧ |H| > thr_mi,k · n then xi := opki(H);
```

```
send xir-1
  if uni(H) ∧ |H| > thr_uir · n then xir := inp := op0ir(H);
  :
  if mult(H) ∧ |H| > thr_mir,k · n then xir := inp := opkir(H);
```

```
send xl-1
  if uni(H) ∧ |H| > thr_ul · n then dec := op0l(H);
  :
  if mult(H) ∧ |H| > thr_ml,k · n then dec := opkl(H);
```

A Characterization

- **Theorem 22.** An algorithm solves consensus iff it is:
 - syntactically safe,
 - there are $i \leq j$ with ψ_i a unifier and ψ_j a decider.

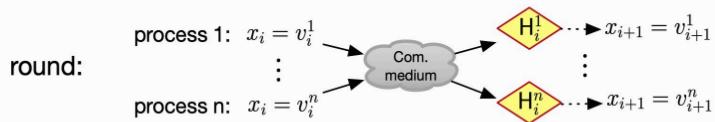
- **Definition 9.** An algorithm is syntactically safe when:

1. First round has a `mult` instruction.
2. Every round has a `uni` instruction.
3. In the first round the operation in every `mult` instruction is smor.
4. $thr_m^{1,k}/2 \geq 1 - thr_u^{\text{ir}+1}$, and $thr_u^1 \geq 1 - thr_u^{\text{ir}+1}$.

- **Lemma 23.** An algorithm that is not syntactically safe cannot solve consensus. A syntactically safe algorithm has the agreement property.

- **Lemma 24.** A syntactically safe algorithm has the termination property iff it satisfies the second condition from Theorem 10.

Elements of the proof



Lemma 0 If $f \stackrel{e}{\Rightarrow}_i f'$ and $a, b \in f'$ then $f \stackrel{e}{\Rightarrow}_i \text{bias}(\theta)$ for every θ .

Proof

θ not an equalizer if $(H_1, \dots, H_n) \models e$ then $(H'_1, \dots, H'_n) \models e$
for all $H'_i \in \{H_i, H_u\}$ \square

Elements of the proof

Lemma 2.9 If round i has mult instructions then there is $\theta \geq \gamma_2$ s.t.
 $\text{bias}(\theta) \stackrel{?}{\Rightarrow} \text{bias}(\theta')$ for arb. θ' .

Proof

If the operation is smor then take $\theta = \gamma_2$.

Construct $H_a > \text{thr}_m^i$ with more a than b. Similarly for H_b

If the operation is min, take $\theta > \max(\text{thr}_i(4), \text{thr}_m^i, \gamma_2)$

Complete H gives a

When H contains only b's it's big enough to give b.

□

Elements of the proof

► **Lemma 23.** An algorithm that is not syntactically safe cannot solve consensus. A syntactically safe algorithm has the agreement property.

Proof of the second statement:

Consider $(bias(\theta), ?) \xrightarrow{\bar{\Psi}} \dots \xrightarrow{\bar{\Psi}} (bias(\theta'), d')$ first time some process, say p , decides

Recall $1 - thr_u^{ir+1} \leq thr_m^{ir+1}$ and $1 - thr_u^{ir+1} \leq thr_a^i$.

First we show that round $ir+1$ cannot have mult instruction.

Suppose $d'(p) = a$.

This implies $\theta' < 1 - thr_u^{ir+1}$ and $d'(q) \in \{a, ?, b\}$, for all q .

Hence $\theta' < thr_u^i$, so b cannot be later obtained by uni instruction.

$\theta' < thr_{m/2}^{ir+1}$ so b cannot be later obtained by mult instruction with smov,

(this is required for safe alg) □

Extensions

Timestamps

```
send ( $inp, ts$ )
  if  $cond_1^1(H)$  then  $x_1 := \maxts(H);$ 
  :
  if  $cond_1^l(H)$  then  $x_1 := \maxts(H);$ 
```

smallest of the values of the
most recent timestamp

► **Definition 13.** An algorithm is syntactically t-safe when:

1. Every round has a uni instruction.
2. First round has a mult instruction.
3. $thr_m^{1,k} \geq 1 - thr_u^{\text{ir}+1}$ and $thr_u^1 \geq 1 - thr_u^{\text{ir}+1}$.

► **Definition 14.** A predicate ψ is a strong unifier ψ if it is a unifier in a sense of Definition 8 and $thr_u^1 \leq thr_1(\psi)$.

► **Theorem 25.** An algorithm satisfies consensus iff it is syntactically t-safe according to Definition 13, and it satisfies:

sT There are $i \leq j$ such that ψ^i is a strong unifier and ψ^j is a decider.

Extensions

Coordinators

- Three types of rounds
 - lr (leader receive)
 - ls (leader send)
 - every (as before)

► **Theorem 26.** An algorithm satisfies consensus iff the first round and the $(\text{ir} + 1)^{\text{th}}$ round are not of type ls, it is syntactically safe according to Definition 9, and it satisfies the condition:

cT There are $i \leq j$ such that ψ^i is a c-unifier and ψ^j is a c-decider.

Coordinators + timestamps

► **Theorem 27.** An algorithm satisfies consensus iff the first round and the $(\text{ir} + 1)^{\text{th}}$ round are not of type ls, it has the structural properties from Definition 13, and it satisfies:

scT There are $i \leq j$ such that ψ^i is a strong c-unifier and ψ^j is a c-decider.

Examples

