Unreliable Distributed Timing Scrutinizer to Converge toward Decision Conditions
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To cite this version:
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Observateurs de temps distribués, conditions de décision

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ABSTRACT. In this paper, we propose to extend the condition-based approach introduced and developed by Mostéfaoui et al. in 2001 by characterizing $V^n_f$, the set of all the possible input vectors containing the values proposed by $n$ processes. The condition-based approach consists in identifying sets of input vectors for which the consensus is directly solvable (i.e., in one communication step) in a pure asynchronous model despite up to $f$ crashes. We focus on all the other input vectors. Among them, we identify those that allow to solve the consensus problem in two communication steps still in a pure asynchronous model. For the other ones, we rely on a distributed oracle that enables the input vectors to converge toward a good patterned vector with probability one. We specify a protocol that benefits from this approach to solve the consensus problem very simply and efficiently.

RÉSUMÉ. Nous proposons d’étendre l’approche conditionnée, introduite et développée par Mostéfaoui et al. en 2001, par caractérisation de l’ensemble $V^n_f$ de tous les vecteurs entrants possibles contenant les valeurs générées par $n$ processus. L’approche conditionnée consiste à identifier les ensemble de vecteurs entrants pour lesquels le consensus est directement résoluble (c-a-d en une seule étape) dans un modèle asynchrone pur en dépit de $f$ crashes. Nous nous intéressons aux autres vecteurs entrants parmi lesquels nous identifions ceux qui permettent de résoudre le consensus en deux étapes de communications dans un modèle asynchrone pur. Pour les autres vecteurs, tout dépend d’un oracle distribué qui fait converger les vecteurs vers un vecteur bien conditionné avec probabilité 1. Nous spécifions un protocole qui tire avantage de cette approche pour résoudre simplement et efficacement le consensus.

KEYWORDS: Asynchronous systems, condition-based approach, converging-based approach, consensus problem.

MOTS-CLÉS : Système asynchrone, approche conditionnée, Problème d’agrément, consensus distribué, crashes, oracle

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1. Introduction

Agreement problems are unavoidable in distributed systems. Such problems arise whenever the processes of the system have to reach a common decision, or to share a view of the computation progress. All the agreement problems can be reduced to the same basic problem, namely the consensus problem (Shostak et al., 1981). In this problem, processes propose a value and must unanimously and irrevocably decide on the same value that is related to the proposed values. Unfortunately, Fisher, Lynch, and Paterson (Fisher et al., 1985) demonstrated that whenever the distributed system is both asynchronous and prone to crash failures there is no deterministic solution to the consensus problem (in the following, this result is referred as the FLP result).

Several approaches have been proposed to circumvent this impossibility result (Randomized protocols have been proposed (e.g., (Ben-Or, 1983)), weaker specifications of the problem have been given leading for example to the k-set agreement (Chaudhuri, 1993), or to the approximate agreement (Dolev et al., 1986), or properties have been given in the failure detection quality (Chandra et al., 1996)). Recently, another approach based on conditions has been investigated (Mostéfaoui et al., 2001a, Mostéfaoui et al., 2001b, Mostéfaoui et al., 2001c, Mostéfaoui et al., 2002). Contrary to the former one, this approach does not try to circumvent the FLP result (Fisher et al., 1985). Rather it finds restrictions on the set of input vectors (the i-th entry of an input vector contains the value proposed by process \( p_i \), with \( \mathcal{V} \) the set of possible values) for which the problem becomes solvable. In Mostéfaoui et al (Mostéfaoui et al., 2001a, Mostéfaoui et al., 2001b, Mostéfaoui et al., 2001c, Mostéfaoui et al., 2002), the authors focus on conditions \( C \) that identify sets of vectors of \( \mathcal{V}^n \) that allow \( n \) processes to directly solve the consensus problem in spite of up to \( f \) crashes in the standard asynchronous model. Such conditions are called \( f \)-acceptable conditions, and denoted \( \mathcal{C}^{[e]}_f \) with \( e \) the distance between these vectors (Mostéfaoui et al., 2001a). These conditions have to meet constraints that are defined in terms of a predicate \( P \) and a function \( S \). Both \( P \) and \( S \) have to satisfy some termination, agreement and validity properties that guarantee that for any two input vectors satisfying an \( f \)-acceptable condition, then the consensus problem is solved. As shown in (Mostéfaoui et al., 2003),
this approach is very efficient when the probability of process crashes is low (a common fact in practice).

Clearly among all the input vectors belonging to $Y^n$, only a subset of them belongs to $f$-acceptable conditions. Otherwise, it would contradict the FLP result (Fisher et al., 1985). For the other ones, consensus protocols need to rely on any combination merging random oracle, leader oracle or unreliable failure detector to guarantee the termination property (Mostefaoui et al., 2002).

In this paper, we focus on those input vectors that do not satisfy $f$-acceptable conditions. Clearly, among them, some are very close to good patterned vectors while the others are not. Specifically, information contained in the former ones is sufficiently significant to guarantee that with a high probability all the correct processes highlight the same value from the received input vector. Thus, by proposing this value as new input value, all the processes converge very quickly toward the same decision value. By relying on such a property, one can build very simple and efficient consensus protocols that decide in two rounds of computation despite up to $f$ crash failures, and without any help (i.e., without any oracles). This paper proposes a characterization of this set of vectors. In the following, this set of vectors is denoted $C_{[e],s}^f$. For all the other vectors, denoted hereafter $C_{[e],w}^f$, that is, those which are far from the good patterned ones, it is necessary to enrich or refine their information. Possible solutions are to wait for more input values (i.e., more than $n - f$ input values) or to propose a new input value that has some chance to be proposed by other processes. Clearly the first solution is impossible in a pure asynchronous model essentially because one cannot make the difference between a very slow process and a crashed one. Concerning the second solution, the probability that all correct processes propose the same new input value is very low simply because their input vectors may be different. Our idea is to combine both solutions. To this end, we rely on a timing oracle, the unreliable distributed timing scrutinizer (Anceaume et al., 2002), that provides infinitely often the actual time needed to receive $x$ messages provided that $x$ processes have not crashed, with $x \geq n - f$. By relying on this mechanism, each process may enrich the information contained in its input vector, and thus, can refine the value returned by the decision
function $S$ (Mostéfaoui et al., 2001a). By proposing this value as new input value, the probability to converge toward a good patterned vector (i.e., a vector that satisfies an acceptable condition) increases to eventually be equal to 1. Clearly, one could have relied on any oracle (random oracle, leader oracle or unreliable failure detector) as in MostÉfaoui et al. (Most ´efaoui et al., 2002). However, their approach guarantees an eventual termination or a termination with probability 1, while the $U D T S$ mechanism ensures infinitely often a termination in a bounded number of steps. We show in this paper that there exists for a given $e \in [0, f]$ a strict partition of the set of all the possible vectors $\mathcal{Y}_f^n$ in $\mathcal{C}_f^{[e]}$, $\mathcal{C}_f^{[e],s}$ and $\mathcal{C}_f^{[e],w}$.

