


Article

A Coordination Technique for Improving Scalability of Byzantine Fault-Tolerant Consensus

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Abstract: Among various consensus algorithms, the Byzantine Fault Tolerance (BFT)-based consensus algorithms are broadly used for private blockchain. However, as BFT-based consensus algorithms are structured for all participants to take part in a consensus process, a scalability issue becomes more noticeable. In this approach, we introduce a consensus coordinator to execute a conditionally BFT-based consensus algorithm by classifying transactions. Transactions are divided into equal and unequal transactions. Moreover, unequal transactions are divided again and classified as common and trouble transactions. After that, a consensus algorithm is only executed for trouble transactions, and BFT-based consensus algorithms can achieve scalability. For evaluating our approach, we carried out three experiments in response to three research questions. By applying our approach to PBFT, we obtained 4.75 times better performance than using only PBFT. In the other experiment, we applied our approach to IBFT of Hyperledger Besu, and our result shows a 61.81% performance improvement. In all experiments depending on the change of the number of blockchain nodes, we obtained the better performance than original BFT-based consensus algorithms; thus, we can conclude that our approach improved the scalability of original BFT-based consensus algorithms. We also showed a correlation between performance and trouble transactions associated with transaction issue intervals and the number of blockchain nodes.

Keywords: consensus coordination; consensus algorithm; byzantine fault tolerance; PBFT; IBFT; hyperledger besu

1. Introduction

Recently, blockchain is considered one of the core technologies that enable us to create a transparent world with guaranteeing the integrity and transparency of data [1]. Significantly, researchers have tried to apply the private blockchain technologies that facilitate data sharing among permissioned participants to diverse areas such as business [2,3], and computer science [4–6]. However, due to the scalability issue, the application of technologies is limited [7–10]. Although there are diverse factors associated with scalability such as network bandwidth and cryptographic algorithms, a consensus algorithm is a key factor that significantly influences the issue, ensuring that participants keep maintaining the same data in distributed environments [11,12].

Among the consensus algorithms for private blockchains, the Byzantine Fault Tolerance (BFT)-based consensus algorithms are broadly used. PBFT (Practical Byzantine Fault Tolerance) [13,14] is a popular and

representative example. In the BFT-based consensus algorithm, the number of network communications among participants explodes with the increase in the number of participants. This is because all participants in the BFT-based consensus algorithm should be involved to complete the process for each transaction, and the process is even composed of diverse steps. This characteristic of the BFT-based consensus algorithm may raise the performance and scalability issue of the algorithm, as the more participants are newly involved, the slower the completion of the consensus process is [15].

There have been several previous studies on improving scalability of BFT-based consensus algorithms (see [16–23]). Some works tried to build sub-groups of blockchain nodes on a regular basis and reduced the number of network communications by executing two-step execution of the BFT-consensus algorithm: executing consensus inside sub-groups and conducting consensus between representatives of each sub-group. While this approach increased the PBFT algorithm's scalability, it has a shortcoming that a new node cannot join any groups until new groups have been made. Other works also tried to optimize the number of communications by modifying the PBFT protocol with introducing a collector role or removing faulty nodes during consensus processes. Similarly, some works tried to reduce the number of prime node elections for minimizing the node election overhead. However, it is hard to expect the outstanding improvement of scalability through these approaches. In addition to these, other approach tried to deploy a new hardware-based BFT algorithm execution environment, but it has an apparent weakness that all nodes should prepare the specific hardware environments in advance.

To address the above issues, we propose a coordination technique for scalable Byzantine fault-tolerant consensus algorithms. The key idea is to introduce a *Consensus Coordinator* that controls conditional execution of a BFT-based consensus algorithm after classifying transactions of all nodes with respect to their equality. Our approach runs regularly associated with the block generation time interval, consisting of four steps. First, it starts with electing a *prime node* among all blockchain nodes for executing a BFT-based consensus algorithm and communicates with the consensus coordinator. Then, the consensus coordinator collects transactions from a transaction pool of each node. In the third step, the coordinator classifies transactions based on their equality and decides for executing a consensus algorithm. In the case that all transactions are equal, the coordinator lets the prime node execute block generation without executing a consensus algorithm, which is the completion of the synchronization in a blockchain network. When some transactions are not equal, the coordinator divides transactions into *common* and *trouble transactions* and requests the prime node to execute a BFT-based consensus algorithm only for trouble transactions. The prime node notifies *agreed* transactions to the coordinator. Finally, the coordinator sorts all common and agreed transactions by time order and requests the prime node to generate a new block containing all of processed transactions.

For the evaluation of our approach, we conducted three experiments for answering three research questions. We measured performance of the PBFT algorithm with and without our approach. In an experiment, the PBFT equipped with our approach obtained an average of 4.75 times better performance than only using the PBFT. In addition, we applied our approach to *Hyperledger Besu* using the IBFT (Istanbul Byzantine Fault Tolerance) consensus algorithm and showed a 61.81% performance improvement, compared to using only IBFT. We also presented correlation of performance and trouble transactions associated with transaction issue interval and the number of blockchain nodes. The contributions of our approach are summarized as follows:

- We propose a novel coordination technique to improve the scalability and performance of consensus algorithms, which is applicable to diverse BFT-based consensus algorithms.
- Our approach was implemented and applied to PBFT and Hyperledger Besu consensus algorithm, opened as an open source project for public access.
- We performed three experiments in response to three research questions and showed the feasibility of our approach.

The remainder of this paper is organized as follows. Section 2 presents BFT-based consensus algorithms as background and related work for improving the scalability of BFT-based consensus algorithms. Section 3 proposes our coordination technique and explains four steps for achieving the scalable BFT-based consensus algorithm in detail. Section 4 presents the evaluation of our approach by responding to our three research questions. Section 5 concludes our paper and discusses future works.

2. Background and Related Work

This section presents BFT-based consensus algorithms and their characteristics as background and introduces some previous works regarding how to improve BFT-based consensus algorithms' scalability.

2.1. Background: BFT-Based Consensus Algorithms

BFT (Byzantine Fault Tolerance)-based consensus algorithms indicate a group of consensus algorithms for resolving the byzantine general problem regarding how to achieve a consensus of data in an environment where normal and malicious nodes are mixed [24]. The representative example is PBFT (Practical Byzantine Fault Tolerance) [13,14] in the Hyperledger Fabric 0.6 (Hyperledger Fabric later changed the PBFT into Raft since version 2.0 [25]), and diverse variations of PBFT such as *Tendermint* in Cosmos [26], *Hotstuff* in Libra [27], and *IBFT* in Hyperledger Besu [28] are broadly used. BFT-based consensus algorithms' characteristics are the fast finality of a transaction, which indicates that the transaction is immediately finalized once the transaction is issued by a client and validated by $N = 3f + 1$ participants. However, in other consensus algorithms such as PoW and PoS, a client should wait until their transaction is contained in a new block after issuing transactions. In Bitcoin, for example, it takes 1 h to finalize transactions theoretically. In the worse case, it often takes more time when a block is forked. Despite the fast finality of BFT-based consensus algorithms, it is inevitable to decrease performance and scalability when the number of nodes is increased. This is because all participants should join the consensus process, and two over three nodes should agree with transactions by communicating with each other in four steps: *pre-prepare*, *prepare*, *commit*, and *reply* (Figure 1). Thus, this mechanism always causes the scalability issue depending on the number of nodes [15].

