# Master's Thesis Exam Verification of the Blocking and Non-Blocking Michael-Scott Queue Algorithms

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## Overview of the Project and Contributions

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#### Outline

- Queue Specifications
- 2 The Two-Lock Michael-Scott Queue
- Proving that the Two-Lock Michael-Scott Queue Satisfies the HOCAP-style Specification
- 4 The Lock-Free Michael-Scott Queue
- 5 Proving that the Lock-and-CC-Free Michael-Scott Queue Satisfies the HOCAP-style Specification

# Queue Specifications

## Specifications for Queues

#### Assumptions on Queues

- Queues consists of initialize, enqueue, and dequeue
- initialize creates an empty queue: []
- enqueue adds a value, v, to the beginning of the queue  $xs_v$ : v ::  $xs_v$
- dequeue depends on whether queue is empty:
  - If non-empty,  $xs_v$  ++ v, remove v and return Some v
  - If empty, [], return None

#### Nature of Specifications

- Specifications written in Iris, a higher order CSL
- **E**xpressed in terms of *Hoare triples*:  $\{P\}$  e  $\{v.\Phi$   $v\}$
- Hoare triples prove partial correctness of programs, e
- In particular: safety
- Idea: clients can use Hoare triples to prove results about their own code

## Sequential Specification

#### Definition (Sequential Specification)

```
 \exists \mathsf{isQueue}_{S} : \mathit{Val} \rightarrow \mathit{List} \; \mathit{Val} \rightarrow \mathit{SeqQgnames} \rightarrow \mathsf{Prop}. 
 \{\mathsf{True}\} \; \mathsf{initialize} \; () \; \{v_q.\exists G. \; \mathsf{isQueue}_{S}(v_q, [], G)\} 
 \land \quad \forall v_q, v, xs_v, G. \; \{\mathsf{isQueue}_{S}(v_q, xs_v, G)\} \; \mathsf{enqueue} \; v_q \; v \; \{w. \; \mathsf{isQueue}_{S}(v_q, (v :: xs_v), G)\} 
 \land \quad \forall v_q, xs_v, G. \; \{\mathsf{isQueue}_{S}(v_q, xs_v, G)\} 
 \mathsf{dequeue} \; v_q 
 \left\{ w. \; (xs_v = [] * w = \mathsf{None} * \mathsf{isQueue}_{S}(v_q, xs_v, G)) \lor \\ (\exists v, xs_v'. \; xs_v = xs_v' + + [v] * w = \mathsf{Some} \; v * \; \mathsf{isQueue}_{S}(v_q, xs_v', G)) \right\}
```

- The proposition isQueue<sub>S</sub>( $v_q$ ,  $x_{s_v}$ , G), states that value  $v_q$  represents the queue, which contains elements  $x_{s_v}$
- ullet  $G \in SeqQgnames$  is a collection of ghost names (depends on specific queue)
- Specification consists of three Hoare triples one for each queue function
- Important: isQueue<sub>S</sub> not required to be persistent!

## Concurrent Specification

#### Definition (Concurrent Specification)

```
\begin{split} \exists \, & \mathsf{isQueue_C} : (\mathit{Val} \to \mathsf{Prop}) \to \mathit{Val} \to \mathit{ConcQgnames} \to \mathsf{Prop}. \\ \forall \Psi : \mathit{Val} \to \mathsf{Prop}. \\ \forall v_q, \, G. \, & \mathsf{isQueue_C}(\Psi, v_q, \, G) \implies \Box \, & \mathsf{isQueue_C}(\Psi, v_q, \, G) \\ \land \quad & \{\mathsf{True}\} \, & \mathsf{initialize} \, () \, \{v_q. \exists G. \, & \mathsf{isQueue_C}(\Psi, v_q, \, G)\} \\ \land \quad & \forall v_q, \, v, \, G. \, \{ \mathsf{isQueue_C}(\Psi, v_q, \, G) * \Psi(v) \} \, & \mathsf{enqueue} \, v_q \, v \, \{w.\mathsf{True}\} \\ \land \quad & \forall v_q, \, G. \, \{ \mathsf{isQueue_C}(\Psi, v_q, \, G) \} \, & \mathsf{dequeue} \, v_q \, \{w.w = \mathsf{None} \, \lor (\exists v. \, w = \mathsf{Some} \, v * \Psi(v)) \} \end{split}
```

