

Stellar Quorum Systems

Giuliano Losa
Galois, Inc., USA
giuliano@galois.com

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Abstract

We formalize the static properties of personal Byzantine quorum systems (PBQSs) and Stellar quorum systems, as described in the paper “Stellar Consensus by Reduction”, to appear at DISC 2019.

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This theory formalizes some of the results appearing in the paper "Stellar Consensus By Reduction"[1]. We prove static properties of personal Byzantine quorum systems and Stellar quorum systems.

```
theory Stellar-Quorums
  imports Main
begin
```

1 Personal Byzantine quorum systems

```
locale personal-quorums =
  fixes quorum-of :: 'node  $\Rightarrow$  'node set  $\Rightarrow$  bool
  assumes quorum-assm:  $\bigwedge p p' . \llbracket \text{quorum-of } p \ Q; p' \in Q \rrbracket \implies \text{quorum-of } p' \ Q$ 
  — In other words, a quorum (of some participant) is a quorum of all its members.
begin
```

```
definition blocks where
  — Set R blocks participant p.
  blocks R p  $\equiv \forall Q . \text{quorum-of } p \ Q \longrightarrow Q \cap R \neq \{\}$ 
```

```
abbreviation blocked-by where blocked-by R  $\equiv \{p . \text{blocks } R \ p\}$ 
```

```
lemma blocked-blocked-subset-blocked:
  blocked-by (blocked-by R)  $\subseteq$  blocked-by R
  <proof>
```

```
end
```

We now add the set of correct participants to the model.

```
locale with-w = personal-quorums quorum-of for quorum-of :: 'node  $\Rightarrow$  'node set
 $\Rightarrow$  bool +
  fixes W::'node set — W is the set of correct participants
begin
```

```
abbreviation B where B  $\equiv - W$ 
  — B is the set of malicious participants.
```

```
definition quorum-of-set where quorum-of-set S Q  $\equiv \exists p \in S . \text{quorum-of } p \ Q$ 
```

1.1 The set of participants not blocked by malicious participants

```
definition L where L  $\equiv W - (\text{blocked-by } B)$ 
```

```
lemma l2:  $p \in L \implies \exists Q \subseteq W . \text{quorum-of } p \ Q$ 
  <proof>
```

```
lemma l3: — If a participant is not blocked by the malicious participants, then it has a quorum consisting exclusively of correct participants which are not blocked
```

by the malicious participants.

assumes $p \in L$ **shows** $\exists Q \subseteq L . \text{quorum-of } p \ Q$
 ⟨proof⟩

1.2 Consensus clusters and intact sets

definition *is-intertwined* **where**

— This definition is not used in this theory, but we include it to formalize the notion of intertwined set appearing in the DISC paper.

is-intertwined $S \equiv S \subseteq W$
 $\wedge (\forall Q \ Q' . \text{quorum-of-set } S \ Q \wedge \text{quorum-of-set } S \ Q' \longrightarrow W \cap Q \cap Q' \neq \{\})$

definition *is-cons-cluster* **where**

— Consensus clusters

is-cons-cluster $C \equiv C \subseteq W \wedge (\forall p \in C . \exists Q \subseteq C . \text{quorum-of } p \ Q)$
 $\wedge (\forall Q \ Q' . \text{quorum-of-set } C \ Q \wedge \text{quorum-of-set } C \ Q' \longrightarrow W \cap Q \cap Q' \neq \{\})$

definition *strong-consensus-cluster* **where**

strong-consensus-cluster $I \equiv I \subseteq W \wedge (\forall p \in I . \exists Q \subseteq I . \text{quorum-of } p \ Q)$
 $\wedge (\forall Q \ Q' . \text{quorum-of-set } I \ Q \wedge \text{quorum-of-set } I \ Q' \longrightarrow I \cap Q \cap Q' \neq \{\})$

lemma *strong-consensus-cluster-imp-cons-cluster*:

— Every intact set is a consensus cluster

shows *strong-consensus-cluster* $I \implies$ *is-cons-cluster* I
 ⟨proof⟩

lemma *cons-cluster-neq-cons-cluster*:

— Some consensus clusters are not strong consensus clusters and have no superset that is a strong consensus cluster.

shows *is-cons-cluster* $I \wedge (\forall J . I \subseteq J \longrightarrow \neg \text{strong-consensus-cluster } J)$ **nit-pick**[falsify=false, card 'node=3, expect=genuine]
 ⟨proof⟩

Next we show that the union of two consensus clusters that intersect is a consensus cluster.

