# Fault-Tolerant Computer System Design ECE 60872/CS 590001

Topic 6: Distributed Algorithm Primitives: Broadcast & Agreement

#### Saurabh Bagchi

ECE/CS Purdue University

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#### Outline

- Specific issues in design and implementation of networked/distributed systems
- Broadcast protocols
- Agreement protocols
- Commit protocols

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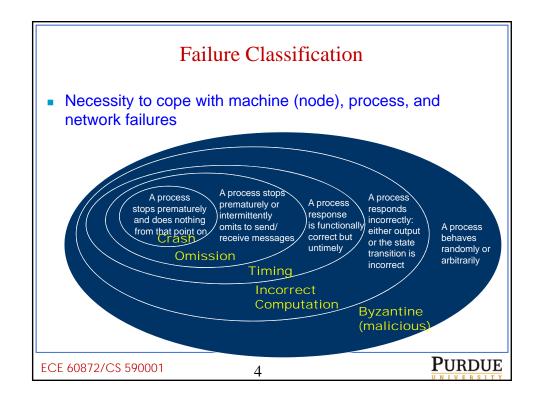
## Networked/Distributed Systems Key Questions

How do we integrate components (often heterogeneous) with varying fault tolerance characteristics into a coherent high availability networked system?

- How do you guarantee reliable communication (message delivery)?
- How do you synchronize actions of dispersed processors and processes?
- How do you ensure that replicated services with independently executing components have a consistent view of the overall system?
- How do you contain errors (or achieve fail-silent behavior of components) to prevent error propagation?
- How do you adapt the system architecture to changes in availability requirements of the application(s)?

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## What Do We Need in Approaching the Problems?

- Understand and provide solution to replication problem (in its broad meaning)
  - process/data replication
  - replica consistency and replica determinism
  - replica recovery/reintegration
  - redundancy management
- Provide efficient techniques capable of supporting a consistent data and coherent behavior between system components despite failures

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## What Do We Need in Approaching the Problems?

- Problems posed by replication
  - Replication of processes
  - Replication of data
- Techniques include:

We will cover

- Broadcast protocols (e.g., atomic broadcast, causal broadcast), which ensure reliable message delivery to all participants (replicas)
- Agreement protocols, which ensures all participants have a consistent system view
- Commit protocols, which implement atomic behavior in transactional types of systems

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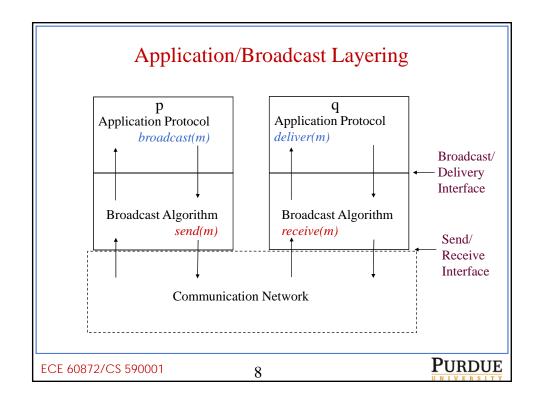
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#### **Broadcast Protocols**

- Cooperating processes in networked /distributed systems often communicate via broadcast
- A failure during a broadcast can lead to inconsistency and can compromise the integrity of the system
- Need for supporting reliable broadcast protocols that provide strong guarantee on message delivery
- Example protocols include
  - reliable broadcast
  - FIFO broadcast
  - causal broadcast
  - atomic broadcast

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#### What Do We Assume?

- The system consists of a set of sites interconnected through a communication network
- Computation processes communicate with each other by exchanging messages
- Process failures can be detected by timeouts
  - Processes suffer crash or omission failures
  - Communication is synchronous and each message is received within a bounded time interval

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#### What Do We Assume?

