1 Pseudocode

Algorithm Fields description

♦ Shared

• Tree tree: A binary tree of Nodes. root is a pointer to the root node.

♦ Local

• *Node leaf: a pointer to the process's leaf in the tree.

♦ Structures

- ► Node
 - *Node left, right, parent: initialized when creating the tree.
 - BlockList blocks implemented with an array.
 - int size= 1: #blocks in blocks.
 - int numpropagated = 0 : # groups of blocks that have been propagated from the node to its parent. Since it is incremented after propagating, it may be behind by 1.
 - int[] super: super[i] stores an approximate index of the superblock of the blocks in blocks whose group field have value i.
- ► Leaf extends Node
 - int lastdone

Stores the index of the block in the root such that the process that owns this leaf has most recently finished the. A block is finished if all of its operations are finished. enqueue(e) is finished if e is returned by some dequeue() and dequeue() is finished when it computes its response. put the definitions before the pseudocode

- ▶ Block ▷ For a block in a blocklist we define the prefix for the block to be the blocks in the BlockList up to and including the block.

 put the definitions before the pseudocode
 - int group: the value read from numpropagated when appending this block to the node.

► LeafBlock extends Block

- Object element: Each block in a leaf represents a single operation. For enqueue operations element is the input of the enqueue and for dequeue operations it is null.
- Object response: stores the response of the operation in the LeafBlock.
- int sum_{enq}, sum_{deq}: # enqueue, dequeue operations in the prefix for the block

► InternalBlock extends Block

- int end_{left}, end_{right}: index of the last subblock of the block in the left and right child
- int sum_{enq-left}: # enqueue operations in the prefix for left.blocks[end_{left}]
- int sum_deq-left : # dequeue operations in the prefix for left.blocks[endleft]
- int sum_{enq-right} : # enqueue operations in the prefix for right.blocks[end_{right}]
- int sum_deq-right : # dequeue operations in the prefix for right.blocks[end_right]

\blacktriangleright RootBlock extends InternalBlock

- int length: length of the queue after performing all operations in the prefix for this block
- \bullet $\ensuremath{\textit{counter}}\xspace$ $num_{\ensuremath{\texttt{finished}}}$: number of finished operations in the block

$Variable\ naming:$

- \bullet b_{op} : index of the block containing operation op
- $\bullet~r_{op}$: rank of operation op i.e. the ordering among the operations of its type according to linearization ordering

Abbreviations:

- $\bullet \ \ blocks[b].sum_x = blocks[b].sum_{x-left} + blocks[b].sum_{x-right} \quad (for \ b \geq 0 \ and \ x \ \in \ \{enq, \ deq\})$
- blocks[b].sum=blocks[b].sum_{enq}+blocks[b].sum_{deq} (for $b \ge 0$)
- blocks[b].num_x=blocks[b].sum_x-blocks[b-1].sum_x $(\text{for b>0 and } x \in \{\emptyset, \text{ enq, deq, enq-left, enq-right, deq-left, deq-right}\}, \text{ blocks[0].num}_x=0)$