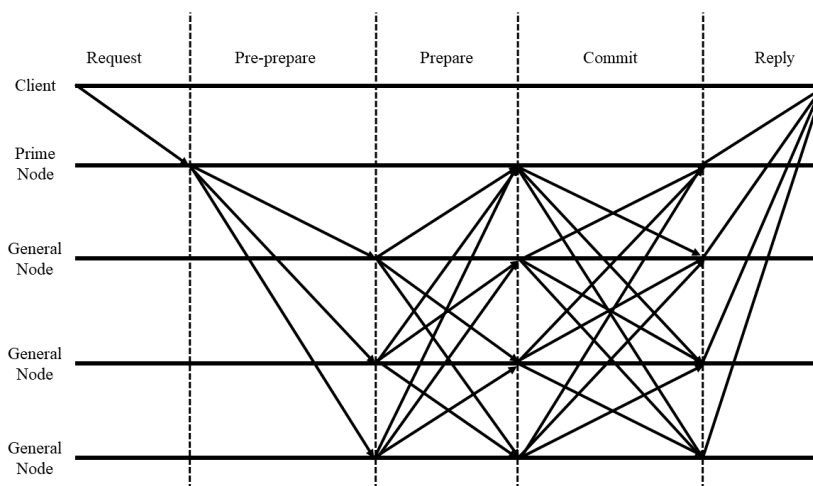


Figure 1. The consensus process of the PBFT consensus algorithm.

2.2. Related Work

Many approaches have been suggested to improve the scalability of BFT-based consensus algorithms. Most of their methods tried to reduce the number of network communications. To control the number of nodes participating in the consensus protocol, Feng et al. suggested the SDMA (Scalable Dynamic Multi-Agent)-PBFT approach that reduces the number of participants [16]. The approach builds sub-groups among the peers and elect an agent as a primary node in each sub-group. Then,

it carries out the consensus process in sub-groups at first, and the second consensus process is performed only among the agents. While this approach increases the PBFT algorithm's scalability by reducing communication paths from the established blockchain network, it has a shortcoming that a new node cannot join any previously established groups until new groups have been made.

Similar to Feng et al.'s approach, Luu et al. proposed SCP (Scalable Byzantine Consensus Protocol) by executing the first consensus algorithm within sub-groups and the second consensus algorithm among group leaders from a result of the first execution [17]. The approach builds sub-groups by generating a random group number based on their IP address, public key, and nonce, while Feng et al.'s approach builds sub-groups by making the spanning-tree from a root node. Although this research contributed to reducing communication paths, it still has a similar problem that new nodes cannot easily join a blockchain network as in the approach of Feng et al.

As another approach, some research tried to optimize the number of communications by introducing collector role or removing faulty nodes during consensus processes. Kotl et al. proposed a new BFT-based consensus protocol, named Zyzzyva, where the number of non-faulty nodes for PBFT adaptively changes from $N = 3f + 1$ into $N = 2f + 1$ when a faulty node is detected during a consensus process [18]. Gueta et al. suggested that SBFT (State-of-the-art Byzantine Fault Tolerant) [19] reduces the number of communication paths among nodes by collecting messages in a consensus process into two collector nodes and validates messages in limited places. Similar to Gueta et al.'s approaches, Jiang et al. suggested HSBFT (High Performance and Scalable Byzantine Fault Tolerance), which makes a prime node to play a collector role that collects all messages and validates them [20]. HSBFT has a prime node electing process based on a node stable table containing identity number, state, IP, and public key. Based on the table, HSBFT excludes unstable nodes and optimizes communication paths. Although three approaches reduce the number of participant nodes and communication paths, it is hard to expect an outstanding improvement regarding scalability or performance.

In addition, Lei et al. proposed RBFT (Reputation-based Byzantine Fault Tolerance) algorithm for reducing communication paths in a private blockchain [21]. Each blockchain node computes their reputation score based on evaluation of their behaviors (e.g., a good behavior for generating a new block) and the number of permitted votes of each node is different depending on the reputation score. Votes are used to decide pass of PBFT's steps by checking if the number of votes is over a specific threshold. Although it can reduce the number of communications, only limited nodes can have an out-sized influence on the voting process.

Some research tries to minimize the number of prime node election processes for enhancing scalability. Gao et al. proposed a trust eigen-based PBFT consensus algorithm, which is called T-PBFT [22]. In the approach, they tried to minimize the number of the prime node elections based on each node's trust evaluation. Before starting the PBFT consensus process, the proposed eigen trust model evaluates all nodes' trust scores and makes a group called a primary group. Then, the consensus process is composed of two steps: (1) the consensus within the primary group; and (2) the consensus between the remaining nodes and the primary group. It can improve scalability by reducing change the proportion of the single primary node. However, its number of communications is the same as the PBFT, so it is hard to expect a distinct improvement of scalability.

A new hardware-based execution environment is also introduced for improving performance of the BFT-based consensus algorithm. Liu et al. proposed a hardware-based BFT algorithm execution environment, which is named Fast BFT [23]. All nodes use a hardware chip (e.g., Intel SGX) for using TEE (Trusted Execution Environment) to execute the consensus algorithm and the TEE supports public key operation (e.g., *multi signatures*) during the consensus process. They also suggested the new Fast BFT algorithm that reduces verification steps by collaborating with TEE. While they improved the BFT algorithm's scalability, their assumptions that all nodes should be executed upon TEE must be their limitations.

3. A Coordination Technique for Scalable BFT Consensus

This section presents a coordination technique for achieving the scalability of BFT-based consensus algorithms. Our approach is composed of two parts: *Our Coordination Technique* and *BFT-based Consensus Algorithm* (Figure 2). The BFT-based Consensus Algorithm part located at the bottom of the figure indicates traditional BFT-based algorithms such as PBFT and IBFT. It is composed of one *prime node* that controls consensus process and other *general nodes* similar to general BFT-based blockchain platforms. Each node has *BFT-Module* controlling the consensus process and generating new blocks and *Transaction Pool* maintaining unconfirmed transactions. Thus, the BFT-Module accesses transactions of the transaction pool regularly and executes a BFT-based consensus algorithm. Once all nodes have been achieved, the consensus of transactions, the BFT-Module produces a new block after accumulating agreed transactions.

Our Coordination Technique part corresponds to the top of the figure, and it is also located to the part above the BFT-based Consensus Algorithm part. In the technique, we newly introduce the *Consensus Coordinator* that controls each node’s BFT-based consensus algorithms’ conditional execution depending on the equality of transactions. Our consensus coordination technique consists of four steps. (1) The prime node is elected among all participating nodes. (2) The coordinator collects all transactions that existed in the transaction pool of each node. (3) The coordinator checks the equality of transactions and classifies transactions into *common* and *trouble* transactions. For trouble transactions, the coordinator requests a prime node to execute a consensus algorithm and obtains *agreed* transactions. (4) The coordinator merges common and agreed transactions and requests the controller of all nodes to execute block generation with merged transactions. In the following subsections, the steps are described in more detail.

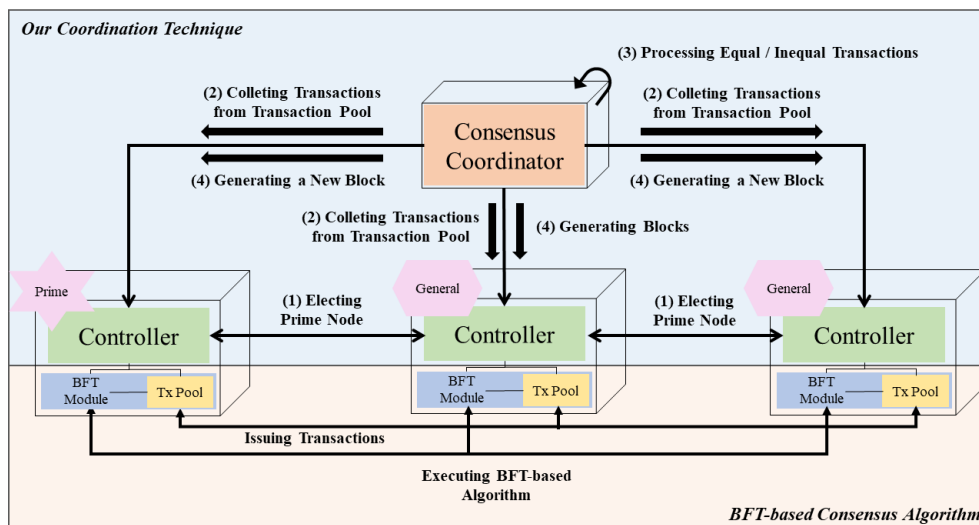


Figure 2. Overview of the coordination technique for scalable BFT-based consensus.