- The network is not partitioned
- Conventional Message-Passing Technologies
  - Unreliable datagrams (e.g., UDP)
  - Remote procedure call (RPC)
  - Reliable data streams (e.g., TCP)

Goal: Provide robust techniques/algorithms for supporting consistent data and reliable communications in a networked environment

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#### Reliable Broadcast

- Reliable broadcast guarantees the following properties:
  - Validity: if a correct process broadcasts a message m, then all correct processes eventually deliver m (all messages broadcast by correct processes are delivered)
  - Agreement: if a correct process delivers a message m, then all correct processes eventually deliver m (all correct processes agree on the set of messages they deliver),
  - Integrity: for any message m, every correct process delivers m at most once and only if m was previously broadcast by a sender (no spurious messages are ever delivered)
- Reliable broadcast imposes no restrictions on the order of messages delivery

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## Reliable Broadcast by Message Diffusion

 Consider an asynchronous system where every two correct processes are connected via a path of processes and links that never fail

```
Every process p executes the following:

To execute broadcast(R, m)

tag m with sender(m) and seq#(m) //these tags make m unique
send(m) to all neighbors including p

deliver(R, m) occurs as follows:
    upon receive(m) do
    if p has not previously executed deliver(R, m)
    then
    if sender(m)!= p then send(m) to all neighbors
    deliver(R, m)
```

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## Reliable Broadcast by Message Forwarding

- Consider the network as a tree
  - Root is the initiator of the broadcast, call it S
  - If edge from node P to node Q in the tree, then P will forward the message to Q
  - Tree is a logical structure and has no relation to the physical structure of the network
- Upon receiving a message, node i sends the message to all  $j \in CHILD(i)$
- 2. Node *j* sends ACK to node *i*
- 3. Node *j* sends message to all its children nodes
- If node i does not get an ACK from j, it assumes j has failed and takes over the responsibility of forwarding message to all k ∈ CHILD(j)
- 5. Each node eliminates duplicates using (*S*, *m*.seq\_no)

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### Reliable Broadcast by Message Forwarding (Cont'd)

- How to handle failure of root node S?
- Case 1: S fails after sending m to all its children
  - No problem protocol takes care of it
- Case 2: S fails before sending m to any of its children
  - No problem broadcast has not even started
- Case 3: S fails after sending m to some, but not all, of its children
  - A child of S has to take over responsibility
  - Multiple children can take over responsibility each node just eliminates duplicates
  - When S completes sending to all its children, it can inform its children
  - A child receiving the next broadcast message  $m_2$  serves as indication that S has completed sending  $m_1$  to all its children

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#### FIFO Broadcast

 FIFO Broadcast is a Reliable Broadcast that satisfies the following requirement on message delivery

**FIFO order:** if a process broadcasts a message m before it broadcasts a message m, then no correct process delivers m, unless it has previously delivered m (messages sent by the same sender are delivered in the order they were broadcast)

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## Build FIFO Broadcast Using Reliable Broadcast

```
Every process p executes the following:
Initialization:
msgBag := \emptyset
                                          //set of messages that p R-delivered
                                          // but not yet F-delivered
                                          //sequence number of next message from q
next[q] := 1  for all q
                                          //that p will F-deliver
To execute broadcast(F, m)
     broadcast(R, m)
deliver(F, m) occurs as follows:
    upon deliver(R, m) do
        q := sender(m)
        msgBag := msgBag \cup \{m\}
        while (\exists m' \in msgBag: sender(m') == q \text{ and } seq\#(m') == next[q]) \text{ do}
                 deliver(F, m')
                 next[q] := next[q] + 1
                  msgBag := msgBag - \{m'\}
```

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#### FIFO Broadcast (cont.)