theorem *cluster-union*:

assumes *is-cons-cluster* C_1 **and** *is-cons-cluster* C_2 **and** $C_1 \cap C_2 \neq \{\}$
shows *is-cons-cluster* $(C_1 \cup C_2)$
 ⟨proof⟩

Similarly, the union of two strong consensus clusters is a strong consensus cluster.

lemma *strong-cluster-union*:

assumes *strong-consensus-cluster* C_1 **and** *strong-consensus-cluster* C_2 **and** $C_1 \cap C_2 \neq \{\}$
shows *strong-consensus-cluster* $(C_1 \cup C_2)$
 ⟨proof⟩

end

2 Stellar quorum systems

locale *stellar* =

fixes *slices* :: 'node \Rightarrow 'node set set — the quorum slices

and *W* :: 'node set — the well-behaved nodes

assumes *slices-ne*: $\bigwedge p . p \in W \implies \text{slices } p \neq \{\}$

begin

definition *quorum where*

quorum $Q \equiv \forall p \in Q \cap W . (\exists Sl \in \text{slices } p . Sl \subseteq Q)$

definition *quorum-of where* *quorum-of* p $Q \equiv \text{quorum } Q \wedge (p \notin W \vee (\exists Sl \in \text{slices } p . Sl \subseteq Q))$

— TODO: $p \notin W$ needed?

lemma *quorum-union*: *quorum* $Q \implies \text{quorum } Q' \implies \text{quorum } (Q \cup Q')$

<proof>

lemma *l1*:

assumes $\bigwedge p . p \in S \implies \exists Q \subseteq S . \text{quorum-of } p$ Q and $p \in S$

shows *quorum-of* p S *<proof>*

lemma *is-pbqs*:

assumes *quorum-of* p Q and $p' \in Q$

shows *quorum-of* p' Q

— This is the property required of a PBQS.

<proof>

interpretation *with-w quorum-of*

— Stellar quorums form a personal quorum system.

<proof>

lemma *quorum-is-quorum-of-some-slice*:

assumes *quorum-of* p Q and $p \in W$

obtains S where $S \in \text{slices } p$ and $S \subseteq Q$

and $\bigwedge p' . p' \in S \cap W \implies \text{quorum-of } p'$ Q

<proof>

lemma *is-cons-cluster* $C \implies \text{quorum } C$

— Every consensus cluster is a quorum.

<proof>

2.1 Properties of blocking sets

inductive *blocking-min where*

— This is the set of correct participants that are eventually blocked by a set R when byzantine processors do not take steps.

$\llbracket p \in W; \forall Sl \in \text{slices } p . \exists q \in Sl \cap W . q \in R \vee \text{blocking-min } R q \rrbracket \implies$
 $\text{blocking-min } R p$

inductive-cases $\text{blocking-min-elim:blocking-min } R p$

inductive blocking-max **where**

— This is the set of participants that are eventually blocked by a set R when byzantine processors help epidemic propagation.

$\llbracket p \in W; \forall Sl \in \text{slices } p . \exists q \in Sl . q \in R \cup B \vee \text{blocking-max } R q \rrbracket \implies$
 $\text{blocking-max } R p$

inductive-cases $\text{blocking-max } R p$

Next we show that if R blocks p and p belongs to a consensus cluster S , then $R \cap S \neq \{\}$.

We first prove two auxiliary lemmas:

lemma $\text{cons-cluster-wb:} p \in C \implies \text{is-cons-cluster } C \implies p \in W$
 $\langle \text{proof} \rangle$

lemma $\text{cons-cluster-has-ne-slices:}$

assumes $\text{is-cons-cluster } C$ **and** $p \in C$

and $Sl \in \text{slices } p$

shows $Sl \neq \{\}$

$\langle \text{proof} \rangle$

lemma $\text{cons-cluster-has-cons-cluster-slice:}$

assumes $\text{is-cons-cluster } C$ **and** $p \in C$

obtains Sl **where** $Sl \in \text{slices } p$ **and** $Sl \subseteq C$

$\langle \text{proof} \rangle$

theorem $\text{blocking-max-intersects-intact:}$

— if R blocks p when malicious participants help epidemic propagation, and p belongs to a consensus cluster C , then $R \cap C \neq \{\}$

assumes $\text{blocking-max } R p$ **and** $\text{is-cons-cluster } C$ **and** $p \in C$

shows $R \cap C \neq \{\}$ $\langle \text{proof} \rangle$

Now we show that if $p \in C$, C is a consensus cluster, and quorum Q is such that $Q \cap C \neq \{\}$, then $Q \cap W$ blocks p .