## HOCAP-style Specification - Abstract State RA

- Introduce Auth and Frag predicates for tracking abstract state
- **■** ► Show Resource Algebra ◀

#### Lemmas on the Abstract State RA

$$\vdash \models \exists \gamma. \ \gamma \models_{\bullet} xs_{v} * \gamma \models_{\circ} xs_{v}$$
 (Abstract State Alloc)  
$$\gamma \models_{\bullet} xs'_{v} * \gamma \models_{\circ} xs_{v} \vdash xs_{v} = xs'_{v}$$
 (Abstract State Agree)

$$\gamma \mapsto_{\bullet} \mathit{xs}'_{\mathsf{v}} * \gamma \mapsto_{\circ} \mathit{xs}_{\mathsf{v}} \Rrightarrow \gamma \mapsto_{\bullet} \mathit{xs}''_{\mathsf{v}} * \gamma \mapsto_{\circ} \mathit{xs}''_{\mathsf{v}} \qquad \text{(Abstract State Update)}$$

# **HOCAP-style Specification**

#### Definition (HOCAP Specification)

 $\exists$  isQueue :  $Val \rightarrow Qgnames \rightarrow Prop.$ 

```
\forall v_{q}, G. \text{ isQueue}(v_{q}, G) \implies \Box \text{ isQueue}(v_{q}, G)
\land \quad \{\text{True}\} \text{ initialize } () \{v_{q}.\exists G. \text{ isQueue}(v_{q}, G) * G.\gamma_{\text{Abst}} \Rightarrow_{\circ} []\}
\land \quad \forall v_{q}, v, G, P, Q. \quad (\forall xs_{v}. G.\gamma_{\text{Abst}} \Rightarrow_{\bullet} xs_{v} * P \Rightarrow_{\mathcal{E} \setminus \mathcal{N}.i\uparrow} \triangleright G.\gamma_{\text{Abst}} \Rightarrow_{\bullet} (v :: xs_{v}) * Q) \twoheadrightarrow \{\text{isQueue}(v_{q}, G) * P\} \text{ enqueue } v_{q} \ v \ \{w.Q\}
\land \quad \forall v_{q}, G, P, Q.
\begin{pmatrix} (xs_{v} = [] * G.\gamma_{\text{Abst}} \Rightarrow_{\bullet} xs_{v} * Q(\text{None})) \\ \forall (G.\gamma_{\text{Abst}} \Rightarrow_{\bullet} xs'_{v} * Q(\text{Some } v)) \end{pmatrix}
\{\text{isQueue}(v_{q}, G) * P\} \text{ dequeue } v_{q} \{w.Q(w)\}
```

#### Queue Client - A PoC Client

- Idea: a minimal client complex enough to require HOCAP specification
- Uses parallel composition, so sequential specification insufficient
- Relies on dequeues not returning None, so concurrent specification insufficient
- HOCAP specification supports consistency and allows us to track queue contents, allowing us to exclude cases where dequeue returns None

```
unwrap w \triangleq \mathsf{match} \ w \ \mathsf{with} \ \mathsf{None} \Rightarrow () \ () \ | \ \mathsf{Some} \ v \Rightarrow v \ \mathsf{end} enqdeq v_q \ c \triangleq \mathsf{enqueue} \ v_q \ c; \ \mathsf{unwrap}(\mathsf{dequeue} \ v_q) queueAdd a \ b \triangleq \mathsf{let} \ v_q = \mathsf{initialize} \ () \ \mathsf{in} \mathsf{let} \ p = (\mathsf{enqdeq} \ v_q \ a) \ || \ (\mathsf{enqdeq} \ v_q \ b) \ \mathsf{in} fst p + \mathsf{snd} \ p
```

# Queue Client - A PoC Client (continued)

#### Lemma (QueueAdd Specification)

$$\forall a, b \in \mathbb{Z}. \{ \textit{True} \} \text{ queueAdd } a \ b \{ v.v = a + b \}$$

- Proof idea: Create invariant capturing possible states of queue contents
- Tokens are used to reason about which state we are in