- The FIFO Order is not sufficient if a message m depends on messages that the sender of m delivered before broadcasting m, e.g., let consider a network news application where users distribute their articles with FIFO broadcast
  - user 1 broadcast an article
  - user\_2 delivers that article and broadcasts a response that can only be properly handled by a user who has the original article
  - user\_3 delivers user\_2's response before delivering the original article from user\_1 and consequently misinterprets the response
- Causal broadcast prevents the above problem by introducing the notion of a message depending on another one and ensuring that a message is not delivered until all the messages it depends on have been delivered

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#### Causal Broadcast

 Causal Broadcast is a Reliable Broadcast that satisfies the following requirement on message delivery

**Causal Order:** if the broadcast of message m causally precedes the broadcast of a message m', then no correct process delivers m' unless it has previously delivered m

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## Causal Broadcast Using FIFO Broadcast

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### Causal Broadcast (cont.)

- Causal Broadcast does not impose any order on those messages that are not causally related
  - consider a replicated database with two copies of a bank account client\_account residing at different sites. Initially client\_account has an amount of \$1000.
  - A user deposits \$150 triggering a broadcast of msg1 = {add \$150 to client\_account} to the two copies of client\_account.
  - At the same time, at other site, the bank initiates a broadcast of msg2 = {add 8% interest to client\_account}
  - the two broadcasts are not causally related, the Causal Broadcast allows the two copies of *client\_account* to deliver these updates in different order and creates inconsistency in the database
- Atomic Broadcast prevents such problem by providing strong message ordering or total order

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#### **Atomic Broadcast**

Atomic Broadcast is a Reliable Broadcast that satisfies the following condition

**Total Order:** if correct processes r and s both deliver messages m and m', then r delivers m before m' if and only if s delivers m before m' (messages sent concurrently are delivered in identical order to the selected destinations)

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#### Atomic Broadcast Protocol using Message Queues

- Two phase protocol
- Each process has a queue in which it stores received messages
- Phase I
- A sender has a group of receivers to send a message to. It multicasts the message to the group, with the receiver ids in the message.
- 2. On receiving a message, a receiver:
- Assigns a priority (highest among all buffered messages), marks it undeliverable, and buffers it in the message queue.
- Informs the sender of the message priority.

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## Atomic Broadcast Protocol using Message Queues

- Phase II
- When sender receives responses from all receivers:
- Chooses the highest priority as the final message priority.
- Multicasts the final priority to all receivers.
- 2. When a receiver receives the final priority:
- Assigns priority to corresponding message.
- Marks the message as deliverable.
- Orders messages in increasing order of priorities.
- Message is delivered when it reaches head of the queue and is marked deliverable.

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## Atomic Broadcast Protocol using Message Queues: Failure Scenario

- A receiver detects it has a message marked undeliverable and sender has failed. It becomes the new sender/coordinator.
- It asks all receivers about status of message. Three possible answers:
  - I. Message is marked undeliverable and its associated priority.
  - II. Message is marked deliverable and the final priority of the message.
  - III. It has not received the message.
- 2. After receiving responses from all receivers:
  - If message marked deliverable at any receiver, it assigns that as the final priority and multicasts it. On receiving this, receivers execute phase II.2 actions.
  - II. Otherwise, the coordinator reinitiates the protocol from phase I.

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#### Remarks on Broadcasts

#### Inconsistency and contamination

- suppose that a process p fails by omitting to deliver a message that is delivered by all the correct processes
- state of p might be inconsistent with other correct processes
- p continues to execute and p broadcasts a message m that is delivered by all the correct processes
- *m* might be corrupted because it reflects p's erroneous state
- correct processes get contaminated by incorporating p's inconsistency into their own state.

Observation: Broadcast can lead to the corruption of the entire system

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#### Remarks on Broadcasts (cont.)

- To prevent contamination a process can refuse to deliver messages from processes whose previous deliveries are not compatible with its own
  - a message must carry additional information, so that the receiving process can determine whether it is safe to deliver the message
- To prevent inconsistency requires techniques that ensure that the faulty process will immediately stop to execute (i.e., the process is fail-silent)

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#### Remarks on Broadcasts (cont.)