We present experimental results that emphasize the interest of the proposed approach. For a given $f$-acceptable condition $\mathcal{C}_f^{[e]}$ and a given $\mathcal{Y}$, we present the distribution of vectors in $\mathcal{C}_f^{[e]}$, in $\mathcal{C}_f^{[e],s}$, and in $\mathcal{C}_f^{[e],w}$. These results show that for a binary consensus, the ratio of vectors that satisfy $\mathcal{C}_f^{[e]}$ decreases with increasing values of $n$ (e.g., for $n = 3$, 40% of vectors satisfy $\mathcal{C}_f^{[e]}$, while for $n = 9$, 5% of them satisfy $\mathcal{C}_f^{[e]}$). This result is reversed for the vectors that satisfy $\mathcal{C}_f^{[e],s}$ (for $n = 3$, 45% of vectors satisfy $\mathcal{C}_f^{[e],s}$, while for $n = 9$, 53% of them satisfy $\mathcal{C}_f^{[e],s}$).

The contributions of this paper are as follows:

– We propose, for a given acceptable condition $\mathcal{C}_f^{[e]}$ and a probability $k \in (0.5, 1]$, a characterization of the set $\mathcal{Y}_f^n$. This characterization includes the set of vectors that satisfy $\mathcal{C}_f^{[e]}$ defined by MostÉfaoui et al. (Mostéfaoui et al., 2001a, Mostéfaoui et al., 2001b, Mostéfaoui et al., 2001c, Mostéfaoui et al., 2002), and the two above sets of vectors $\mathcal{C}_f^{[e],s}$ and $\mathcal{C}_f^{[e],w}$. The set $\mathcal{C}_f^{[e],s}$ contains all the input vectors for which the probability to converge toward a good patterned vector is greater than or equal to $k$. The set $\mathcal{C}_f^{[e],w}$ contains all the vectors whose information is not significant enough to deterministically highlight some value.

– We illustrate our approach by providing, for a given $f$-acceptable condition, the distribution of vectors in each of the classes $\mathcal{C}_f^{[e]}, \mathcal{C}_f^{[e],s}$
and \( V_n \), according to \( n \) and \( |V| \).

- We specify a deterministic consensus protocol that benefits from the condition-based approach together with the characterization of \( V_n \) to augment the number of input vectors that lead to a decision value either directly (condition-based approach) or very quickly (in two rounds of protocol). For all the other vectors, the protocol relies on the UDTS oracle to decide in a bounded number of steps.

The remaining of the paper is organized as follows. Section 2 describes the computational model and the consensus problem. Section 3 outlines the condition-based approach. Section 4 presents the convergence-based approach, the approach we propose. Section 5 presents the deterministic consensus protocol. Section 6 concludes.

2. The Distributed Computation Model and the Consensus Problem

2.1. The Distributed Computation Model

The system consists of a finite set \( \Pi \) of \( n > 1 \) processes, namely, \( \Pi = \{ p_1, \ldots, p_n \} \). We denote by \( \langle ij \rangle \), the link from \( p_i \) to \( p_j \). Processes communicate and synchronize by sending and receiving messages. The network can be represented as a complete graph structure \( G = \{ \Pi, E \} \), where \( E = \{ \langle ij \rangle, i, j \in [1, n]^2 \} \). For each process \( p_i \) we denote by \( G_i = \{ \Pi, E_i \} \) the sub-graph defined by a central node \( p_i \) and the set \( E_i = \{ \langle ji \rangle, j \in [1, n] \} \). In the following we call this sub-graph structure a star-graph (example in Figure 1).

2.1.1. Failure Model

The execution of a process might stop prematurely (crash failure), or can fail to process some code in a timely manner (performance failure). A crashed process does not recover, contrary to a process that suffers from performance failures. By definition, a correct process is a process that never crashes, while a faulty one is not correct. The maximum number of faulty processes is denoted \( f \). Both correct and faulty processes can suffer from performance failures.
The datagram service is assumed to be completely controlled by an adversary which has all freedom to delay (but not to drop or to corrupt) messages. In other words, the datagram service has a performance failure semantic \(\text{i.e., it can fail to deliver messages in a timely manner).}\)

Finally, we assume that each non-crashed process has access to a correct hardware clock \(H_p, \text{i.e., with a known and finite drift rate). This assumption simplifies applications since they have to deal with crash failures anyhow but they do not have to deal with faulty clocks like “fast” or “slow” clocks (Cristian et al., 1999). Note that this hypothesis is not unrealistic even in large networks. For example, GPS (Global Positioning System) clocks are becoming affordable, and they can provide clocks whose drift is very small and known (Verissimo et al., 2000). In case the knowledge of local drifts cannot be ensured, it is possible to use past heartbeat messages to get accurate estimates of the expected arrival times of future heartbeats, and then to use them to synchronize processes. Using past heartbeat messages does not involve any additional overhead in messages.