3.1. Step 1. Electing a Prime Node

The first step is to elect a prime node among all participant nodes. The elected prime node plays a role of interacting with a consensus coordinator. This election step runs each regular t time (we assumed that all nodes have the same time unit through a logical clock or a physical clock algorithm (e.g., [29–31])). Once all steps are completed, this prime node election step is carried out again. The algorithm of this step is shown in Algorithm 1.

Algorithm 1 [All Nodes] Electing Prime Node

```

1:  $random = \text{Random}(seed) \% N(Node)$ 
2: if  $random$  equals to  $Node_i$  then
3:    $sig_{prime} = \text{Signature}(Node_i, seed)_{sk_{prime}}$ 
4:   notify ( $sig_{prime}, pk_{prime}$ ) to CC
5: end if

```

Electing the prime node starts with a *seed* which is a previous block hash value, and modulates the random number with the seed by total number of nodes $N(node)$ to get a prime node number. The hash value of a previous block must be the same throughout all nodes because they are already agreed in a previous round. In the case that the result *random* from the random algorithm is equal to a unique number of each node $Node_i$ that is assigned before, a node is elected as a prime node. After signing its node number $Node_i$ and *seed* with its private key sk_{prime} , it notifies the consensus coordinator CC with the result of sign sig_{prime} and its public key pk_{prime} .

3.2. Step 2. Collecting Transactions from Transaction Pool

Once the coordinator gets the prime node election notification from the prime node, it collects all transactions from each node's transaction pool as the second step. This collection step is presented in Algorithm 2. The input parameters of this step are sig_{prime} and pk_{prime} from the prime node. Then, the coordinator checks elected prime node's validity by generating a *random* number with the delivered *seed* and $Node_i$ (see Lines 3–5). If the generated *random* is equals to $Node_i$ received from the prime node, the consensus coordinator requests all nodes to send all transactions accumulated in the transaction pool of each node between the previous time $time_p$ to the current time $time_c$. When *random* is different from $Node_i$, the coordinator terminates all coordination steps of this round and waits for the next idle state.

Algorithm 2 [Coordinator] Collecting Transactions from TxPool

```

1: Inputs:
    $sig_{prime}, pk_{prime}$ 
2: Initialize:
    $Txs \leftarrow \{\}$ 
3:  $Node_i, seed = \text{Signature}(sig_{prime})_{pk_{prime}}$ 
4:  $random = \text{Random}(seed) \% N(Node)$ 
5: if  $random$  equals to  $Node_i$  then
6:   for  $i=0, i \leq N(Node), i++$  do
7:      $Txs_i \leftarrow \text{request } Node_i \text{ to send } Tx_{(time_p \sim time_c)}$  of  $TxPool_i$ 
8:   end for
9: else
10:  Terminate
11: end if

```

3.3. Step 3. Processing Equal/Unequal Transactions

Based on collected transactions from each node, this step decides the execution of the BFT-based consensus algorithm. Figure 3 shows processing steps for collected transactions. At first, the coordinator checks if all transactions collected from each node are equal to those from other nodes. Thus, when all transactions are equal, it executes the *Handling Equal Transactions* step, and then this third step is terminated. When transactions are not the same, it first classifies transactions into *common* and *trouble* transactions. The coordinator then requests the prime node to execute a consensus algorithm only for trouble transactions and gets *agreed* transactions. Finally, the coordinator merges and sorts common and agreed transactions in time order.

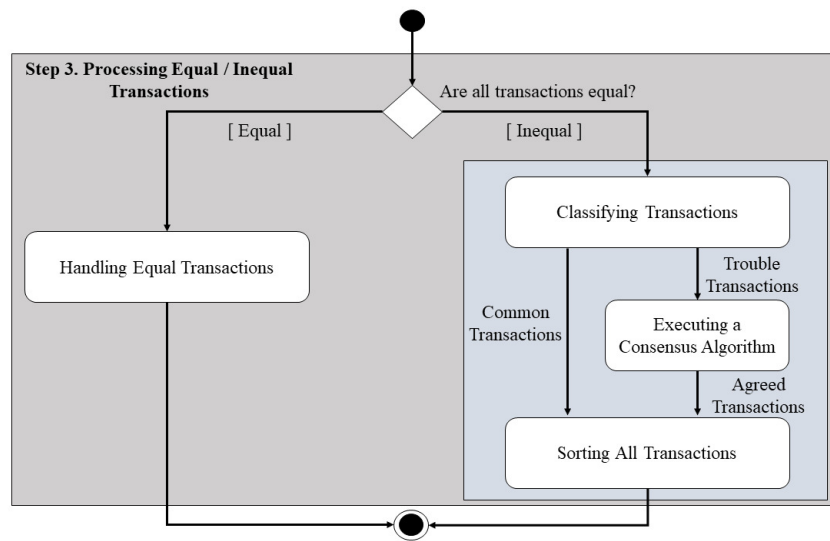


Figure 3. Steps for processing collected transactions.

3.3.1. Step 3.1 Handling Equal Transactions

The coordinator performs this step if all transactions from each node are equal. Algorithm 3 shows detailed steps for handling equal transactions. To check transactions' equality, a set of transactions from each node is converted into a hash function (see Lines 3–5) first, and their equality is compared. Due to the characteristic of the hash function, their hash values must be the same if all transactions are the same.

Algorithm 3 [Coordinator] Handling Equal Transactions

```

1: Inputs:
    $Txs = \{Txs_0, Txs_1, \dots, Txs_n\}$ 
2: Initialize:
    $TxsList \leftarrow \{\}$ 
3: for  $i=0, i \leq N(Node), i++$  do
4:    $TxsList_i \leftarrow Hash(Txs_i)$ 
5: end for
6: if All hashes of  $TxsList$  are equal then //Handle Equal Transactions
7:    $isConfirmed, sig'_{prime}, pk_{prime} \leftarrow$  request  $Node_{prime}$  to confirm  $Txs_0$ 
8:   if  $isConfirmed == true$  then
9:     request All Nodes to generate a new block with  $Txs_0$  and  $sig'_{prime}$ 
10:     $time_p \leftarrow time_c$ 
11:   else
12:     Terminate
13:   end if
14: else //For Unequal Transactions
15:   handle Unequal Transactions( $Txs$ )
16: end if
  
```

If all transactions are the same, the coordinator requests the prime node $Node_{prime}$ to confirm transactions Txs_0 and the prime node responds to the confirmation of transactions. This confirmation step is necessary for mutual trust between the coordinator and the prime node on integrity of transactions from the coordinator. The response from the prime node includes $isConfirmed$, sig'_{prime} , and pk_{prime} . Among the responses, sig'_{prime} results from execution $Signature(Txs_0)_{sk_{prime}}$ of the prime node (see Lines 7–8).