- A fault-tolerant broadcast is usually implemented by a broadcast algorithm that uses lower-level communication primitives, such as pointto-point message sends and receives
- The failure models are usually defined in terms of failures that occur at the level of send and receive primitives, e.g., omission to receive messages
- How do these failures affect the execution of higher-level primitives, such as broadcast and delivery? For example, if a faulty process omits to receive messages, will it simply omit to deliver messages?
- In general broadcasts algorithms are likely to amplify the severity of failures that occur at the low level communication primitives (sends and receives).
  - e.g., the omission to receive messages may cause a faulty process to deliver messages in the wrong order

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## Primitives for Fault-Tolerance in Distributed/Networked Systems

- Techniques include:
  - Broadcast protocols (e.g., atomic broadcast, causal broadcast), which ensure reliable message delivery to all participants (replicas)
  - Agreement protocols, which ensures all participants have a consistent system view
  - Commit protocols, which implement atomic behavior in transactional types of systems

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### **Agreement Protocols**

- In a distributed system, it is often required that processes reach a mutual agreement.
- Faulty processes can send conflicting values to other processors preventing them from reaching an agreement
- In the presence of faults, processes must exchange their values and relay the values received from other processes several times to isolate the effects of faulty processes.
- System model
  - There are n processes in the system and at most m of them can be faulty.
  - Processes communicate with one another by message passing and the receiver process always knows the identity of the sender process of the message.
  - The communication network is reliable, i.e., only processes are prone to failures.

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#### Synchronous vs. Asynchronous Computation

- In synchronous computation, processes in the system run in lockstep:
  - In each step/round, a process receives messages (sent to it in the previous step), performs computation, and sends messages to other processes (received in the next step).
  - A process knows all the messages it expects to receive in a step/round.
- In asynchronous computation, processes do not execute in lockstep:
  - A process can send and receive messages and perform computation at any time
- The synchronous model of computation is assumed in further discussion

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#### Model of Processor Failures

- Three modes of failures
  - Crash fault
  - Omission fault
  - Byzantine fault
- Crash fault: Processor stops functioning and never resumes operation
- Omission fault: Processor "omits" to send messages to some processors
- Malicious fault: Processor behaves randomly and arbitrarily (Byzantine fault)
- In synchronous model, omission can be detected

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#### Authenticated vs. Non-Authenticated Messages

- To reach an agreement, processes need to exchange their values and relay the received values to other processors.
- A faulty process can distort a message received from other processes.

#### Two Types of Messages:

- Authenticated (signed)
  - A faulty process cannot forge a message or change the contents of a received message (before it relays the message to other processes).
  - A process can verify the authenticity of the received message.
- Non-authenticated (oral)
  - A faulty process can forge a message and claim to have received it from another processor or change the contents of the received message before it relays it to other processes.
  - A process has no way to verify the authenticity of the received message.

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## Agreement Problems - Classification

- The Byzantine Agreement Problem
  - A single value is initialized by any arbitrary process, and all nonfaulty processes have to agree on that value
- The Consensus Problem
  - Every process has its own initial value, and all correct processes must agree on a single, common value.
- The Interactive Consistency Problem
  - Every process has its own initial value, and all nonfaulty process must agree on a set of common values.

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#### The Byzantine Agreement Problem

- An arbitrarily chosen process the source process broadcasts its initial value to all other processes.
- Agreement All nonfaulty processes agree on the same value.
- Validity If the source process is nonfaulty then the common value agreed on by all nonfaulty processes should be the initial value of the source.

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#### The Consensus Problem

- Every process broadcasts its initial value to all other processes.
  - Initial values of the processes may be different.
- Agreement All nonfaulty processes agree on the same single value.
- Validity if the initial value of every nonfaulty process is  $\upsilon$ , then the common value agreed upon by nonfaulty processes must be  $\upsilon$ .