We start by defining the set of participants reachable from a participant through correct participants. Their union trivially forms a quorum. Moreover, if p is not blocked by a set R , then we show that the set of participants reachable from p and not blocked by R forms a quorum disjoint from R . It follows that if p is a member of a consensus cluster C and Q is a quorum of a member of C , then $Q \cap W$ must block p , as otherwise quorum intersection would be violated.

inductive $\text{not-blocked for } p R$ **where**

$\llbracket Sl \in \text{slices } p; \forall q \in Sl \cap W . q \notin R \wedge \neg \text{blocking-min } R q; q \in Sl \rrbracket \implies \text{not-blocked } p R q$

| $\llbracket \text{not-blocked } p R p'; p' \in W; Sl \in \text{slices } p'; \forall q \in Sl \cap W . q \notin R \wedge \neg \text{blocking-min } R q; q \in Sl \rrbracket \implies \text{not-blocked } p R q$

inductive-cases *not-blocked-cases:not-blocked* $p R q$

lemma *l4*:

fixes $Q p R$

defines $Q \equiv \{q . \text{not-blocked } p R q\}$

shows *quorum* Q

<proof>

lemma *l5*:

fixes $Q p R$

defines $Q \equiv \{q . \text{not-blocked } p R q\}$

assumes $\neg \text{blocking-min } R p$ **and** $\langle p \in C \rangle$ **and** $\langle \text{is-cons-cluster } C \rangle$

shows *quorum-of* $p Q$

<proof>

lemma *cons-cluster-ne-slices*:

assumes *is-cons-cluster* C **and** $p \in C$ **and** $Sl \in \text{slices } p$

shows $Sl \neq \{\}$

<proof>

lemma *l6*:

fixes $Q p R$

defines $Q \equiv \{q . \text{not-blocked } p R q\}$

shows $Q \cap R \cap W = \{\}$

<proof>

theorem *quorum-blocks-cons-cluster*:

assumes *quorum-of-set* $C Q$ **and** $p \in C$ **and** *is-cons-cluster* C

shows *blocking-min* $(Q \cap W) p$

<proof>

2.2 Reachability through a set

Here we define the part of a quorum Q of p that is reachable through correct participants from p . We show that if p and p' are members of the same consensus cluster and Q is a quorum of p and Q' is a quorum of p' , then the intersection $Q \cap Q' \cap W$ is reachable from both p and p' through the consensus cluster.

inductive *reachable-through* **for** $p S$ **where**

reachable-through $p S p$

| $\llbracket \text{reachable-through } p S p'; p' \in W; Sl \in \text{slices } p'; Sl \subseteq S; p'' \in Sl \rrbracket \implies \text{reachable-through } p S p''$

definition *truncation* **where** *truncation* $p S \equiv \{p' . \text{reachable-through } p S p'\}$

lemma l13:

assumes *quorum-of* p Q **and** $p \in W$ **and** *reachable-through* p Q p'

shows *quorum-of* p' Q

<proof>

lemma l14:

assumes *quorum-of* p Q **and** $p \in W$

shows *quorum* (*truncation* p Q)

<proof>

lemma l15:

assumes *is-cons-cluster* I **and** *quorum-of* p Q **and** *quorum-of* p' Q' **and** $p \in I$
and $p' \in I$ **and** $Q \cap Q' \cap W \neq \{\}$

shows $W \cap (\text{truncation } p \ Q) \cap (\text{truncation } p' \ Q') \neq \{\}$

<proof>

end

2.3 Elementary quorums

In this section we define the notion of elementary quorum, which is a quorum that has no strict subset that is a quorum. It follows directly from the definition that every finite quorum contains an elementary quorum. Moreover, we show that if Q is an elementary quorum and n_1 and n_2 are members of Q , then n_2 is reachable from n_1 in the directed graph over participants defined as the set of edges (n, m) such that m is a member of a slice of n . This lemma is used in the companion paper to show that probabilistic leader-election is feasible.