Algorithm Queue

```
201: void Enqueue(Object e) 
ightharpoonup Creates a block with element e and appends
    it to the tree.
                                                                                    216: <int, int> FINDRESPONSE(int b, int i)
                                                                                                                                           \triangleright Computes the rank and
202:
         block newBlock= NEW(LeafBlock)
                                                                                        index of the block in the root of the enqueue that is the response of the ith
203:
         newBlock.element= e
                                                                                        dequeue in the root's bth block. Returns <-1,--> if the queue is empty.
204:
         newBlock.sumenq = leaf.blocks[leaf.size].sumenq+1
                                                                                    217:
                                                                                             if root.blocks[b-1].length + root.blocks[b].num_enq - i < 0 then
205:
         newBlock.sum<sub>deq</sub>= leaf.blocks[leaf.size].sum<sub>deq</sub>
                                                                                    218:
                                                                                                return <-1,-->
         leaf.Append(newBlock)
                                                                                    219:
206:
                                                                                             else
207: end ENQUEUE
                                                                                                                                        \triangleright We call the dequeues that
                                                                                        return a value non-null\ dequeues.\ rth non-null dequeue returns the element
208: Object Dequeue()
                                                                                        of th rth enqueue. We can compute # non-null dequeues in the prefix for
                                                                                        a block this way: #non-null dequeues= length - #enqueues. Note that the
209:
         block newBlock= NEW(LeafBlock)
                                                                ▷ Creates a block
    with null value element, appends it to the tree, computes its order among
                                                                                         ith dequeue in the given block is not a non-null dequeue.
    operations, then computes and returns its response.
                                                                                    220:
                                                                                                r_{enq}= root.blocks[b-1].sum<sub>enq</sub>- root.blocks[b-1].length + i
                                                                                                return <root.BSEARCH(sumenq, renq, root.FindMostRecentDone(),</pre>
210:
         newBlock.element= null
                                                                                    221:
                                                                                        root.size), r<sub>enq</sub>>
211:
         newBlock.sum<sub>enq</sub>= leaf.blocks[leaf.size].sum<sub>enq</sub>
212:
         newBlock.sum_deq= leaf.blocks[leaf.size].sum_deq+1
                                                                                    222:
                                                                                             end if
                                                                                    223: end FINDRESPONSE
213:
         leaf.Append(newBlock)
214:
         return leaf.HelpDequeue()
215\colon\operatorname{end}\operatorname{Dequeue}
```

Algorithm Node 301: void Propagate() 327: <Block, int, int> CREATEBLOCK(int i) if not Refresh() then \triangleright Creates a block to be inserted into as ith block in firstRefresh302: blocks. Returns the created block as well as values read from each child's secondRefresh303: \triangleright Lemma Double Refresh 304: end if $\mathrm{num}_{\mathrm{propagated}}$ field. These values are used for incrementing the children's $\mathrm{num}_{\mathrm{propagated}}$ field if the block was appended to \mathtt{blocks} successfully. 305: if this is not root then block newBlock= NEW(block) 306: parent.PROPAGATE() 328: 307: end if 329: ${\tt newBlock.group=\ num_{propagated}}$ 308: end Propagate 330: newBlock.order= i 331: for each dir in {left, right} do 309: boolean Refresh() lastLine332: $index_{last} = dir.size$ readSize10: indexprev= blocks[i-1].enddir prevLine³³³: ▷ np_{left}, np_{right} are the 334: <new, np_{left}, np_{right}>= CREATEBLOCK(s) $newBlock.end_{dir} = index_{last}$ values read from the children's numpropagated field. block_{last} = dir.blocks[index_{last}] 312: if new.num==0 then return true ▶ The block contains nothing. 336: blockprev= dir.blocks[indexprev] ${\tt \triangleright newBlock\ includes\ dir.blocks[index_{prev}$+1..index_{last}]}.$ 313: else if blocks.tryAppend(new, s) then 337: okcas 314 : for each dir in {left, right} do 338: this $dir = dir.num_{propagated}$ 315: CAS(dir.super[npdir], null, h+1) ▷ Write would work too. 339: 316: ${\tt CAS(dir.num_{propagated},\ np_{dir},\ np_{dir}\text{+}1)}$ - blockprev.sumenq 317: end for 340: ${ t ncrement Head B1}8$: CAS(size, s, s+1) - blockprev.sumdeq 341: 319: return true end for 320: 342: if this is root then 321: CAS(size, s, s+1) ⊳ Even if another 343: newBlock.length= max(root.blocks[i-1].length + b.numeng process wins, help to increase the size. The winner might have fallen sleep b.num_{deq}, 0) before increasing size. ncrementHead2 344: end if 322: return false 345: return <b, npleft, npright> 323: end if 346: end CREATEBLOCK 324: end Refresh