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#### The Interactive Consistency Problem

- Every process broadcasts its initial value to all other processes.
  - Initial values of the processes may be different.
- Agreement All nonfaulty processes agree on the same vector:

 $(v_1, v_2, ..., v_n)$ 

• Validity - If the ith process is nonfaulty and its initial value is  $\upsilon_i$ , then the ith value to be agreed on by all nonfaulty processes must be  $\upsilon_i$ 

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## Relations Among the Agreement Problems

- Given an algorithm to solve Byzantine agreement, how would you solve Interactive Consistency?
- 2. Given an algorithm to solve Interactive Consistency, how would you solve Consensus?
- Given an algorithm to solve Consensus, how would you solve Byzantine Agreement?

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## Byzantine Agreement Problem: Solution

#### The upper bound on the number of faulty processes

- It can be shown that in a fully connected network it is impossible to reach a consensus if the number of faulty processes, m, exceeds  $\lfloor (n-1)/3 \rfloor$ ,
  - For example, if n=3, than m=0, i.e., having three processes, we cannot solve the Byzantine agreement problem even in the event of a single error.
  - The protocol requires m+1 rounds of message exchange (m is the maximum number of faulty processes)
  - This is also the lower bound on the number of rounds of message exchanged.
- Using authenticated messages, this bound is relaxed, and a consensus can be reached for any number of faulty processes.

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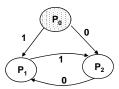
## Impossibility Results

- Consider a system with three processes p<sub>1</sub>, p<sub>2</sub>, p<sub>3</sub>
- There are two values, 0 and 1, on which processes agree.
- p<sub>0</sub> initiates the algorithm.
   Case one p<sub>0</sub> is not faulty

1 P<sub>1</sub> 1 P<sub>2</sub>

assume  $p_2$  is faulty suppose  $p_0$  broadcast 1 to  $p_1$  and  $p_2$   $p_2$  acts maliciously and sends 0 to  $p_1$   $p_1$  must agree on 1 if algorithm is to be satisfied  $p_1$  receives two conflicting values no agreement is possible

Case one - p<sub>0</sub> is faulty



 $\begin{array}{ll} \text{suppose p}_0 \text{ sends 1 to p}_1 \text{ and } 0 \text{ to p}_2 \\ p_2 \text{ communicates 0 to p}_1 \\ p_1 \text{ receives two conflicting values} \\ \textbf{no agreement is possible} \end{array}$ 

 No solution exists for the Byzantine agreement problem for three processes, which can work under a single failure

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## Oral Messages Algorithm OM(m)

- A recursive algorithm solves the Byzantine agreement problem for 3m+1 or more processes in the presence of at most m faulty processes.
- Algorithm OM(0)
- 1. The source process sends its value to every process.
- 2. Each process uses the value it receives from the source (if it receives no value, then it uses a default value of 0).

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#### Oral Messages Algorithm OM(m)

- Algorithm OM(m), m > 0
- 1. The source process sends its value to every process.
- 2. For each i, let  $v_i$  be the value processor i receives from the source.
  - Process *i* acts as a new source and initiates *Algorithm OM(m-1)* wherein it sends the value  $v_i$  to each of the n-2 other processes.
- 3. For each i and each  $j \neq i$  let  $v_j$  be the value process i received from j in step (2) using Algorithm OM(m-1). (If no value is received then default value 0 is used ). Process i uses the value majority  $(v_1, v_2, ..., v_{n-1})$ .
- The algorithm is complex
  - Message complexity?
  - Time complexity?