When the prime node confirms all equal transactions, the coordinator requests all nodes of blockchain network to generate a new block. Then, the controller receives the request and delegates the request to the BFT-Module to generate a new block. All nodes' $time_p$ is updated with the current $time_c$ for designating the starting period for the next round (see Line 10). If the prime node does not confirm transactions, this round is terminated and $time_p$ remains at the previous time. In addition, when some of the transactions are different, the coordinator performs the *handle unequal transactions* step presented in the next subsection.

3.3.2. Step 3.2 Handling Unequal Transactions

This step is executed by the coordinator when some of the transactions are not equal. This step is composed of three sub-steps: (1) classifying transactions; (2) executing a consensus algorithm; and (3) sorting all transactions.

(1) *Classifying Transactions*: In this step, the coordinator classifies all transactions into *common* transactions and *uncommon* transactions throughout all transactions from each node. For uncommon transactions, we rename them as *trouble* transactions. Algorithm 4 shows the classification step. The output of the classification is stored in $List_{comm}$ and $List_{tr}$. The classification step is very intuitive. With the boolean flag $isCommon$, it iterates all transactions of each node and checks if a transaction exists in their transaction lists (see Lines 3–18).

Algorithm 4 [Coordinator] Classifying Transactions

```

1: Inputs:
    $Txs = \{Txs_0, Txs_1, \dots, Txs_n\}$ 
2: Initialize:
    $List_{comm} \leftarrow \{\}, List_{tr} \leftarrow \{\}, List_{agg} \leftarrow \{\}$ 
3: for  $i=0, i \leq N(Node), i++$  do
4:   for  $j=0, j \leq N(Txs_i), j++$  do
5:      $isCommon \leftarrow true$ 
6:     for  $k=0, k \leq N(Node) \ \& \ i \neq k, k++$  do
7:       if  $Tx_j$  does not exist in  $Txs_k$  then
8:          $isCommon \leftarrow false$ 
9:       break
10:    end if
11:   end for
12:   if  $isCommon == true$  then
13:      $List_{comm} \leftarrow Tx_j$ 
14:   else
15:      $List_{tr} \leftarrow Tx_j$ 
16:   end if
17: end for
18: end for
19:  $List_{agg} \leftarrow$  request  $Node_{prime}$  to execute a Consensus Algorithm( $List_{tr}$ )

```

(2) *Executing a Consensus Algorithm*: For trouble transactions, $List_{tr}$ from the previous sub-step, the coordinator requests the prime node to execute a consensus algorithm and obtains a list of agreed transactions $List_{agg}$ from the prime node, denoted on Line 19 Algorithm 4. It should be noted that any BFT-based consensus algorithms can be applied in this step. All transactions in $List_{tr}$ cannot be contained in $List_{agg}$, because some of the transactions might not be completed in the consensus algorithm. At that time, transactions not agreed upon are removed according to the BFT-based consensus algorithm.

(3) *Sorting All Transactions*: Based on common transactions $List_{comm}$ and agreed transactions $List_{agg}$, the coordinator merges and sorts them in time order in this step. Then, the coordinator requests the prime

node to confirm merged transactions similar to the process of equal transactions (see Algorithm 5, Line 5). The sig''_{prime} is produced by the prime node using $Signature(SortedList_{csn})_{sk_{prime}}$. If transactions are confirmed, the coordinator requests all nodes to generate a new block with the $SortedList_{csn}$, and all nodes' $time_p$ is updated by the current time $time_c$.

Algorithm 5 [Coordinator] Sorting the Merged Transactions

```

1: Inputs:
    $List_{comm}, List_{agg}$ 
2: Initialize:
    $List_{csn} \leftarrow \{\}, SortedList_{csn} \leftarrow \{\}$ 
3:  $List_{csn} \leftarrow (List_{comm} \cup List_{agg})$ 
4:  $SortedList_{csn} \leftarrow \text{sort}(List_{csn})$ 
5:  $isConfirmed, sig''_{prime}, pk_{prime} \leftarrow \text{request } Node_{prime}$  to confirm  $SortedList_{csn}$ 
6: if  $isConfirmed == true$  then
7:   request All Nodes to generate a new block with  $SortedList_{csn}$  and  $sig''_{prime}$ 
8:    $time_p \leftarrow time_c$ 
9: else
10:  Terminate
11: end if

```

3.4. Step 4. Generating a New Block

The last step is to generate a new block that is relied on blockchain platforms. The coordinator does not intervene in this final step. Thus, all nodes create a new block with transferred transactions and a previous block's hash. The controller, for requesting the BFT-Module to generate a new block and accessing transaction pools, is developed for each blockchain platform and our approach can apply to diverse BFT-based consensus algorithms.

4. Evaluation

This section describes our experiments' results designed to evaluate our approach. For this evaluation, we established the three research questions below and carried out three experiments in response to research questions.

- RQ1: How much can the scalability of PBFT be increased through our proposed approach?
- RQ2: What is the correlation between the trouble transactions and performance?
- RQ3: How much can our approach improve the scalability of IBFT of Hyperledger Besu?

4.1. RQ1: How Much Can the Scalability of PBFT Be Increased through Our Proposed Approach?

This first research question is intended to figure out how much our suggested approach achieves our research aim which is to improve the scalability of the BFT-based consensus algorithm. We selected and implemented the PBFT consensus algorithm for this research question, which is the most popular BFT-based consensus algorithm. Then, we measured the performance of the PBFT equipped with and without our approach. Furthermore, we increased the number of nodes to figure out the scalability of our approach.

Experimental setting for RQ1. To respond to RQ1, we built the PBFT network (Our source code for implementing the PBFT network is available at https://github.com/jungwonrs/JwRalph_Seo/tree/master/lab/Agent_Consensus) based on the Castro and Liskov's research [13,14]. Initially, we structured four nodes and issued transactions every 10 ms for 10,000,000 (ms), so that we transmitted one million transactions for 2 h 40 min. In addition, we set a block generation time to be 10 ms, which implies that each node generates a new block every 10 s with transactions in their transaction pools (by using the sensitivity analysis, we obtained 10 s as the best block generation time

for the best performance.). Then, we measured the total elapsed time until the consensus process of transactions is complete and computed an average elapsed time. We prepared 81 physical computers and deployed 80 PBFT nodes and one consensus coordinator into each computer. The hardware specification of each computer was Intel i5-3570 3.4 GHz CPU with 4GB RAM, and Windows 10 OS installed.

Experimental Result for *RQ1*. Figure 4 shows the result of the experiment. In the initial experiment with four nodes, the PBFT with the consensus coordinator expressed in *CC + PBFT* achieved 0.0328 s for each transaction on average, while PBFT without our approach denoted as *PBFT* showed 0.1237 s. The gap of the elapsed time of two approaches grew as the number of nodes increased. When the number of nodes reached 80, the elapsed time of PBFT and *CC + PBFT* became 1.1191 and 6.2212 s, respectively. Thus, the PBFT equipped with our approach obtained 3.77 times ($=0.1237/0.0328$) higher performance than PBFT with the initial four nodes. The performance gain was increased so that the PBFT with our approach achieved 5.56 ($=6.2212/1.1191$) times higher performance with 80 nodes. In all experiments throughout node changes, the performance of the PBFT with our approach increased an average of 4.75 times compared to the use of the PBFT alone. Therefore, we can recognize that our approach contributed to improving the performance of the PBFT consensus algorithm.