2.1.2. Behavior of the Communication Links

The behavior of communication links follows the one described in (Anceaume et al., 2002) (example in Figure 2). Briefly, transmission
delays are modeled by a random variable $\mathcal{X}$. The behavior of communication links is encompassed by the covering and locality properties (Anceaume et al., 2002). The covering property guarantees that the behavior of message transmission delays over the communication link can always be approximated by a sequence of probabilistic laws. While the locality property guarantees that any two consecutive elements of this sequence are similar. More precisely, since $\mathcal{X}$ does not follow a known classical probabilistic law, we cover the history of message transmission delays by a sliding window on which $\mathcal{X}$ follows a known classical probabilistic law.

Figure 2: example of transmission delays of a particular link according to time

A communication link is stable if it satisfies the locality and covering properties. In the following, we assume that the network is stable, i.e., any link connecting any two correct processes is stable.

2.1.3. The Unreliable Distributed Timing Scrutinizer

The unreliable distributed timing scrutinizer (UDTS) is defined in (Anceaume et al., 2002). This mechanism captures the state of the network and, based on its observation, estimates messages transmission delays. This is a distributed module such that each process has access to a local UDTS. The local UDTS associated to process $p_i$ is denoted $UDTS_i$. Upon $p_i$ request, $UDTS_i$ predicts an estimate $\Delta_i$ of the waiting time needed to receive a given number of messages over $G_i$. Due to the possible unpredictable but transient fluctuations over $G_i$, $\Delta_i$ can be temporarily under-estimated or over-estimated. However, by peri-
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odically updating its estimate, \( UDTS_i \) quickly and easily adapts to \( G_i \) behavior. It is implementable and by capturing the network properties, one may determine the waiting time that minimizes the number and/or the duration of computational rounds of the agreement protocol (Anceaume et al., 2002), or may simply compute the waiting needed time to receive \( m, m + 1, \ldots, m' \) messages, with \( 1 \leq m, m' \leq n \). This is this latter feature that we use in this paper. More precisely, when \( p_i \) queries \( UDTS_i \) with an interval of values \( \lceil k_0n \rceil, n \) with \( \lceil k_0n \rceil \) the smallest number of messages needed to guarantee the safety property of the agreement protocol run by \( p_i \), \( UDTS_i \) returns a vector \( TimEst_i \) of estimated waiting times. This vector contains \( n - \lceil k_0n \rceil + 1 \) entries. \( TimEst_i[k] \) is an estimation of the waiting time needed to receive \( k \) messages over \( G_i \) if \( UDTS_i \) is able to compute this time, that is if at least the \( k \) corresponding links are stable, otherwise \( TimEst_i[k] \) is equal to \( \bot \). An Unreliable Distributed Timing Scrutinizer (\( UDTS \)) is completely defined by the Completeness property. This property characterizes the detection of stable links, and is defined as follows. For all \( i \in [1, n] \):

- Completeness property: all stable links of \( G_i \) are detected.

As previously said, the \( UDTS \) oracle is unreliable in the sense that its estimations can be temporarily under-estimated or over-estimated. However, by the stable network and the completeness properties, the returned estimation is infinitely often correct (Anceaume et al., 2002). So the greatest non \( \bot \)-value of vector \( TimEst_i \) allows infinitely often the receipt of all the messages sent to \( p_i \). The proposed consensus algorithm relies on such a property to make any input vector in \( \mathcal{C}^e \) converge to \( \mathcal{C}^{e,s} \). This is detailed hereafter.

2.2. The Consensus Problem

The consensus problem can be informally defined as follows: Each process that executes the consensus proposes a value, and all the correct processes must eventually decide on the same initial value. Formally the consensus problem satisfies the following three properties:

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1. Typically, \( k_0n \) is equal to \( \lceil \frac{n+1}{2} \rceil \) or to \( \lceil 2\frac{n+1}{4} \rceil \) in agreement protocols.
– **Termination:** Every correct process eventually decides exactly one value.

– **Validity:** If a process decides \( v \), then \( v \) was proposed by some process.

– **Agreement:** If a process decides \( v \), then all correct processes eventually decide \( v \).

We introduce the Finite Termination property. This property guarantees that correct processes terminate infinitely often in a bounded number of computation steps.

### 3. The Condition-Based Approach

As said in the Introduction, this work relies on the condition-based approach which has been introduced and developed by Mostefaoui and al. (Mostefaoui et al., 2001b), (Mostefaoui et al., 2001c), (Mostefaoui et al., 2001a). This section outlines this approach.

#### 3.1. The Approach

The condition-based approach consists in considering conditions that make the consensus problem solvable, despite up to \( f \) crashes. More precisely, it consists in identifying sets of input vectors for which it is possible to design a protocol that does not require additional assumptions, i.e., a pure asynchronous environment. An input vector \( I \) is a size \( n \) vector, whose \( i \)-th entry contains the value proposed by process \( p_i \), or \( \bot \) if \( p_i \) did not take any step in the execution. The set of values that can be proposed by the processes is denoted \( \mathcal{V} \). Note that \( \bot \notin \mathcal{V} \). If at most \( f \) processes can crash, at most \( f \) entries are equal to \( \bot \). These input vectors are called views. For \( I \in \mathcal{V}^n \), with \( \mathcal{V}^n \) the set of all possible input vectors with all entries in \( \mathcal{V} \), then \( \mathcal{J}_f \) denotes the set of possible views \( J \) such that \( I \) agrees with \( J \) in all the non \( \bot \)-entries of \( J \). By extension, \( \mathcal{V}^n_f \) denotes the set of all possible vectors with at most \( f \) entries equal to \( \bot \). To solve consensus, a condition has to meet constraints that are defined in terms of a predicate \( P \) and a function \( S \). Both \( P \) and \( S \) have to satisfy a termination, validity, and agreement properties. Informally, these properties say that predicate \( P \) allows a process \( p_i \) to test
whether a decision value can be computed from its view, while function $S$ applied on a valid view allows $p_i$ to get as decision value an initial value.