#### Definition (Invariant for QueueAdd)

$$\begin{split} \textit{I}_{\textit{QA}}(\textit{G},\textit{Ga},\textit{a},\textit{b}) &\triangleq \textit{G}.\gamma_{\text{Abst}} \bowtie_{\circ} [] * \text{TokD1} \textit{Ga} * \text{TokD2} \textit{Ga} \vee \\ &\textit{G}.\gamma_{\text{Abst}} \bowtie_{\circ} [\textit{a}] * \text{TokA} \textit{Ga} * (\text{TokD1} \textit{Ga} \vee \text{TokD2} \textit{Ga}) \vee \\ &\textit{G}.\gamma_{\text{Abst}} \bowtie_{\circ} [\textit{b}] * \text{TokB} \textit{Ga} * (\text{TokD1} \textit{Ga} \vee \text{TokD2} \textit{Ga}) \vee \\ &\textit{G}.\gamma_{\text{Abst}} \bowtie_{\circ} [\textit{a};\textit{b}] * \text{TokA} \textit{Ga} * \text{TokB} \textit{Ga} \vee \\ &\textit{G}.\gamma_{\text{Abst}} \bowtie_{\circ} [\textit{b};\textit{a}] * \text{TokB} \textit{Ga} * \text{TokA} \textit{Ga} \vee \end{split}$$

The Two-Lock Michael-Scott Queue

## Implementation: initialize

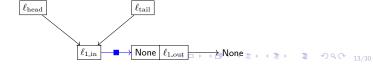
#### ▶ format ◀

- The data structure is a linked list
- A node x in the linked list is a triple,  $x = (\ell_{\rm in}, w, \ell_{\rm out})$ , with  $\ell_{\rm in}$  pointing to  $(w, \ell_{\rm out})$
- We use the following notation for nodes

$$\mathsf{in}(x) = \ell_{\mathrm{in}}$$
  $\mathsf{val}(x) = w$   $\mathsf{out}(x) = \ell_{\mathrm{out}}$ 

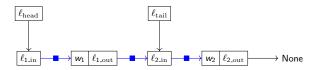
- The initialize function first creates an initial head node,  $x_{head}$
- Then a lock protecting the head pointer, and a lock protecting the tail pointer
- lacksquare Finally, it creates the head and tail pointers,  $\ell_{\mathrm{head}}$  and  $\ell_{\mathrm{tail}}$ , both pointing to  $x_{\mathrm{head}}$

```
initialize \triangleq
let node = ref(None, ref(None)) in
let H\_lock = newLock() in
let T\_lock = newLock() in
ref(((ref(node), ref(node)), (H\_lock, T\_lock))
```

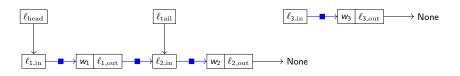


- The enqueue function consists of the following steps
  - lacktriangledown Create a new node,  $x_{\mathrm{new}}$ , containing value to be enqueued
  - 2 Acquire the tail lock
  - 3 Add  $x_{new}$  to linked list
  - 4 Swing tail pointer to  $x_{\rm new}$
  - 5 Release the tail lock

```
enqueue Q value \triangleq
let node = ref(Some \ value, ref(None)) in
acquire(snd(snd(!\ Q)));
snd(!(!(snd(fst(!\ Q)))) \leftarrow node;
snd(fst(!\ Q)) \leftarrow node;
release(snd(snd(!\ Q)))
```



- The enqueue function consists of the following steps
  - lacktriangle Create a new node,  $x_{
    m new}$ , containing value to be enqueued
  - 2 Acquire the tail lock
  - 3 Add  $x_{new}$  to linked list
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  - 5 Release the tail lock



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  - 2 Acquire the tail lock
  - 3 Add  $x_{\rm new}$  to linked list
  - 4 Swing tail pointer to  $x_{new}$
  - 5 Release the tail lock

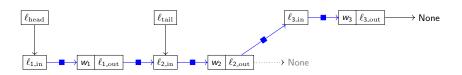
```
enqueue Q value \triangleq

let node = ref (Some value, ref (None)) in acquire(snd(snd(!Q)));

snd(!(!(snd(fst(!Q))))) \leftarrow node;

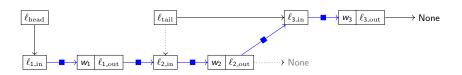
snd(fst(!Q)) \leftarrow node;

release(snd(snd(!Q)))
```