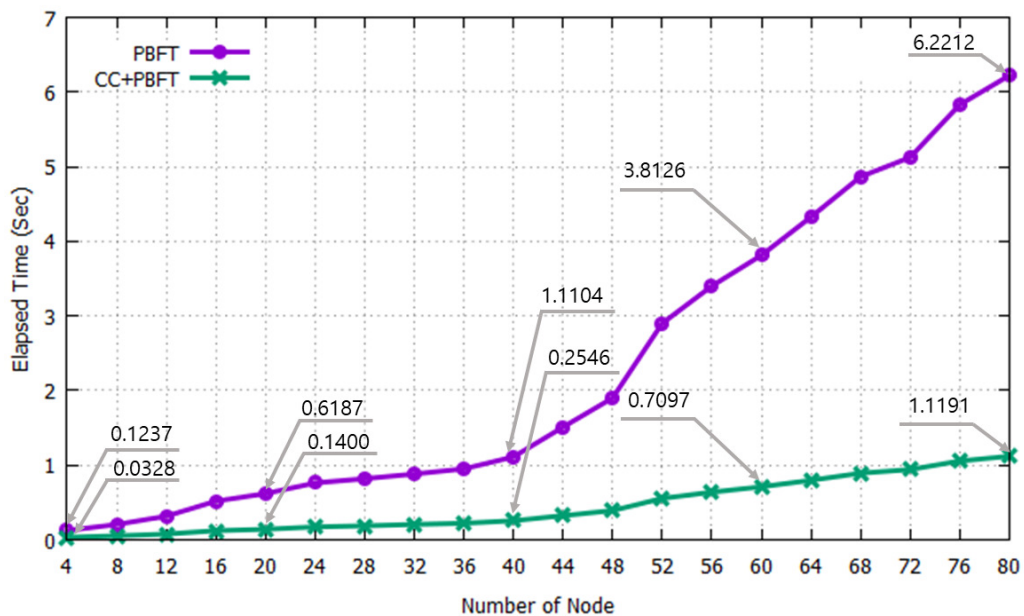


Figure 4. Elapsed time comparison between PBFT and PBFT equipped with the Consensus Coordinator (CC).

In addition to this, we observed that the elapsed time increase rate of the PBFT is bigger than that of *CC + PBFT*. While the increase rate of the PBFT from 4 to 80 nodes is 50.29 times ($=6.2212/0.1237$), that of the *CC + PBFT* is 34.12 ($=1.1191/0.0328$). It implies that our approach contributes to improving PBFT consensus algorithm’s scalability depending on the increase of nodes compared to only using the PBFT. The reason for the increase of the elapsed time of PBFT is because all nodes in the PBFT algorithm should participate in consensus process and the number of communications. In addition, the consensus process should always be executed for all transactions (i.e., one million transactions). However, our approach checks the equality of transactions and executes the consensus process only for trouble transactions. Thus, depending on the proportion of trouble transactions associated with the number of the nodes, the elapsed time of *CC + PBFT* is increased but not as steeply as that of PBFT.

4.2. RQ2: What Is the Correlation between the Trouble Transactions and Performance?

The second research question is for finding out how much our approach can contribute to the performance improvement of the BFT-based consensus algorithm. In the real-world, all blockchain nodes issue transactions, respectively, and it may rarely happen that all transactions in a transaction pool are equal. According to Donet and Pérez-Solà’s experiment [32], transaction propagation time in the Bitcoin network composed of 344 nodes took 35 min on average, which means that transactions in each node’s transaction pool are commonly different. In this research question, we build an environment where each node has many trouble transactions as in the real-world by controlling the interval of the transaction issue time and computed correlation between the elapsed time and the proportion of trouble transactions as τ .

Experimental setting for RQ2. To simulate the environment, we started with the experimental setting for RQ1 with the same hardware specification and issued one million transactions by controlling interval of transaction issue time from every 15 to 1 ms. Then, we measured a total elapsed time and obtained an average elapsed time for each transaction by dividing the total elapsed time by the number of transactions, as shown in Table 1. In addition to this, we observed the proportion of the trouble transaction τ in the consensus coordinator to obtain the correlation between trouble transactions and the elapsed time.

Experimental results for RQ2. Table 1 shows the result of the experiment. In the table, Columns 15 ms, 10 ms, 5 ms, 2 ms and 1 ms denote the time interval of the transaction issue and we only selected some of the representative time intervals. We computed τ by averaging the proportion of trouble transactions in a transaction pool collected from each node for every $time_p \sim time_c$ period (i.e., 10 s). Based on the τ , we highlight cells with the same colors associated with its τ value (see *Color Legend* in the table). When the number of nodes is 16, and a transaction is issued every 15 ms, our approach obtained 0.099 s for each of the average time interval (see the *italic* in the table). Depending on decreasing the transaction issue time interval, the average elapsed time and τ were increased. In addition, an increase in the number of nodes causes an increase in the average elapsed time and τ .

Table 1. The average elapsed time per transaction and the proportion of trouble transactions (τ).

N(Node)	15 ms	10 ms	5 ms	2 ms	1 ms
16	<i>0.099</i>	0.120	0.244	0.330	0.406
28	0.186	0.253	0.316	0.405	0.521
40	0.232	0.438	0.533	0.753	0.835
52	0.462	0.813	1.100	1.308	1.672
64	0.714	1.000	1.355	1.915	2.511
76	0.713	1.805	2.106	2.781	3.155
Color Legend	$\tau = 0.1x$	$\tau = 0.2x$	$\tau = 0.3x$	$\tau = 0.4x$	$\tau > 0.5x$

From the result, we established the correlation between τ and the average elapsed time for a transaction $Avg.Elapp.Time_{tx}$ based on the transaction issue time interval tit and the number of nodes $N(Node)$ as Equation (1). The equation implies that the average elapsed time is δ times proportional to the proportion of the trouble transaction τ . In addition, τ is inversely proportional to the transaction issue interval tit and it has logarithmic relation with the number of nodes $N(Node)$. In the experiment, we obtained $\delta = 2.5$, $\alpha = 2$, and $\beta = 0.1$, which indicates that the proportion of the trouble transaction strongly affects the average elapsed time for each transaction.

$$Avg.Elapp.Time_{tx} \approx \delta * \tau \approx \alpha \frac{1}{tit} + \beta \log(N(Node)) \tag{1}$$

4.3. RQ3: How Much Can Our Approach Improve the Scalability of IBFT of Hyperledger Besu?

We established the third research question regarding the applicability of our approach to the real-world open-source blockchain framework using another BFT-based consensus algorithm. We selected *Hyperledger Besu*, a popular implementation of Ethereum client that supports public and private blockchain. It uses IBFT (Istanbul Byzantine Fault Tolerance) that enhances the performance by decreasing the number of nodes for transaction confirmation from $3f + 1$ to $2f + 1$ (IBFT <https://github.com/ethereum/EIPs/issues/650>). In the experiment for RQ3, we modified the Hyperledger Besu source code to communicate with our *Controller* for requesting new block generation and accessing transaction pool (our source code for implementing the BFT network is available at https://github.com/jungwonrs/JwRalph_Seo/tree/master/lab/besu_backup). Then, we performed an experiment similar to that of RQ1 to figure out how much our approach can improve the IBFT consensus protocol's performance.

Experimental setting of RQ3. We modified Hyperledger Besu 1.5.1 (<https://github.com/hyperledger/besu/tree/1.5.1>) to communicate with our consensus coordinator. For the experiment, we transmitted random transactions to Hyperledger Besu on a regular basis during the designated period. Initially, the number of nodes was four and we gradually increased the number of nodes until it reached 40. Then, we measured the number of transactions contained in generated blocks to recognize its throughput. We set the block generation time of the Hyperledger Besu to 10 s, and our coordinator execution interval was also set into 10 s because this time showed the best performance. The experiment was also carried out every 5 min (=300 s and 30 block generations) for each node configuration.