 ${\tt newBlock.sum_{enq-dir}=\ blocks[i-1].sum_{enq-dir}\ +\ block_{last}.sum_{enq}}$ $newBlock.sum_{deq-dir} = blocks[i-1].sum_{deq-dir} + block_{last}.sum_{deq}$ ightsquigarrow Precondition: blocks[start..end] contains a block with field f \geq i 325: int BSEARCH(field f, int i, int start, int end) ▷ Does binary search for the value ${\tt i}$ of the given prefix sum ${\tt field}$. Returns the index of the leftmost block in blocks[start..end] whose field f is \geq i. 326: end BSEARCH

```
Algorithm Node
     401: element GETENQ(int b, int i)
         if this is leaf then
402:
             return blocks[b].element
403:
404:
         else if i \leq blocks[b].numenq-left then
                                                                                                                                  \trianglerighti exists in the left child of this node
405:
             \verb|subBlock= left.BSEARCH(sum_{enq}, i, blocks[b-1].end_{left} + 1, blocks[b].end_{left})|\\
                                                                                                                  \triangleright Search range of left child's subblocks of blocks[b].
406:
             return left.GET(i-left.blocks[subBlock-1].sumenq, subBlock)
         else
407:
408:
            i= i-blocks[b].numeng-left
            \verb|subBlock= right.BSEARCH(sum_{enq}, i, blocks[b-1].end_{right} + 1, blocks[b].end_{right})|\\
                                                                                                                ▷ Search range of right child's subblocks of blocks[b].
409:
             return right.Get(i-right.blocks[subBlock-1].sum<sub>enq</sub>, subBlock)
410:
411:
         end if
412: end GETENO
     \leadsto Precondition: bth block of the node has propagated up to the root and blocks[b].num_{enq} \ge i.
413: <int, int> INDEXDEQ(int b, int i)
                                                                   \triangleright Returns the rank of ith dequeue in the bth block of the node, among the dequeues in the root.
         if this is root then
415:
             return <b, i>
416:
         else
417:
            dir= (parent.left==n)? left: right
                                                                                                                                         \triangleright check if a left or a right child
            \verb|superBlock= parent.BSEARCH(sum_{deq-dir}, i, super[blocks[b].group]-p, super[blocks[b].group]+p)|
418:

ightharpoonup superblock's group has at most p difference with the value stored in \operatorname{\mathtt{super}}[].
419:
            if \operatorname{dir} is right then
420:
                i+= blocks[superBlock].sum<sub>deq-left</sub>
                                                                                                                            \triangleright consider the dequeues from the right child
421:
422:
             return this.parent.INDEXDEQ(superBlock, i)
423:
         end if
```

```
Algorithm Root
```

424: end INDEX

puteSuper

```
501: Block FINDMOSTRECENTDONE

502: for leaf 1 in leaves do

503: max= Max(1.max0ld, max)

504: end for

505: return max ▷ This snapshot suffies.

506: end FINDMOSTRECENTDONE
```

```
Algorithm Leaf
                601: void Append(block blk)
                                                                                                                                           \triangleright Append is only called by the owner of the leaf.
appendEnd
                602:
                          size+=1
pendStart
                603:
                          blk.group= size
                604:
                          blocks[size] = blk
                605:
                          parent.PROPAGATE()
                606: end Append
                607: Object HelpDequeue()
                608:
                                                                                         \triangleright \ r \ \mathrm{is \ the \ rank \ among \ the \ dequeue \ of \ the \ b_{deq} th \ block \ in \ the \ root \ containing.}
                          <b<sub>deq</sub>, r_{deq}>= INDEXDEQ(leaf.size, 1)
                          b_{enq}, b_{enq} = FindResponse(b_{deq}, r_{deq}) > b_{enq} is the rank of the enqueue whose element is the response to the dequeue in the block containing it and
                609:
                     b_{deq} is the index of that block of it in the blocklist. If the response is null then r_{\rm deq} is -1.
 deqRest
                610:
                          if r_{enq}==-1 then
                611:
                              output= null
                612:

⊳ shared counter

                             root.blocks[bdeq].numfinished.inc()
                613:
                             if root.blocks[bdeq].numfinished==root.blocks[bdeq].num then
                614:
                                 last_{done} = b_{deq}
                             end if
                615:
                616:
                          else
                617:
                             output= GetEnq(b_{enq}, r_{enq})
                                                                                                                                                              \triangleright getting the reponse's \texttt{element}.
                618:
                             {\tt root.blocks[b_{enq}].num_{finished}.inc()}
                619:
                             root.blocks[benq].numfinished.inc()
                620:
                             if root.blocks[bdeq].numfinished==root.blocks[bdeq].num then
                621:
                                 lastdone = bdeq
                622:
                              else if root.blocks[b_{enq}].num_{finished} == root.blocks[b_{enq}].num then
                623:
                                 last<sub>done</sub>= b<sub>enq</sub>
                             end if
                624:
                625:
                          end if
                626:
                          return output
                627: end Dequeue
                628: void Help
                                                                                                                                                                   \triangleright Helps pending operations
                                                                                           \verb| | \verb| 1.blocks[last]| can not be \verb| null| because size increases after appending, see lines | 603-602. |
                629:
                          last= l.size-1
                          if 1.blocks[last].element==null then
                630:
                                                                                                                                                                        ▷ operation is dequeue
                631:
                             1.blocks[last].response= 1.HelpDequeue()
                          end if
                632:
                633: end \mathtt{HELP}
```