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  - lacktriangle Create a new node,  $x_{\mathrm{new}}$ , containing value to be enqueued
  - 2 Acquire the tail lock
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snd(fst(!\ Q)) \leftarrow node;
release(snd(snd(!\ Q)))
```



#### ▶ format ◀

- The dequeue function checks if queue is empty
  - If empty, return *None*

 $\ell_{\rm head}$ 

■ Else, swing head pointer to new head, and return dequeued value

```
dequeue Q \triangleq
  acquire(fst(snd(! Q)));
  let node = !(fst(fst(! Q))) in
  let new_head = !(snd(! node)) in
  if new head = None then
     release(fst(snd(! Q)));
     None
   else
     let value = fst(! new_head) in
     fst(fst(!Q)) \leftarrow new\_head;
     release(fst(snd(!Q)));
     value
```

 $\ell_{\mathrm{tail}}$ 

#### ▶ format ◀

- The dequeue function checks if queue is empty
  - If empty, return None

 $\ell_{\rm head}$ 

■ Else, swing head pointer to new head, and return dequeued value

```
dequeue Q \triangleq
  acquire(fst(snd(!Q)));
  let node = !(fst(fst(!Q))) in
  let new_head = !(snd(! node)) in
  if new head = None then
     release(fst(snd(! Q)));
     None
   else
     let value = fst(! new_head) in
     fst(fst(!Q)) \leftarrow new\_head;
     release(fst(snd(!Q)));
     value
```

 $\ell_{\mathrm{tail}}$ 

## Observations on Behaviour of the Two-Lock M&S Queue

#### ▶ format and simplify ◀

- I The tail node is always either the last or second last node in the linked list.
- 2 All but the last pointer in the linked list (the pointer to None) never change.
- Nodes in the linked list are never deleted. Hence, the linked list only ever grows.
- 4 The tail can lag one node behind the head.
- 5 At any given time, the queue is in one of four states:
  - No threads are interacting with the queue (Static).
  - 2 A thread is enqueueing (Enqueue).
  - 3 A thread is dequeueing (Dequeue).
  - 4 A thread is enqueueing and a thread is dequeueing (Both).

Proving that the Two-Lock Michael-Scott Queue Satisfies the HOCAP-style Specification

#### The isLL Predicate

#### ▶format slide◀

- Idea: express the structure of the linked list in terms of points-to predicates
- Also captures persistent and non-persistent parts of the linked list

#### Definition (Linked List Chain Predicate)

$$\mathsf{isLL\_chain}([x]) \triangleq \mathsf{in}(x) \mapsto^{\square} (\mathsf{val}(x), \mathsf{out}(x))$$

$$\mathsf{isLL\_chain}(x :: x' :: xs) \triangleq \mathsf{in}(x) \mapsto^{\square} (\mathsf{val}(x), \mathsf{out}(x)) * \mathsf{out}(x') \mapsto^{\square} \mathsf{in}(x) * \mathsf{isLL\_chain}(x' :: x' :: xs)$$

#### Definition (Linked List Predicate)

$$isLL(x :: xs) \triangleq out(x) \mapsto None * isLL\_chain(x :: xs)$$

### Example

#### Invariant

#### ▶format slide∢

- Queue predicate must be persistent (according to specification)
- The queue relies on non-persistent resources (e.g.  $\ell_{\rm head} \mapsto \ell_{\rm in}$ )
- Solution: identify a *queue invariant*, describing the resources
- Invariants are persistent in Iris

#### Definition (Two-Lock M&S Queue HOCAP Invariant)