In the experiment, the interval of the transaction transmission started from 10 ms, because a significant number of transactions was missed in Hyperledger Besu in the case of under 10-ms interval. We carried out this experiment with the transaction transmission interval of 5 ms from 10 to 40 ms. Our hardware specification as a blockchain node and consensus coordinator was Intel i7-8700, 3.2 GHz CPU with 24 GB RAM and Windows 10 OS. All nodes and the consensus coordinator were executed on one computer. Due to the hardware specification limitation, the maximum node number of Hyperledger Besu was set to 40. In addition, the gas limitation of Hyperledger Besu was removed to generate transactions continuously (we refer to the method shown on the official Besu website: <https://besu.hyperledger.org/en/stable/HowTo/Configure/FreeGas/>).

Experimental results of RQ3. Figure 5 shows the result of the experiment where its transmission interval is 10 ms with from 4 to 40 blockchain nodes. In the figure, results of only using the IBFT and IBFT equipped with our approach are expressed in *IBFT* and *CC + IBFT*, respectively. The y-axis indicates the number of transactions contained in the generated blocks for 5 min. For four blockchain nodes, the number of transactions of IBFT and *CC + IBFT* contained in 30 generated blocks were 24,173 and 26,152, respectively. *CC + IBFT* achieves 8.19% ($= (26,152 - 24,173) / 24,173$) performance improvement. The total number of transactions that can be issued every 10 ms for 5 min is 30,000, but 3848 ($= 30,000 - 26,152$) and 5827 ($= 30,000 - 24,173$) are missed due to the performance limitation of Hyperledger Besu and our approach. For the experiment with 40 blockchain nodes, IBFT processed 1563 transactions, while *CC + IBFT* processed 6607 transactions, indicating a 322.71% ($= (6607 - 1563) / 1563$) performance improvement. Thus, in all node configurations with 10 ms of transaction issue interval, the combination of IBFT and our consensus coordinator obtained 37.75% ($= (154,782 - 112,361) / 11,2361$) performance improvement on average.

Figure 6 shows the result of the experiment where the interval is 25 ms. As the transaction time interval is 25 ms, the total number of transactions that can be issued for 5 min is 12,000 ($= 300 / 0.025$), which is the maximum number of transactions that can be contained in generated blocks. In four blockchain nodes, the numbers of IBFT and *CC + IBFT* are 11,900 and 12,000, respectively, in which most of the issued transactions are contained in generated blocks. Thus, the gap between the two numbers of transactions is not big. However, for 20 nodes, *CC + IBFT* achieved 53.25% ($= (11,255 - 7344) / 7344$) performance improvement. In addition, *CC + IBFT* obtained 344.81% ($= (7584 - 1705) / 1705$) performance improvement in the case of 40 blockchain nodes, compared to only

using the IBFT. In all node configurations, the combinational use of IBFT and our approach gained 61.81% $(=(103,348 - 63,868)/63,868)$ performance improvement on average. Thus, it is possible to conclude that our approach contributed to improving the performance of a specific blockchain node configuration and improving the IBFT consensus algorithm’s scalability because the loss of performance is smaller depending on the increase of the blockchain nodes. All datasets resulting from this experiment are presented in the Appendix A.

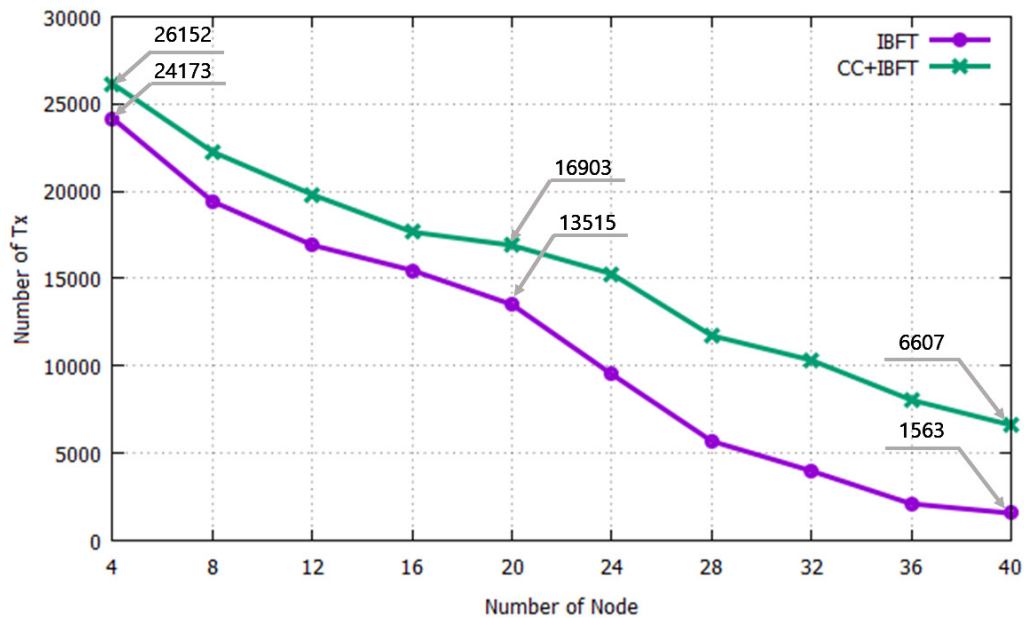


Figure 5. Comparing the amount of transactions between IBFT and CC + IBFT when the transaction generation interval is 10 ms.

While carrying out this experiment, we observed that the proportion of equal and unequal transactions in consensus coordinator, as shown in Table 2. As the coordinator execution interval is 10 s, our approach’s maximum number of execution is 30 for 5 min. Then, we counted the number of cases that carry out equal transactions, that is, the case of Step 3.1 Handling Equal Transactions and the number of unequal transaction cases that process Step 3.2 Handling Unequal Transactions. Each of them is expressed in *Equal Tx*s and *Unequal Tx*s in the table. In four nodes with 10 and 25 ms, all transactions of the transaction pool of all nodes are equal, which are 93.33% and 96.67% of 30 coordinator executions, respectively. However, the number of nodes is increased, the higher proportion of the case for equal transactions is decreased, and that of unequal transactions is increased. As a result, average equal and unequal transactions are 55.33% and 44.67% in the case of 10-ms transaction issue interval, while those of the 25-ms case are 72% and 28%, respectively. Thus, we recognized that our contribution to the performance and scalability improvement is positively associated with the proportion of equal transactions, as pointed by Equation (1).

Table 2. Result of monitoring equal and unequal transactions of consensus coordinator.