- $T_{C,p}$ (Termination property): $I \in C \Rightarrow \forall J \in \mathcal{I}_f : P(J)$
- $V_{p,S}$ (Validity property): $\forall J \in \mathcal{I}_f : P(J) \Rightarrow S(J) = a \text{ non-}\bot$ value of $J$
- $A_{p,S}$ (Agreement property): $\forall J_1, J_2 \in \mathcal{I}_f : (J_1 \leq J_2) \land P(J_1) \land P(J_2) \Rightarrow S(J_1) = S(J_2)$

The latter one introduces the ordering property $(J_1 \leq J_2)$ for $J_1, J_2 \in \mathcal{I}_f$ which is defined as follows: $\forall k : J_1[k] \neq \bot \Rightarrow J_1[k] = J_2[k]$. This ordering property strongly relies on the invocation to the snapshot primitive. This primitive is assumed to be available to all the processes in a standard asynchronous shared-memory system. However, in a message-passing model, as assumed in this paper, there is no snapshot-like primitive. However, in such a model, one can easily implement the comparison ordering property $J_1 \sim_e J_2$. This ordering property can be defined as follows: Let $J_1, J_2 \in \mathcal{I}_f$ be any two input vectors. Let $e \in [0, 2f]$ with $f < \frac{n}{2}$.

**Definition 1** $J_1$ is $e$-comparable to $J_2$, denoted $J_1 \sim_e J_2$, iff for all $i \in [1..n]$ we have

$(J_1[i] = J_2[i] \lor J_1[i] = \bot \lor J_2[i] = \bot)$ and at most $e$ $t$-uplets $(J_1[i], J_2[i])$ with $J_1[i] = \bot \lor J_2[i] = \bot$.

Clearly the comparison property $J_1 \sim_e J_2$ is weakest than the ordering property $(J_1 \leq J_2) \lor (J_2 \leq J_1)$). Hence, we need to weaken, as Mostéfaoui and al. (Mostéfaoui et al., 2001c), the agreement property of an acceptable condition as follows:

- $A_{p,S}^{e}$ (e-Agreement property): $\forall I \in \mathcal{I}_f : P(J_1) \land P(J_2) \land (J_1 \sim_e J_2) \Rightarrow S(J_1) = S(J_2)$

A condition is $f$-acceptable if there exists a predicate $P^{[e]}$ and a function $S$ satisfying the Termination, Validity and $e$-Agreement properties. Mostéfaoui et al. (Mostéfaoui et al., 2001a) characterize the largest set of conditions that allows to solve the consensus problem. Henceforth,
we consider only $f$-acceptable conditions. We denote these conditions by $C^{[e]}_f$ where $e$ can be seen as the degree of asynchrony of the system.

### 3.2. The Condition-based Module

The condition-based module is a distributed module which implements the condition-based approach, more precisely the acceptability parameters $P^{[e]}$ and $S$ of the given acceptable condition $C^{[e]}_f$ (Mostéfaoui et al., 2001a). Processes exchange their estimate values to define their current views $V_i$ of proposed values, and then apply predicate $P$ to $V_i$, and accordingly function $S$ returns the decision value if predicate $P$ returns true, otherwise $S$ returns a ⊥-value, that is a non-decision value. To guarantee the termination of a condition-based consensus protocol, one needs to associate the condition-based module with any combination merging random oracle, leader oracle or unreliable failure detector oracles (Mostéfaoui et al., 2001a).
4. The Convergence-based Approach

One can depict $\mathcal{V}_n^f$ as a collection of decision sets isolated from each other by a non-decision area. Each isolated decision set contains all the input vectors $J$ that satisfy predicate $P^{[e]}$ and such that $S(J) = a$. The non-decision area $\mathcal{V}_n^f / \mathcal{G}_j^{[e]}$ contains all the input vectors $J'$ such that $\neg P^{[e]}(J')$. This is illustrated in Figure 3. As briefly presented in the Introduction, our approach, that we call the convergence-based approach, consists in characterizing this non-decision area. Clearly due to FLP result (Fisher et al., 1985), $\mathcal{V}_n^f / \mathcal{G}_j^{[e]}$ is a non-empty set. Thus the convergence-based approach consists in characterizing the set $\mathcal{V}_n^f / \mathcal{G}_j^{[e]}$ with $f \geq 1$. For a given $f$-acceptable condition, and a value $k \in (0.5, 1]$, we propose to split the non-decision area $\mathcal{V}_n^f / \mathcal{G}_j^{[e]}$ into two sub-areas $\mathcal{G}_j^{[e],s}$ and $\mathcal{G}_j^{[e],w}$. Informally, the former one, that we call the strong agreement area, contains all the input vectors such that with a high probability converge toward a perfectly determined value, while the second one contains vectors such that with a low probability converge toward a perfectly determined value. Note that in the following we use indifferently the term convergence area and convergence set.

4.1. Notations and Definitions

Given $e \in [0, 2f]$, $k \in (\frac{1}{2}, 1]$, and an input vector $J \in \mathcal{V}_n^f$, predicate $P^{[e]}_k(J)$ allows a process $p_i$ to test whether for any $e$-comparable input vector $J_1 \in \mathcal{V}_n^f$, the probability that $S(J) = S(J_1)$ is greater than or equal to $k$:

$$- P^{[e]}_k(J) : \forall J_1 \in \mathcal{V}_n^f / J \sim_e J_1, Pr[S(J) = S(J_1)] \geq k$$

where $Pr[X]$ denotes the probability that event $X$ occurs.

Within this context, we can define the notions of strong agreement set $\mathcal{G}_j^{[e],s}$ and weak agreement set $\mathcal{G}_j^{[e],w}$ as follows:

**Definition 2** Given an $f$-acceptable condition, we have:

- $\mathcal{G}_j^{[e],s}$ (Strong convergence set) = \{ $J \in \mathcal{V}_n^f / P^{[e]}_k(J) \wedge \neg P^{[e]}(J)$ \}
- $\mathcal{G}_j^{[e],w}$ (Weak convergence set) = \{ $J \in \mathcal{V}_n^f / \neg P^{[e]}_k(J) \wedge \neg P^{[e]}(J)$ \}
Lemma 4.1 \( C_f^e \cap C_f^{e,s} = C_f^e \cap C_f^{e,w} = C_f^e \cap C_f^{e,s} = \emptyset \)

Proof We only prove the first part of the lemma, i.e., \( C_f^e \cap C_f^{e,s} = \emptyset \), since the proof of the other two parts are very similar.