```
I_{TLH}(\ell_{head}, \ell_{tail}, G) \triangleq
\exists x s_v . G. \gamma_{\Delta bet} \Rightarrow x s_v *
\exists xs, xs_{\text{queue}}, xs_{\text{old}}, x_{\text{head}}, x_{\text{tail}}.
xs = xs_{\text{queue}} + + [x_{\text{head}}] + + xs_{\text{old}} *
isLL(xs) *
projVal(xs_{queue}) = wrapSome(xs_v) *
         \ell_{\text{head}} \mapsto \text{in}(x_{\text{head}}) * \ell_{\text{tail}} \mapsto \text{in}(x_{\text{tail}}) * \text{isLast}(x_{\text{tail}}, x_{\text{s}}) *
                                                                                                                                                          (Static)
          TokNE G * TokND G * TokUpdated G
```

### Queue Predicate

- HOCAP-style specification requires the existence of a persistent queue predicate
- We define it in terms of our invariant

#### Definition (Two-Lock M&S Queue - isQueue Predicate)

$$\begin{split} \mathsf{isQueue}(v_q, G) \triangleq & \exists \ell_{\mathrm{queue}}, \ell_{\mathrm{head}}, \ell_{\mathrm{tail}} \in \mathit{Loc}. \ \exists \mathit{h}_{\mathrm{lock}}, \mathit{t}_{\mathrm{lock}} \in \mathit{Val}. \\ & v_q = \ell_{\mathrm{queue}} * \ell_{\mathrm{queue}} \mapsto^{\square} \big( (\ell_{\mathrm{head}}, \ell_{\mathrm{tail}}), (\mathit{h}_{\mathrm{lock}}, \mathit{t}_{\mathrm{lock}}) \big) * \\ & \overline{\mathsf{I}_{\mathsf{TLH}}(\ell_{\mathrm{head}}, \ell_{\mathrm{tail}}, G)}^{\mathcal{N}.\mathit{queue}} * \\ & \mathsf{isLock}(\mathit{G}.\gamma_{\mathrm{Hlock}}, \mathit{h}_{\mathrm{lock}}, \mathsf{TokD} \ \mathit{G}) * \\ & \mathsf{isLock}(\mathit{G}.\gamma_{\mathrm{Tlock}}, \mathit{t}_{\mathrm{lock}}, \mathsf{TokE} \ \mathit{G}) \end{split}$$

- The queue predicate is persistent, as all its constituents are
- Proving that TLMSQ satisfies the HOCAP-style specification then consists of proving the Hoare triples for initialize, enqueue, and dequeue
- We here focus on enqueue

# Proof Sketch of the Hoare triple for enqueue

#### ▶format◀ Must prove:

```
\forall v_q, v, G, P, Q. \quad (\forall xs_v. \ G.\gamma_{Abst} \mapsto_{\bullet} xs_v * P \Rightarrow_{\mathcal{E} \setminus \mathcal{N}.i\uparrow} \triangleright G.\gamma_{Abst} \mapsto_{\bullet} (v :: xs_v) * Q) \twoheadrightarrow \{\text{isQueue}(v_q, G) * P\} \text{ enqueue } v_q \ v \ \{w.Q\}
```

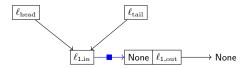
Assume the view-shift, and the persistent information in isQueue( $v_q$ , Qgnames):  $v_q = \ell_{\text{queue}} * \ell_{\text{queue}} \mapsto^{\square} ((\ell_{\text{head}}, \ell_{\text{tail}}), (h_{\text{lock}}, t_{\text{lock}}))$ , the invariant  $|I_{\text{TLH}}(\ell_{\text{head}}, \ell_{\text{tail}}, G)|^{N.\text{queue}}$ , and isLock( $G.\gamma_{\text{Tlock}}, t_{\text{lock}}$ , TokE G)

The Lock-Free Michael-Scott Queue

### Implementation: initialize

- Queue data structure is still a linked list
- The lock-free versions of initialize, enqueue, and dequeue perform the same manipulations of the linked list as two-lock versions
- Difference is how the manipulations take place: CAS
- No longer need locks

```
initialize \triangleq
let node = ref(None, ref(None)) in
ref(ref(node), ref(node))
```



- Appending  $x_{new}$  to linked list is now done with CAS
- Ensures that no other thread has performed an enqueue while we have been working
- lacksquare Swinging tail to  $x_{\text{new}}$  might fail: another thread has helped us

```
enqueue Q value ≜

let node = ref (Some value, ref (None)) in

(rec loop. =

let tail = !(snd(! Q)) in

let next = !(snd(! tail)) in

if tail = !(snd(! Q)) then

if next = None then

if CAS (snd(! tail)) next node then

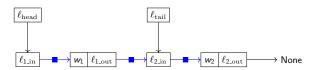
CAS (snd(! Q)) tail node

else loop ()

else CAS (snd(! Q)) tail next; loop ()

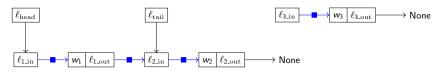
else loop ()