```
send (inp)
| if uni(H) ∧ |H| > 2/3n then x1 := inp := smor(H);
| if mult(H) ∧ |H| > 2/3n then x1 := inp := smor(H);
```

```
send x1
```

```
| if uni(H) ∧ |H| > 2/3n then dec := smor(H);
```

Communication predicate: eventually $\psi^1 = (\varphi_=\wedge\varphi_{2/3}, \text{true})$ and later
 $\psi^2 = (\varphi_{2/3}, \varphi_{2/3})$

Because of the condition
 $\text{thr}_{n/2}^{1/4} \geq 1 - \text{thr}_n^{1/4}$

it is not possible to have
1/2 threshold.

With timestamps the condition is weakened to $\text{thr}_{n/2}^{1/4} \geq 1 - \text{thr}_n^{1/4+1}$

```
send (inp, ts)
| if uni(H) ∧ |H| > 1/2 · |Π| then x1 := maxts(H);
| if mult(H) ∧ |H| > 1/2 · |Π| then x1 := maxts(H);
```

```
send x1
```

```
| if uni(H) ∧ |H| > 1/2 · |Π| then x2 := inp := smor(H);
```

```
send x2
```

```
| if uni(H) ∧ |H| > 1/2 · |Π| then dec := smor(H);
```

Communication predicate: F(ψ^1) where $\psi^1 := (\varphi_=\wedge\varphi_{1/2}, \varphi_{1/2}, \varphi_{1/2})$

Examples

```
send (inp,ts)
| if uni(H) ∧ |H| > 1/2 · |Π| then x1 := maxts(H);
| if mult(H) ∧ |H| > 1/2 · |Π| then x1 := maxts(H);

send x1
| if uni(H) ∧ |H| > 1/2 · |Π| then x2 := inp := smor(H);
send x2
| if uni(H) ∧ |H| > 1/2 · |Π| then dec := smor(H);

Communication predicate: F(ψ1) where ψ1 := (φ= ∧ φ1/2, φ1/2, φ1/2)
```

Another example with coordinators. Equalizer in round 2.

```
send (inp,ts)
| if uni(H) ∧ |H| > 1/2 · |Π| then x1 := maxts(H);
| if mult(H) ∧ |H| > 1/2 · |Π| then x1 := maxts(H);

send x1
| if uni(H) ∧ |H| > 1/2 · |Π| then x2 := smor(H);
| if mult(H) ∧ |H| > 1/2 · |Π| then x2 := smor(H);

send x2
| if uni(H) ∧ |H| > 1/2 · |Π| then x3 := inp := smor(H);
send x3
| if uni(H) ∧ |H| > 1/2 · |Π| then dec := smor(H);

Communication predicate: F(ψ1 ∧ Fψ2)
where: ψ1 = (φ1/2, φ= ∧ φ1/2, φ1/2, true) and ψ2 = (φ1/2, φ1/2, φ1/2, φ1/2)
```

Examples

Paxos

```
send (inp,ts) lr
| if uni(H) ∧ |H| > 1/2 · |Π| then  $x_1 := \max_{ts}(H)$ ;
| if mult(H) ∧ |H| > 1/2 · |Π| then  $x_1 := \max_{ts}(H)$ ;
send  $x_1$  ls
| if uni(H) then  $x_2 := inp := \text{smor}(H)$ ;
send  $x_2$  lr
| if uni(H) ∧ |H| > 1/2 · |Π| then  $x_3 := \text{smor}(H)$ ;
send  $x_3$  ls
| if uni(H) then  $dec := \text{smor}(H)$ ;
Communication predicate:  $F(\psi^1)$  where  $\psi^1 := (\varphi_{1/2}, \varphi_{1s}, \varphi_{1/2}, \varphi_{1s})$ 
```

3-round Paxos

```
send (inp,ts) lr
| if uni(H) ∧ |H| > 1/2 · |Π| then  $x_1 := \max_{ts}(H)$ ;
| if mult(H) ∧ |H| > 1/2 · |Π| then  $x_1 := \max_{ts}(H)$ ;
send  $x_1$  ls
| if uni(H) then  $x_2 := inp := \text{smor}(H)$ ;
send  $x_2$  every
| if uni(H) ∧ |H| > 1/2 · |Π| then  $dec := \text{smor}(H)$ ;
Communication predicate:  $F(\psi^1)$  where  $\psi^1 := (\varphi_{1/2}, \varphi_{1s}, \varphi_{1/2})$ 
```

Conclusions

- We wanted to do verification but arrived at a characterization
- Distributed algorithms are not algorithms:
 - for a given setting there is very little freedom for a solution
 - consensus must happen in two rounds: unifier followed by decider

Challenges

- We still do not know how to do verification, or even specify properties.
- Finding the best algorithms.
- What are reasonable extensions of this model?
Ben-Or's algorithm.