The proof is done by contradiction. Suppose that there exists some vector \( I \in C_f^e \cap C_f^{e,s} \). Then, by definition of \( C_f^{e,s} \) and \( C_f^{e,w} \), vector \( I \) satisfies \( P[I] \) and \( \neg P[I] \). Clearly, this is impossible. Thus vector \( I \) does not exist, and \( C_f^e \cap C_f^{e,s} = \emptyset \).

The following lemma shows that \( \{ C_f^e, C_f^{e,s}, C_f^{e,w} \} \) is a partition of \( \mathcal{V}_f \), for a given \( e \in [0,f] \) and \( k \in (0.5,1] \).

Lemma 4.2 \( \mathcal{V}_f = C_f^e \cup C_f^{e,s} \cup C_f^{e,w} \) and \( C_f^e \cap C_f^{e,s} \cap C_f^{e,w} = \emptyset \)

Proof By lemma 4.1, the assertion \( C_f^e \cap C_f^{e,s} \cap C_f^{e,w} = \emptyset \) is trivially true.

We now prove that \( \mathcal{V}_f = C_f^e \cup C_f^{e,s} \cup C_f^{e,w} \). By definition, we have \( C_f^e \subset \mathcal{V}_f \), \( C_f^{e,s} \subset \mathcal{V}_f \), and \( C_f^{e,w} \subset \mathcal{V}_f \). Thus \( C_f^e \cup C_f^{e,s} \cup C_f^{e,w} \subset \mathcal{V}_f \). Let \( I \in \mathcal{V}_f \). If \( P[I] \) then \( I \in C_f^e \), otherwise we have \( \neg P[I] \). If \( P[I] \) then \( I \in C_f^{e,s} \) otherwise \( I \in C_f^{e,w} \). Thus \( I \in C_f^e \cup C_f^{e,s} \cup C_f^{e,w} \).

4.2. Properties

Given an acceptable condition \( C_f^e \) with \( D[e] \) and \( S \) satisfying the properties \( T_{C \rightarrow D}, V_{P \rightarrow S} \) and \( A_{P \rightarrow S} \), we define the property \( A_{P \rightarrow S} \). This property guarantees the agreement among all vectors in \( C_f^{e,s} \):

\(- \) \( A_{P \rightarrow S} \) (Strong Convergence Agreement property):
\[ \forall I \in \mathcal{V} : \forall J_1, J_2 \in \mathcal{F}, P_k[I] \wedge P_k[J_1] \wedge P_k[J_2] \Rightarrow S(J_1) = S(J_2) \]
Definition 3 A strong agreement area is acceptable iff property $A_{P_k \rightarrow S}^{[e]}$ is guaranteed.

A first consequence of this property is that $C^{[e],s}_f$ can be partitioned in $|\mathcal{V}|$ subsets $C^{[e],s,a}_f$ such that

$C^{[e],s}_f = \bigcup_{a \in \mathcal{V}} C^{[e],s,a}_f$ with $a \in \mathcal{V}$. We have

$C^{[e],s}_f = \bigcup_{a \in \mathcal{V}} C^{[e],s,a}_f$ with $a \neq b \in \mathcal{V}$ ($C^{[e],s,a}_f \cap C^{[e],s,b}_f = \emptyset$). The second consequence is that if for some vector $J_1$ validating predicate $P^{[e]}$ and such that the decision value is $S(J_1)$ then for any other comparable vector $J_2$ validating predicate $P^{[e]}_k$, then $J_2$ converges also to $S(J1)$:

- $A_{P_k \rightarrow S}^{[e]}$ (Convergence Agreement property):
  $\forall I \in \mathcal{V}^n : \forall J_1, J_2 \in \mathcal{I}_f, P^{[e]}(J_1) \land P^{[e]}_k(J_2) \land (J_1 \sim J2) \Rightarrow S(J1) = S(J2)$

4.3. The Condition-Based$^+$ Module

The condition-based$^+$ module is an extension of the condition-based module (see Section 3.2). It implements for a given $f$-acceptable condition $C^{[e]}_f$ the predicate $P^{[e]}$ and function $S$ as in Mostéfaoui et al. (Mostéfaoui et al., 2001c) and predicate $P^{[e]}_k$. Figure 4 describes the algorithm of the condition-based$^+$ module. In addition to the implementation of the predicates $P^{[e]}$ and $P^{[e]}_k$ and function $S$, this module computes the distance which separates vector $V_i$ from the nearest vector $J \in C^{[e]}_f$ if $V_i \in C^{[e],s}_f$ and from the nearest $J \in C^{[e],w}_f$ if $V_i \in C^{[e],w}_f$. The distance which separates vector $V_i$ from the nearest vector $J$ in $C^{[e]}_f$ or in $C^{[e],w}_f$ is equal to the minimum number of estimates needed to possibly decide or strongly converge. This distance is used by $p_i$ to estimate whether it is worth waiting for more estimates or not. The distance from $V_i$ to a set $F$ is computed as follows:

$d(V_i, F) = \min\{\{\text{distance}(V_i, J), J \in F\}\}$ with $\text{distance}(V_i, J)$ the number of couples $(V_i[j], J[j])$ that contain exactly one $\perp$-value.
4.4. Some Experimental Results