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#### Oral Messages Algorithm OM(m): An Example Consider a system with four processes p<sub>0</sub>, p<sub>1</sub>, p<sub>2</sub>, p<sub>3</sub> p<sub>0</sub> initiate the algorithm; p<sub>2</sub> is faulty To initiate the agreement p<sub>0</sub> executes OM(1) wherein it sends 1 to all processes At step 2 of the OM(1) algorithm, $p_1$ , $p_2$ , $p_3$ execute the algorithm OM(0) $p_1$ and $p_3$ are nonfaulty and $p_1$ sends 1 to $\{p_2, p_3\}$ p<sub>3</sub> sends 1 to {p<sub>1</sub>, p<sub>2</sub>} p<sub>2</sub> is faulty and sends 1 to p<sub>1</sub> and 0 to p<sub>3</sub> After receiving all messages p<sub>1</sub>, p<sub>2</sub>, p<sub>3</sub> execute step 3 of the OM(1) to decide the majority value $p_1$ received $\{1, 1, 1\} \Rightarrow 1$ $p_2$ received $\{1, 1, 1\} \Rightarrow 1$ $p_3$ received $\{1, 1, 0\} \Rightarrow 1$ Both conditions of the Byzantine agreement are satisfied **PURDUE** ECE 60872/CS 590001 42

#### Oral Messages Algorithm OM(m): An Example (cont.) Consider a system with four processes $p_0$ , $p_1$ , $p_2$ , $p_3$ p<sub>0</sub> initiate the algorithm; p<sub>0</sub> is faulty P<sub>0</sub> send conflicting values to p<sub>1</sub>, p<sub>2</sub>, p<sub>3</sub> Under step 2 of OM(0) $p_1$ , $p_2$ , $p_3$ send the received values to the other two processes p<sub>1</sub>, p<sub>2</sub>, p<sub>3</sub> execute step 3 of OM(1) to decide on the majority value $p_1$ received $\{1, 0, 1\} \Rightarrow 1$ $p_2$ received $\{0, 1, 1\} \Rightarrow 1$ $p_3$ received $\{1, 1, 0\} \Rightarrow 1$ **Both conditions of the Byzantine** agreement are satisfied **PURDUE** ECE 60872/CS 590001 43

## Protocol with Signed Messages

- Transmitter sends a "signed" message (use digital signature from asymmetric cryptography)
- If a node changes the content of message from transmitter before forwarding it, the receiver can detect the forgery
- With signed messages, agreement can be reached between n=m+2 processes, where m is the number of faulty processes
- Each process maintains a set  $V_i$  (for process i) that has all the unique values that it has received

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#### Protocol with Signed Messages

- Algorithm SM(m)
- 1. The transmitter (process 0) signs its value and sends to other nodes
- 2. For each process i:
  - A. If process *i* received message v: 0 (i) it sets  $V_i$  to  $\{v\}$ ; (ii) it sends v: 0: i to every other process
  - B. If process i received message v: 0:  $j_1$ : ...:  $j_k$  and  $v \notin V_i$ , then (i) it adds v to  $V_i$ ; (ii) if k < m, it sends v: 0:  $j_1$ : ...:  $j_k$ : i to every process other than  $j_1, \ldots, j_k$
- For each process i, when it receives no more message, it considers the final value as  $choice(V_i)$

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## Application of Agreement Algorithms

#### **Fault-Tolerant Clock Synchronization Example**

- In distributed systems, it is often necessary for processes to maintain synchronized physical clocks.
- Drift of the physical clock requires the clocks at different processes to be periodically resynchronized.
- It is assumed that
  - All clocks are initially synchronized to approximately the same value.
  - A nonfaulty process's clock runs approximately at the correct rate (i.e., one second of clock time per second of real time).
  - A nonfaulty process can read the clock value of another nonfaulty process with a small error  $\boldsymbol{\epsilon}$

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## Fault-Tolerant Clock Synchronization

Interactive Convergence Algorithm

- The clocks are:
  - Initially synchronized
  - Resynchronized often enough so that two nonfaulty clocks never differ by more than  $\boldsymbol{\delta}$
- Each process reads the value of all other processes' clocks and sets its clock value to the average of these values.
- If a clock value differs from a process's own value by more than δ, the process replaces that value by its own clock value when taking the average.