N(Node)	10 ms				25 ms			
	Equal Tx		Unequal Tx		Equality		Inequality	
4	28	93.33%	2	6.67%	29	96.67%	1	3.33%
8	27	90%	3	10%	30	100%	0	0%
12	25	83.33%	5	16.67%	29	96.67%	1	3.33%
16	20	66.67%	10	33.33%	26	86.67%	4	13.33%
20	19	63.33%	11	36.67%	23	76.67%	7	23.33%
24	16	53.33%	14	46.67%	20	66.67%	10	33.33%
28	14	46.67%	16	53.33%	16	53.33%	14	46.67%
32	10	33.33%	20	66.67%	17	96.67%	13	43.33%
36	4	13.33%	26	86.67%	14	46.67%	16	53.33%
40	3	10.00%	27	90.00%	12	40%	18	60%
Average	166	55.33%	134	44.67%	216	72%	84	28%

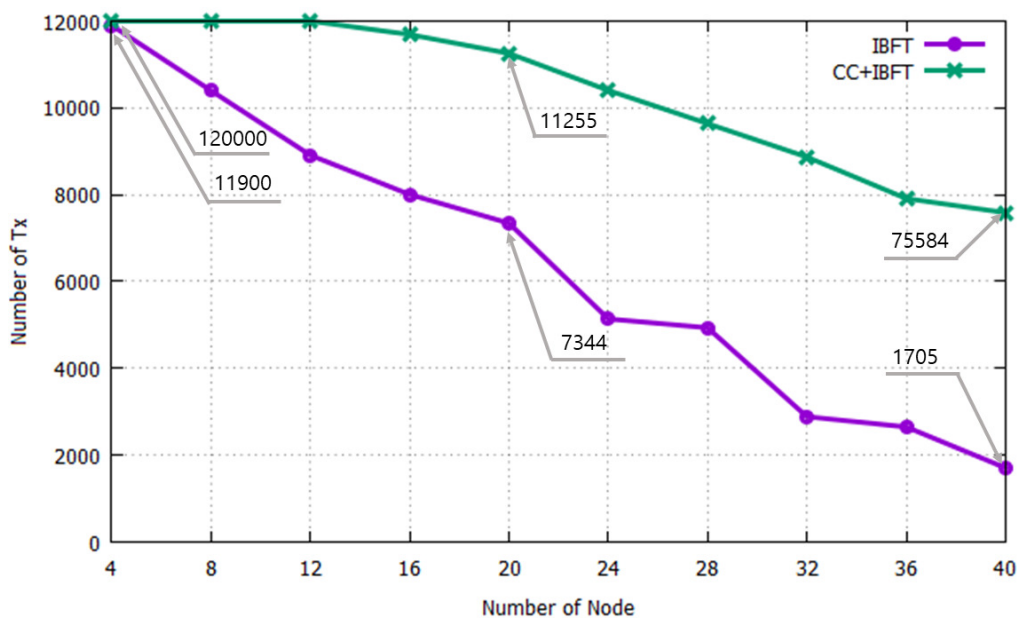


Figure 6. Comparing the amount of transactions between IBFT and CC + IBFT when the transaction generation interval is 25 ms.

4.4. Threats to Validity

Construct Validity. The results of RQ1, RQ2, and RQ3 may be influenced by hardware specification and the version of Hyperledger Besu. Although there are diverse factors related to performance, the experimental results, such as elapsed times and the number of transactions, can differ. However, we tried to carry out our experiments on the same hardware specification for control and experimental groups, so that the relative comparison of the result is considered desirable for our experiment. In addition, the result of the experiment for RQ3 can be different due to the version of Hyperledger Besu. We selected the 1.5.1 version of Hyperledger Besu in the experiment for RQ3, which was the most recent version at the time. However, the version upgrade is frequent so that the use of different versions would show different results.

Content Validity. In this paper, the concept of scalability is measured by the extent of the decrease in performance, depending on the increase in the number of nodes. Based on this definition, we keep measuring the performance gap, depending on node changes. Besides, we also defined that the term *transaction issue* indicates that a client issues one transaction, and the transaction is contained in a new block through block generation. However, the block generation interval was set to be every 10 s in

the experiments for RQ1 and RQ3, while the unit of the measure of the elapsed time must be 10 s, which are not the exact time. Due to this issue, we performed our experiment for 2 h 40 min, which is a long time enough to ignore the 10 s time gap for measuring the average elapsed time for processing a transaction. In the experiment for RQ3, we fixed the experiment time into 30 block generations (i.e., 5 min) to resolve the issue.

Internal Validity. Experiment results may be affected by different sets of the interval execution of the consensus coordinator (i.e., $time_p \sim time_c$) and the block generation time for PBFT and IBFT in Hyperledger Besu. To handle this issue, we performed the sensitivity analysis and observed that setting the execution time interval of the coordinator and block generation time of PBFT and IBFT to 10 ms showed the best performance. However, the performance may be different depending on the interval setting.

External Validity. In this paper, we claim that our approach is efficient for BFT-based consensus algorithms, and we applied our approach to two consensus algorithms: PBFT and IBFT. It is hard to claim that our approach applies to all BFT-based consensus algorithms. However, we selected the most popular BFT-based consensus algorithm, PBFT. Many consensus algorithms such as IBFT, Zyzzyva [18], SBFT [19], Hotstuff [33,34], and Tendermint [26] are derived from PBFT. Although we selected IBFT as a representative derivation of PBFT, we argue that our approach can be applied to other BFT-based consensus algorithms.

5. Conclusions

This paper proposes a coordination technique for improving the scalability of BFT-based consensus algorithms. The technique is composed of four steps: (1) electing a prime node; (2) collecting transactions from transaction pools; (3) processing equal and unequal transactions; and (4) generating a new block. Our key idea is to control a conditional execution of the consensus algorithm by dividing the transaction pool into equal and unequal transactions and secondly dividing common and trouble transactions among unequal transactions. The consensus algorithm is then executed only for trouble transactions, and the results are merged and finalized through sharing the transactions throughout all blockchain nodes.

Based on this approach, we carried out three experiments to respond to three research questions. As a result of the experiments, the use of PBFT equipped with our approach showed 4.75 times the performance improvement on average compared to using PBFT only. In addition, our approach contributed to improving the performance by a maximum of 61.81% of the performance, compared to the single-use of IBFT. In addition to this, we showed the correlation of performance and trouble transactions associated with the transaction issue interval and the number of blockchain nodes.

Although our approach showed the scalability improvement of BFT-based consensus algorithms, it has explicit limitations. First, the consensus coordinator is centralized so that it exposes the coordinator to the single point failure issue. Second, our approach does not address the recovery issue of the coordinator when a system has failed or restarted. Third, our approach should be tested in the real-world environment where diverse synchronization issues exist such as clock synchronizations throughout distributed nodes. For future work, we plan to carry out more research on distributing the centralized consensus coordinator and establishing recovery strategy from the system failure in the real-world environment.

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Conflicts of Interest: The authors declare no conflict of interest.

Appendix A. Raw Data of RQ3

Node	Count	10 ms		25 ms		Node	Count	10 ms		25 ms	
		IBFT	CC + IBFT	IBFT	CC + IBFT			IBFT	CC + IBFT	IBFT	CC + IBFT
4	1	846	880	684	401	8	1	766	766	623	421
	2	783	916	259	476		2	566	566	155	421
	3	588	876	382	400		3	685	685	320	401
	4	767	916	388	401		4	587	776	309	376
	5	692	916	391	476		5	684	684	339	401
	6	817	916	387	401		6	678	780	335	376
	7	745	916	391	401		7	661	701	339	391
	8	803	926	392	401		8	601	756	345	401
	9	809	936	392	401		9	648	766	340	397
	10	803	926	392	376		10	655	756	348	401
	11	809	916	392	376		11	623	757	341	397
	12	833	916	392	476		12	659	659	344	401
	13	815	916	392	401		13	612	759	340	401
	14	876	939	391	376		14	633	777	352	397
	15	787	941	393	376		15	657	757	348	401
	16	797	797	392	376		16	627	775	352	401
	17	875	875	391	401		17	652	787	349	397
	18	840	840	392	376		18	649	777	348	401
	19	803	803	392	397		19	662	662	353	401
	20	873	873	393	376		20	615	764	349	397
	21	795	795	392	401		21	679	679	349	401
	22	874	874	393	376		22	640	776	352	401
	23	761	761	392	401		23	636	765	350	411
	24	851	851	393	376		24	659	659	351	401
	25	834	834	392	401		25	637	779	353	401
	26	805	805	391	376		26	641	840	351	401
	27	832	832	392	401		27	652	797	351	401
	28	802	802	392	401		28	654	665	350	401
	29	833	833	393	401		29	647	776	349	401
	30	825	825	392	401		30	653	817	312	401
sum	24,173	26,152	11,900	12,000	sum	19,418	22,263	10,397	12,000		