This section provides a quantitative evaluation of the proportion of vectors within the decision, the strong convergence and the weak convergence areas. This evaluation is done by considering the \( f \)-acceptable condition \( \mathcal{C}^f_{2f} \) proposed by MostÈaoui et al (MostÈaoui et al., 2001c). Since we assume a message passing model, we need to consider \( f \)-comparable input vectors, with \( f < \frac{n}{2} \). Predicate \( P^f_{2f} \) and function \( S^f_2 \) are respectively defined as follows. Let \( J \) be an input vector belonging to \( \mathcal{C}^f_{2f} \). Then, \( P^f_{2f}(J) \equiv \#_{1st}(J) - \#_{2nd}(J) > f + f - \#_{\bot}(J) \) (with \( \#_{1st}(J) \) and \( \#_{2nd}(J) \) denote the occurrence number of the most common value and second most common value of vector \( J \), respectively), and \( S^f_2(J) = \alpha \) such as \( \#_\alpha(J) = \#_{1st}(J) \). These experimental results mostly show the proportion of input vectors that satisfy \( \mathcal{C}^f_{2f}, s \) and those that satisfy \( \mathcal{C}^f_{2f}, s, S \). These results have been obtained as follows. All the vectors in \( \mathcal{C}^f_{2f} \) have been generated for different values of \( n \) and of \( \mathcal{C}^f_{2f} \). First, the number of input vectors in \( \mathcal{C}^f_{2f} \) has been enumerated. Then, for each input vector \( J \) not in \( \mathcal{C}^f_{2f} \), we have made an inventory of all the input vectors \( J_1 \in \mathcal{C}^f_{2f} \) such that \( J_1 \sim_J J \). Let \( |J_1 \sim_J J| \) be this number. We have then evaluated the ratio \( r_J = \frac{|J_1 \sim_J J|}{|\mathcal{C}^f_{2f} \cap S(J)|} \) to calculate the number of input vectors in \( \mathcal{C}^f_{2f}, s, S(J) \). We have \( \mathcal{C}^f_{2f}, s, S(J) = \{ J' \in \mathcal{C}^f_{2f} / \neg P^f_{2f}(J') \land (r_{J'} \geq k) \land (S(J) = S(J')) \} \). Finally, the proportion of input vectors belonging to \( \mathcal{C}^f_{2f}, s \) is equal to \( r = \frac{|\bigcup_{J \in \mathcal{C}^f_{2f}, s} \mathcal{C}^f_{2f}, s, S(J)}{|\mathcal{C}^f_{2f} \cap S(J)} \) . The lessons learned from these experimental results are consistent with the intuition. These results are shown in Fig-

\[
\text{Function GetCond}^+(V)
\]

\begin{enumerate}
\item if \( \neg (P^e_k(V) \lor P^e_k(V)) \) then
\item return \( \text{PutCond}^+(S(V), d(V, C^e_k), false, false); \)
\item else
\item return \( \text{PutCond}^+(S(V), d(V, C^e_k), P^e_k(V), P^e_k(V)); \)
\end{enumerate}

Figure 4: The Condition-based Module Run by Process \( p_i \)
Figure 5. This figure depicts two graphs. The left graph of the figure plots the ratio of input vectors belonging to $C_{2^{|f|}} (y$ axis) against the number $n$ of processes ($x$ axis) for $|Y| = 2$ and $3$. From this graph, we observe that this ratio strongly decreases with increasing values of $n$ (this ratio decreases to 0.3% for $n = 9$ and $|Y| = 3$). This confirms the fact that favoring the value that appears the most often in an input vector despite up to $f$ crashes and the presence of any other value is more difficult to attain when $n$ increases. The right graph of the figure plots the ratio of input vectors belonging to $C_{2^{|f|,*}} (y$ axis) against the number $n$ of processes ($x$ axis) for $|Y| = 2$ and $3$. This ratio is obtained with $k = 0.7$. Contrary to the left one, both curves are less sensitive to increasing values of $n$, and the ratio remains above 30% of the total number of input vectors.

Figure 5: Ratio of Decision and Strong Convergence Vectors Against the Number of Processes

5. The Consensus Protocol

5.1. Principles of the Protocol

This section presents a distributed algorithm that solves the consensus problem described in Section 2.2. This algorithm implements the convergence-based approach. We assume a set of $n$ processes connected
by stable links such that among them strictly less than \( \lceil k_0 n \rceil = \frac{n}{2} \) processes may crash. Processes proceed in asynchronous and consecutive rounds. In contrast to several existing protocols, the protocol we propose is neither based on the rotating coordinator nor on the leader-based paradigms. Rather, all the processes have a symmetric role, and at each round any process is likely to determine the decision value. The protocol is described in Figure 6. A process \( p_i \) starts a consensus execution by invoking the function \( \text{Consensus}(v) \), where \( v \) is the value \( p_i \) proposes. This function is made up of four concurrent tasks \( T_1, T_2, T_3, \) and \( T_4 \). The statement return(\( est_i \)) returns to \( p_i \) the decision value \( est_i \) which terminates \( p_i \) consensus execution.

Task \( T_1 \) is in charge of building \( p_i \) input vector \( V_i \) and querying the condition-based\(^+\) module. Whenever \( p_i \) has received \( \lceil k_0 n \rceil \) propose messages, and at each new receipt, \( p_i \) queries its condition-based\(^+\) module with its local view \( V_i \) as parameter (lines 5-6).

Task \( T_2 \) is the main task of the protocol. At the beginning of a new round, \( p_i \) queries \( UDT S_i \) to obtain its vector of time estimations \( \text{TimEst}_i \) (line 10). As previously said in Section 2, the \( k \)th entry of \( \text{TimEst}_i \) provides the time needed for \( p_i \) to receive \( \lceil k_0 n \rceil + k \) propose messages. Process \( p_i \) first initializes an alarm clock with the time needed to receive \( \lceil k_0 n \rceil \) propose messages, that is, \( \text{TimEst}_i[0] \) (line 13). Then it broadcasts its proposed value to all the processes and enters a waiting loop. Process \( p_i \) exits this waiting loop either when it times out, or when its input vector \( V_i \) satisfies either \( \mathcal{C}[^f] \) \( \text{decide}=\text{true} \) or \( \mathcal{C}[^s] \) \( \text{strong}=\text{true} \). During this waiting loop, \( p_i \) receives at least \( \lceil k_0 n \rceil \) propose messages. Clearly, if the proposed values satisfy the \( f \)-acceptable condition (implemented within the condition-based\(^+\) module), then \( p_i \) directly decides the value returned by this module, i.e., \( est \) (line 24). In that case, \( p_i \) exits from the wait until loop, reliably broadcasts the decision value to all the processes, and returns \( est \) (lines 16-18).