locale *elementary = stellar*

begin

definition *elementary where*

elementary $s \equiv \text{quorum } s \wedge (\forall s'. s' \subset s \longrightarrow \neg \text{quorum } s')$

lemma *finite-subset-wf:*

shows *wf* $\{(X, Y). X \subset Y \wedge \text{finite } Y\}$

<proof>

lemma *quorum-contains-elementary:*

assumes *finite* s **and** \neg *elementary* s **and** *quorum* s

shows $\exists s'. s' \subset s \wedge \text{elementary } s'$ *<proof>*

inductive *path where*

path $[]$

$| \bigwedge x. \text{path } [x]$

$| \bigwedge l \ n. \llbracket \text{path } l; S \in Q \ (\text{hd } l); n \in S \rrbracket \implies \text{path } (n\#l)$

theorem *elementary-connected:*

assumes *elementary s* **and** $n_1 \in s$ **and** $n_2 \in s$ **and** $n_1 \in W$ **and** $n_2 \in W$
shows $\exists l . hd (rev l) = n_1 \wedge hd l = n_2 \wedge path l$ (**is** ?P)
⟨*proof*⟩

end

2.4 The intact sets of the Stellar Whitepaper

definition *project where*

project slices S n $\equiv \{Sl \cap S \mid Sl . Sl \in slices\ n\}$

— Projecting on S is the same as deleting the complement of S , where deleting is understood as in the Stellar Whitepaper.

2.4.1 Intact and the Cascade Theorem

locale *intact* = — Here we fix an intact set I and prove the cascade theorem.

orig:stellar slices W

+ *proj:stellar project slices I W* — We consider the projection of the system on I .

for *slices W I* + — An intact set is a set I satisfying the three assumptions below:

assumes *intact-wb: I* $\subseteq W$

and *q-avail: orig.quorum I* — I is a quorum in the original system.

and *q-inter: $\forall Q Q' . \llbracket proj.quorum\ Q; proj.quorum\ Q'; Q \cap I \neq \{\}; Q' \cap I \neq \{\} \rrbracket \implies Q \cap Q' \cap I \neq \{\}$*

— Any two sets that intersect I and that are quorums in the projected system intersect in I . Note that requiring that $Q \cap Q' \neq \{\}$ instead of $Q \cap Q' \cap I \neq \{\}$ would be equivalent.

begin

theorem *blocking-safe*: — A set that blocks an intact node contains an intact node. If this were not the case, quorum availability would trivially be violated.

fixes $S\ n$

assumes $n \in I$ **and** $\forall Sl \in slices\ n . Sl \cap S \neq \{\}$

shows $S \cap I \neq \{\}$

⟨*proof*⟩

theorem *cascade*:

— If U is a quorum of an intact node and S is a super-set of U , then either S includes all intact nodes or there is an intact node outside of S which is blocked by the intact members of S . This shows that, in SCP, once the intact members of a quorum accept a statement, a cascading effect occurs and all intact nodes eventually accept it regardless of what befouled and faulty nodes do.

fixes $U\ S$

assumes *orig.quorum U* **and** $U \cap I \neq \{\}$ **and** $U \subseteq S$

obtains $I \subseteq S \mid \exists n \in I - S . \forall Sl \in slices\ n . Sl \cap S \cap I \neq \{\}$

⟨*proof*⟩

end

2.4.2 The Union Theorem

Here we prove that the union of two intact sets that intersect is intact. This implies that maximal intact sets are disjoint.

locale *intersecting-intact* =

i1:intact slices $W I_1$ + *i2:intact slices* $W I_2$ — We fix two intersecting intact sets I_1 and I_2 .

+ *proj:stellar project slices* $(I_1 \cup I_2)$ W — We consider the projection of the system on $I_1 \cup I_2$.

for *slices* $W I_1 I_2$ +

assumes *inter*: $I_1 \cap I_2 \neq \{\}$

begin

theorem *union-quorum*: *i1.orig.quorum* $(I_1 \cup I_2)$ — $I_1 \cup I_2$ is a quorum in the original system.

<proof>

theorem *union-quorum-intersection*:

assumes *proj.quorum* Q_1 **and** *proj.quorum* Q_2 **and** $Q_1 \cap (I_1 \cup I_2) \neq \{\}$ **and** $Q_2 \cap (I_1 \cup I_2) \neq \{\}$

shows $Q_1 \cap Q_2 \cap (I_1 \cup I_2) \neq \{\}$

— Any two sets that intersect $I_1 \cup I_2$ and that are quorums in the system projected on $I_1 \cup I_2$ intersect in $I_1 \cup I_2$.

<proof>

end

end

References

- [1] E. Gafni, G. Losa, and D. Mazières. Stellar consensus by reduction. In *33rd International Symposium on Distributed Computing (DISC 2019)*. Schloss Dagstuhl-Leibniz-Zentrum fuer Informatik, 2019.