Node	Count	10 ms		25 ms		Node	Count	10 ms		25 ms	
		IBFT	CC + IBFT	IBFT	CC + IBFT			IBFT	CC + IBFT	IBFT	CC + IBFT
12	1	530	656	504	391	16	1	532	176	261	387
	2	586	664	292	401		2	532	756	261	387
	3	556	656	296	401		3	476	616	261	401
	4	576	624	296	401		4	477	626	276	387
	5	556	673	276	401		5	571	627	276	387
	6	576	676	296	401		6	571	627	277	387
	7	546	677	276	401		7	571	628	277	411
	8	576	656	276	401		8	476	633	277	387
	9	546	656	296	396		9	476	626	277	387
	10	576	656	276	401		10	532	573	261	387
	11	576	677	276	401		11	489	626	287	377
	12	577	678	286	391		12	477	676	277	387
	13	576	656	276	401		13	485	626	261	387
	14	576	674	276	401		14	497	176	261	387
	15	578	663	292	401		15	556	327	261	387
	16	576	662	292	386		16	476	626	261	387
	17	521	656	292	411		17	532	682	261	416
	18	576	656	293	401		18	497	626	260	387
	19	576	658	302	401		19	497	600	260	387
	20	576	658	302	401		20	532	631	260	397
	21	576	656	294	401		21	476	618	261	387
	22	546	656	294	401		22	571	614	261	376
	23	576	656	294	401		23	476	614	261	387
	24	526	656	294	401		24	532	627	261	411
	25	526	656	294	401		25	574	598	261	387
	26	530	656	292	401		26	571	608	277	387
	27	577	656	294	401		27	490	628	261	387
	28	576	656	294	401		28	478	626	261	387
	29	576	655	294	401		29	571	626	287	387
	30	576	673	294	401		30	483	626	261	387
sum	16,917	19,808	8909	12,000	sum	15,474	17,669	8005	11,690		

Node	Count	10 ms		25 ms		Node	Count	10 ms		25 ms	
		IBFT	CC + IBFT	IBFT	CC + IBFT			IBFT	CC + IBFT	IBFT	CC + IBFT
20	1	463	536	241	371	24	1	296	526	171	346
	2	474	576	241	371		2	296	516	171	346
	3	462	563	241	371		3	327	516	176	346
	4	464	576	277	371		4	327	576	177	346
	5	451	563	231	416		5	327	486	177	336
	6	389	576	231	371		6	356	488	177	346
	7	422	576	231	356		7	327	508	177	341
	8	434	576	241	371		8	327	516	171	346
	9	473	575	241	371		9	367	518	171	346
	10	474	570	241	371		10	327	519	171	344
	11	432	576	241	376		11	327	517	177	346
	12	464	576	241	386		12	327	517	178	346
	13	464	572	241	371		13	284	516	177	344
	14	454	556	241	386		14	327	519	178	346
	15	462	576	277	371		15	256	516	176	346
	16	460	576	241	371		16	327	516	177	346
	17	459	556	241	371		17	292	486	164	344
	18	456	546	241	401		18	327	487	166	344
	19	454	576	241	371		19	300	476	171	346
	20	452	576	277	371		20	299	498	139	346
	21	427	576	241	371		21	309	499	144	351
	22	454	526	241	416		22	327	516	144	348
	23	434	576	277	371		23	327	516	171	348
	24	456	556	241	371		24	325	516	177	346
	25	456	556	241	356		25	238	516	177	358
	26	451	576	241	371		26	362	487	177	358
	27	451	456	241	371		27	304	486	177	358
	28	441	576	241	371		28	332	486	176	346
	29	441	576	241	371		29	327	516	176	346
	30	441	556	241	371		30	327	516	177	346
	sum	13,515	16,903	7344	11,255		sum	9521	15,271	5138	10,402

Node	Count	10 ms		25 ms		Node	Count	10 ms		25 ms	
		IBFT	CC + IBFT	IBFT	CC + IBFT			IBFT	CC + IBFT	IBFT	CC + IBFT
28	1	5	397	280	319	32	1	15	357	11	276
	2	196	416	136	326		2	149	360	31	296
	3	196	88	136	331		3	119	351	15	276
	4	200	260	256	331		4	140	351	17	294
	5	201	416	166	326		5	115	342	39	298
	6	196	452	168	326		6	105	341	55	296
	7	167	474	167	296		7	148	336	60	296
	8	201	416	136	296		8	103	316	77	296
	9	196	330	136	326		9	174	316	111	294
	10	167	409	130	326		10	136	321	80	287
	11	196	416	130	326		11	135	341	116	296
	12	201	377	136	301		12	144	342	246	296
	13	200	363	136	299		13	148	351	4	287
	14	206	416	280	309		14	129	316	124	295
	15	196	397	141	326		15	147	318	77	296
	16	196	416	63	326		16	147	357	134	296
	17	224	397	256	326		17	106	362	137	293
	18	237	397	256	309		18	147	363	105	296
	19	196	416	84	309		19	129	364	125	291
	20	196	374	177	314		20	132	377	126	296
	21	196	374	220	326		21	149	358	103	296
	22	167	416	141	326		22	147	326	126	296
	23	196	416	141	326		23	133	337	130	291
	24	196	416	141	326		24	149	297	95	296
	25	199	463	136	326		25	146	376	136	296
	26	167	416	179	338		26	142	354	137	296
	27	196	416	136	343		27	147	351	124	363
	28	212	401	176	326		28	131	346	145	296
	29	196	416	134	326		29	128	341	118	291
	30	196	375	161	326		30	146	356	82	296
	sum	5694	11,736	4935	9637		sum	3986	10,324	2886	8868

Node	Count	10 ms		25 ms		Node	Count	10 ms		25 ms	
		IBFT	CC + IBFT	IBFT	CC + IBFT			IBFT	CC + IBFT	IBFT	CC + IBFT
	1	11	277	14	271		1	4	241	0	261
	2	89	288	19	281		2	163	260	219	246
	3	11	271	14	277		3	24	262	2	265
	4	91	272	111	274		4	225	242	14	276
	5	76	166	116	256		5	0	259	0	271
	6	83	277	88	256		6	0	267	121	246
	7	89	281	5	256		7	89	276	32	246
	8	81	277	106	273		8	0	264	188	271
	9	84	277	31	272		9	4	256	18	271
	10	74	88	108	270		10	79	256	88	271
	11	85	318	131	257		11	38	257	0	246
	12	0	326	15	259		12	40	258	8	249
	13	73	326	106	256		13	79	259	11	252
	14	76	338	133	256		14	38	186	176	246
	15	91	307	107	261		15	8	176	29	253
36	16	82	278	107	261	40	16	5	176	78	253
	17	81	307	108	256		17	79	179	11	246
	18	84	308	4	261		18	8	180	107	246
	19	4	310	133	260		19	44	181	2	246
	20	84	277	111	262		20	50	251	1	254
	21	84	277	111	256		21	200	241	139	246
	22	89	277	111	273		22	79	216	0	249
	23	81	178	135	256		23	0	83	2	246
	24	81	198	96	256		24	79	85	4	248
	25	0	177	87	271		25	5	216	180	246
	26	81	184	86	271		26	79	92	7	246
	27	85	278	133	256		27	60	251	2	247
	28	89	302	106	271		28	0	243	126	246
	29	87	303	111	271		29	79	240	140	249
	30	74	306	106	256		30	5	254	0	246
	sum	2100	8049	2649	7912		sum	1563	6607	1705	7584

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