Task \( T_3 \) analyzes the result returned by the condition-based\(^+\) module. First, \( p_i \) updates its estimate with \( S(V_i) \) (line 23). Then it checks whether it is worth waiting for more estimates or not. This is implemented by testing whether \( nbvalue \leq k + \lceil k_0 n \rceil - \#(\bot)_{V_i} \) is true. If
this is true, this means that the receipt of \( nbvalue \) more estimates guarantees \( p_i \) either to decide (if \( V_i \) already belongs to a strong convergence area) or to converge toward a strong convergence area (if \( V_i \) belongs to a weak convergence area) (see Section 4.3). In both cases, \( p_i \) continues to wait in the wait until loop. If the above test is not satisfied, then \( p_i \) searches in \( TimEst \), the smaller waiting time corresponding to the receipt of \( nbvalue \) estimates (line 26). If this waiting time exists (i.e., \( UDTS_i \) is able to determine the time needed to receive \( nbvalue \) messages, that is at least \( nbvalue \) processes are still non-crashed), then \( p_i \) updates its alarm clock accordingly, and continues to wait in the waiting loop with this new delay. Otherwise, \( p_i \) cannot wait for any more estimates. Then it tests whether its input vector belongs to a strong convergence area. In the affirmative, it exits from the waiting loop, and enters the next round. Indeed, waiting for more estimates is not necessary since the distance of \( V_i \) to the closest decision vector is too large to be reached. Otherwise (lines 33 34), \( p_i \) strives to converge toward a strong convergence area. To this end, it updates its alarm clock with the time needed to receive the greatest number of estimates, and continues to wait in the waiting loop with this new delay.

Task \( T_4 \) is a decision task.

### 5.2. Proof of the Consensus Protocol

**Lemma 5.1** Infinitely often if \( 2\Delta \) has elapsed then \( \Delta = \text{Sup}\{\text{TimEst}[i], i \in [1, n]\} \).

**Proof** The proof is by contradiction. Let \( V_i \) be the input vector of process \( p_i \). Suppose that \( 2\Delta \) time units have elapsed and \( \Delta \neq \text{Sup}\{\text{TimEst}[i], i \in [1, n]\} \). Thus there exists some \( k \) such that

\[
k = \text{Min}(e \in [0, \lceil k_0 n \rceil]) | nbvalue \leq e + \lceil k_0 n \rceil - \#(\neg \bot)_{V_i} \]

(line 26).

From the property of \( UDTS_i \), infinitely often \( \Delta \) allows the receipt of at least \( nbvalue \) messages before \( t + 2\Delta \). By construction of the condition-based+ module, \( V_i \) is such that \( \text{distance}(V_i, C_f^{[f]^s}) = nbvalue \) if \( V \in C_f^{[f]^s} \), or \( \text{distance}(V_i, C_f^{[f]^s}) = nbvalue \) if \( V \in C_f^{[f]^w} \). At each new receipt of a propose message two cases are possible:
Function Consensus(ν)

(1) \( r \leftarrow 0; est_i \leftarrow \nu; V_i[1..n] \leftarrow \perp \)
\( \text{decision} \leftarrow false; \text{Decide} \leftarrow false; \text{Strong} \leftarrow false; \)

(2) \% \text{ReadTime}() : returns the local time system

Task \( T_1 \):

(3) \text{upon receipt of} \( \text{propose}(r; est_j) \)
(4) \( V_i[j] \leftarrow est_j; \)
(5) \text{if} (\#(\neg\perp)_{V_i} \geq \lceil k_0 n \rceil) \text{then}
(6) \text{GetCond}^+(V_i);
(7) \text{endif}
\endTask

– case 1: the received propose message does not decrease \( nbvalue \). Thus \( nbvalue \leq k + \lceil k_0 n \rceil - (\#(\neg\perp)_{V_i} + 1) \), that is, \( nbvalue \leq (k - 1) + \lceil k_0 n \rceil - \#(\neg\perp)_{V_i} \). By definition of \( k \), this is impossible.

– case 2: the received propose message decreases \( nbvalue \). Thus, progressively, \( nbvalue \) decreases down to 0 before time \( t + 2\Delta \) time units. Thus either \( \text{decide} = \text{true} \) or \( \text{strong} = \text{true} \) before \( t + 2\Delta \) time units have elapsed, which contradicts the assumption of the lemma.

This ends the proof of the lemma. \( \square \) _Lemma 5.1_

**Lemma 5.2** Infinitely often at the end of a round \( r \), all non crashed processes have the same estimate.

**Proof** Let us consider any two processes \( p_i \) and \( p_j \). Several cases are considered.

– \( p_i \) decides. In this case, three sub-cases are possible:

– \( p_j \) decides : Due to the acceptability of the condition, we have \( S(V_i) = S(V_j) \) leading by construction of the algorithm to \( est_i = est_j \).
- \( p_j \) strongly converges: Due to the Convergence Agreement property we have \( S(V_i) = S(V_j) \). Thus by construction of the algorithm, we have \( est_i = est_j \).

- \( p_j \) weakly converges: By construction of the protocol, \( 2\Delta \) time units have elapsed. From the property of \( UDTS_j \), infinitely often \( \Delta \) time units allow \( p_j \) to receive all the messages sent to it. Thus \( p_j \) receives at least all the estimates \( p_i \) has received. Thus by function \( S \), \( S(V_i) = S(V_j) \).

- No process decides and all the processes exit the wait until loop with their input vector satisfying a strong convergence area. By the strong convergence agreement property all the processes \( p_i \) and \( p_j \) satisfy \( S(V_i) = S(V_j) \), and thus have the same estimate at the end of the round.