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#### Fault-Tolerant Clock Synchronization

Interactive Convergence Algorithm (cont.)

- Let two processes p and q, use  $c_{pr}$  and  $c_{qr}$  as the clock values of a third process r when computing their averages.
- If *r* is nonfaulty, then  $c_{pr} = c_{qr}$
- If *r* is faulty then  $|c_{pr} c_{qr}| \le 3\delta$
- If *p* and *q* computes their averages for the *n* clocks values:
  - use identical values for clocks of *n-m* nonfaulty processes.
  - The difference in the clock values of  $\emph{m}$  faulty processes used is bounded by  $3\delta$
- The averages computed by p and q differ by at most  $(3m/n)\delta$

$$n > 3m \Rightarrow (3m/n)\delta < \delta$$

Resynchronization brings the clocks closer by a factor of (3m/n)

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## Fault-Tolerant Clock Synchronization

Interactive Convergence Algorithm (cont.)

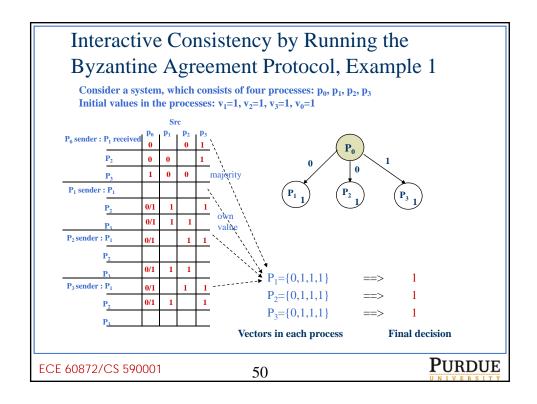
- In the algorithm, it was assumed that:
  - All processes execute the algorithm instantaneously at exactly the same time.
  - The error in reading another process's clock is zero.
- A process may read other processes' clocks at different time instances

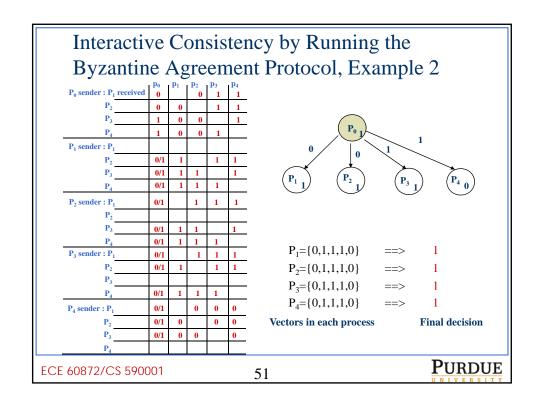
#### Solution:

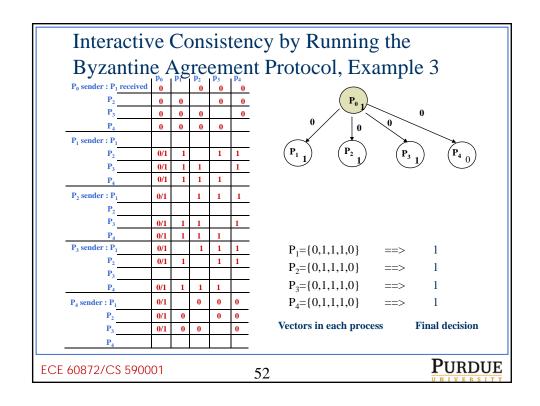
- A process computes the average of the difference in clock values and increments its clock by the average increment.
  - Clock differences larger than  $\delta$  are replaced by 0.

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## Reference

- Material for the topic from:
  - "Fault Tolerance in Distributed Systems" by Pankaj Jalote, Prentice Hall. Chapter 4 – Broadcast.
  - "Advanced Concepts in Operating Systems"
     by Singhal and Shivaratri, McGraw Hill.
     Chapter 8 Agreement.

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