) ()
```



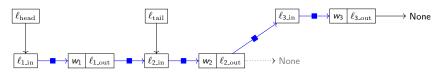
- Appending  $x_{new}$  to linked list is now done with CAS
- Ensures that no other thread has performed an enqueue while we have been working
- $\blacksquare$  Swinging tail to  $x_{new}$  might fail: another thread has helped us

```
enqueue Q value \triangleq
let node = ref (Some value, ref (None)) in
(rec loop =
let tail = !(snd(! Q)) in
let next = !(snd(! tail)) in
if tail = !(snd(! Q)) then
if next = None then
if next = None then
CAS (snd(! tail)) next node then
CAS (snd(! Q)) tail node
else loop ()
else CAS (snd(! Q)) tail next; loop ()
else loop ()
```



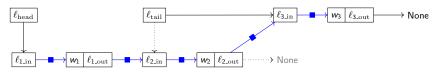
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```
enqueue Q value \triangleq
let node = ref (Some value, ref (None)) in
(rec loop =
let tail = !(snd(!\ Q)) in
let next = !(snd(!\ tail)) in
if tail = !(snd(!\ Q)) then
if next = None then
if next = None then
CAS (snd(!\ tail)) next node then
CAS (snd(!\ Q)) tail node
else loop ()
else CAS (snd(!\ Q)) tail next; loop ()
else loop ()
```



- Appending  $x_{new}$  to linked list is now done with CAS
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enqueue Q value \triangleq
let node = ref (Some value, ref (None)) in
(rec loop. =
let tail = !(snd(!\ Q)) in
let next = !(snd(!\ tail)) in
if tail = !(snd(!\ Q)) then
if next = None then
if tail = (snd(!\ Q)) then
cAS (snd(!\ tail)) next node then
CAS (snd(!\ Q)) tail node
else loop ()
else CAS (snd(!\ Q)) tail next; loop ()
else loop ()
```



- Head now swung with CAS
- Ensures that another thread hasn't dequeued the element we are trying to dequeue

```
dequeue Q ≜
  (rec loop_ =
     let head = !(fst(! Q)) in
     let tail = !(snd(! Q)) in
     let p = \text{newproph in}
     let next = !(snd(! head)) in
     if head = Resolve(!(fst(!Q)), p, ()) then
       if head = tail then
         if next = None then
            None
          else
            CAS(snd(! Q)) tail next; loop ()
       else
         let value = fst(! next) in
         if CAS (fst(! Q)) head next then
            value
          else loop ()
     else loop ()
     )()
```

- Head now swung with CAS
- Ensures that another thread hasn't dequeued the element we are trying to dequeue

```
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  (rec loop_ =
     let head = !(fst(! Q)) in
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     let p = \text{newproph in}
     let next = !(snd(! head)) in
     if head = Resolve(!(fst(!Q)), p, ()) then
       if head = tail then
         if next = None then
            None
          else
            CAS(snd(! Q)) tail next; loop ()
       else
         let value = fst(! next) in
         if CAS (fst(! Q)) head next then
            value
          else loop ()
     else loop ()
     )()
```

# **Prophecies**

**▶**create slide◀

## The Lock-and-CC-Free Michael-Scott Queue

- Consistency checks and associated loops gone
- Can also remove prophecy in dequeue
  - When we read next, we know immediately whether dequeue will conclude empty queue
  - both head and tail are already fixed

```
initialize ≜
let node = ref (None, ref (None)) in
ref (ref (node), ref (node))

enqueue Q value ≜
let node = ref (Some value, ref (None)) in
(rec. loop. =
let tail =! (snd(! Q)) in
let next = !(snd(! tail)) in
if next = None then
if CAS (snd(! tail)) next node then
CAS (snd(! Q)) tail node
else loop ()
else CAS (snd(! Q)) tail next; loop ()
) ()
```

```
dequeue Q ≜
  (rec loop_ =
    let head = !(fst(! Q)) in
    let tail = !(snd(! Q)) in
    let next = !(snd(! head)) in
    if head = tail then
       if next = None then
          None
       else
         CAS(snd(! Q)) tail next; loop ()
     else
       let value = fst(! next) in
       if CAS (fst(! Q)) head next then
         value
       else loop ()
    )()
```

Proving that the Lock-and-CC-Free Michael-Scott Queue Satisfies the HOCAP-style Specification

# Reachability

**▶**create slide◀

# In Coq!