- \( 2\Delta \) time units have elapsed for all the non-crashed processes. Then infinitely often all the processes have received all the messages sent to them (by lemma 5.1). Thus, infinitely often all the processes build the same local view and by function \( S \), obtain the same estimates.

- No process decides, some processes exit the waiting loop after \( t + 2\Delta \) time units, and the other ones belong to a strong convergence area. Then all the processes that exit the waiting loop upon time-out have received all the messages sent to them. By construction of the protocol, either they strongly converge or they decide. Thus, by the strong convergence agreement area, they all complete the round with the same estimate.

\( \square \) Lemma 5.2

\textbf{Lemma 5.3} If a correct \( p_i \) does not begin the round \( r + 1 \) after after having executed round \( r \) then \( p_i \) decides at the end of the round \( r \).

\textbf{Proof} The proof is by contradiction. Suppose that \( p_i \) does not decide in round \( r \) and does not begin round \( r + 1 \). It must be the case that \( p_i \) is blocked forever in the waiting loop, that is \( decide=\text{false} \) and \( strong=\text{false} \). By assumption of the model, \( p_i \) receives at least \( n - f \) messages. Thus eventually, \( p_i \) time-outs (after \( 2\Delta \) time units), exits the wait until loop, and begins round \( r + 1 \). This contradicts the assumption, and concludes the lemma.

\( \square \) Lemma 5.3
Lemma 5.4 Eventually, at least one process decides.

Proof Let \( r \) be the current round. If some correct process \( p_i \) does not begin round \( r \) then \( p_i \) must have previously decided by lemma 5.3. Suppose that all the non-crashed processes begin round \( r \). Let \( p_i \) be such a process. If \( V_i \) satisfies \( C_f^{[f]} \), then \( p_i \) decides. Otherwise, due to lemma 5.2 infinitely often all the processes complete round \( r \) with the same estimate \( est \). Thus, in round \( r + 1 \), all the local views are comparable to an input vector \( J = [est, ..., est] \) with \( J \in C^{[f]} \). Thus, each local view satisfies \( C_f^{[f]} \) and hence decides. This ends the proof of the lemma.

Lemma 5.5 If some process decides then all non-crashed processes decide.

Proof Straightforward from Task \( T_3 \).

Lemma 5.6 Eventually, all correct processes decide.

Proof Straightforward from lemmas 5.4 and 5.5.

Lemma 5.7 Infinitely often, all the correct processes decide in a bounded number of communication steps.

Proof Let \( r \) be a round such that all non-crashed processes have executed \( r \). By lemma 5.2, infinitely often all the non-crashed processes complete round \( r \) with the same estimate, and if no decision is reached, execute round \( r + 1 \) with a view in \( C_f^{[f]} \). Thus, a decision is performed infinitely often in 2 communication steps.
6. Conclusion

In this paper, we have presented an extension of the condition-based approach introduced by Mostefaoui et al in 2001. The condition-based approach is related to the consensus impossibility result shown by Fisher Lynch and Paterson result in 1995 (Fisher et al., 1985). Briefly, the condition-based approach finds restriction on the set of input vectors proposed by the set of processes for which the consensus problem is directly solvable (i.e., in one communication step). We have extended this condition to significantly augment the number of input vectors for which the consensus problem becomes solvable. To this end, we have characterized, for a given acceptable condition, the set of input vectors that makes all the processes converge, with a computable probability, toward the same decision. Our approach has been applied to a distributed algorithm to solve the consensus problem: by adopting the convergence value as new input value, the probability to converge toward a good patterned one (i.e., a vector that satisfies an acceptable condition) increases to be equal to 1. For example, experimental results show that favoring the value that appears the most often in an input vector despite up to $f$ crashes and the presence of any other value is not sensitive to increasing values of $n$, which confirms the interest of our approach.

7. References


Task $T_2$:

(8) while ($\neg$decision) do

(9) \hspace{1em} r \leftarrow r + 1; \ k \leftarrow 0;

(10) \hspace{1em} TimEst_i \leftarrow \text{Get}\Delta([k_0n], n); \ %\ p_i\ queries\ \text{UDTS}_i

\hspace{1em} \ %\ \text{to\ get\ the\ vector\ of\ time\ estimations}

(11) Broadcast(propose(r, est_i));

(12) t=ReadTime();

(13) \Delta \leftarrow TimEst_i[k];

(14) wait until ((ReadTime()=t + 2\Delta) \land
\hspace{1em} \text{(receipt\ of\ at\ least\ } [k_0n] \text{ propose}(r,-)) \lor \text{Decide} \lor \text{Strong})

(15) est_i \leftarrow \text{estimate}_i;

(16) if (Decide) then

(17) \hspace{1em} decision \leftarrow true;

(18) Reliable_Broadcast(decide(est_i));

(19) return(est_i);

(20) endif

(21) endwhile

endTask

Task $T_3$:

(22) upon receipt of PutCond$^+$($est, nbvalue, decide, strong$)

(23) estimate_i \leftarrow est;

(24) Decide \leftarrow decide;

(25) if (nbvalue > k + [k_0n] - \#(\neg\bot)_V) then

(26) \hspace{1em} k \leftarrow \text{Min}(\text{Min}(e \in [0, f]/ nbvalue \leq e + [k_0n] - \#(\neg\bot)_V, n);

(27) if TimEst_i[k] \neq \bot then

(28) \hspace{1em} \Delta \leftarrow TimEst_i[k];

(29) else

(30) \hspace{1em} if strong then

(31) \hspace{2em} Strong \leftarrow true

(32) else

(33) \hspace{2em} k \leftarrow \text{Sup}\{e \in [0, f]/ TimEst_i[e] \};

(34) \hspace{2em} \Delta \leftarrow TimEst_i[k];

(35) endif

(36) endif

(37) else

(38) skip;

(39) endif

endTask
Task $T_3$:

(40) upon receipt of $\text{decide}(est) \land \neg \text{decision}$

(41) $\text{decision} \leftarrow \text{true}$;

(42) return($est$);

endTask

Figure 6: Consensus Protocol Run by Process $p_i$