Algorithm BlockList

▷: Supports two operations blocks.tryAppend(Block b), blocks[i]. Initially empty, when blocks.tryAppend(b, n) returns true b is appended to blocks[n] and blocks[i] returns ith block in the blocks. If some instance of blocks.tryAppend(b, n) returns false there is a concurrent instance of blocks.tryAppend(b', n) which has returned true.blocks[0] contains an empty block with all fields equal to 0 and endleft, endright pointers to the first block of the corresponding children.

```
\Diamond root implementation
701: boolean TRYAPPEND(block blk, int n)
                                                                                                                                     ▷ adds block b to the root.blocks[n]
702:
         if \operatorname{root.size} \prec{p^2}{==}0 then
                                                                                                                  \triangleright Help every often p^2 operations appended to the root.
703:
             for leaf 1 in tree leaves do
                1.Help()
704:
705:
             end for
         end if
706:
707:
         blk.num_{finished} = 0
708:
         return CAS(blocks[n], null, blk)
709: \ \mathbf{end} \ \mathtt{TryAppend}
    \Diamond Array implementation
    blocks[]: array of blocks
710: boolean TRYAPPEND(block blk, int n)
711:
         return CAS(blocks[n], null, blk)
712: end TryAppend
```

Algorithm Yet to decide how to handle.

2 Proof of Linearizability

TEST As a temporary test I have changed the name of n.size to n.established here, other options are n.head and n.lastBLock but they might be confusing since we have used them before. Fix the logical order of definitions (cyclic refrences).

TODO Fallback safety lemmas. Some parts are obsolete.

Questions When I write the lemmas since every claim in my mind is correct maybe I miss some fact that need proof or maybe I refer to some lemmas that are generally correct but not needed for the linearizability proof. Is lemma 7 necessary? Is lemma 13 induced trivially from lemma 8?

TEST Is it better to show ops(EST_{n, t}) with EST_{n, t}?

TEST How to merge notions of blocks and operations? block $b \in block c$ means b is subblock of c. block $b \in set B$ means b is in B. Merge these two to have shorter formulaes.

Definition 1 (Block). A block is an object storing some statistics described in Algorithm Queue. It implicitly shows a set of operations. The set of operations of block b are the operations in the leaf subblocks of b. We show the set of operations of block b, set of blocks b by ops(b), ops(B). We also say b contains op if $op \in ops(b)$.

Definition 2 (Order). If n.blocks[i] == b we call i the *index* of block b. Block b is before block b' in node n if and only if b's index is smaller than b's.

Definition 3 (Subblock). Block b is a direct subblock of n.blocks[i] if it is ∈ n.left.blocks[n.blocks[i-1].end_{left}+1..n.blocks[i].end_{left}]

∪ n.right.blocks[n.blocks[i-1].end_{right}+1..n.blocks[i].end_{right}]. Block b is a subblock of a n.blocks[i] if it is a direct subblock

of it or subblock of a direct subblock of it.

For simplicity we say block b is propagated to node n or to a set of blocks S if b is in n.blocks or S or is a subblock of a block in n.blocks or S.

Definition 4. Block b in n.blocks is *Established* at time t if n.established is greater than index of b at time t. Block b is in $EST_{n, t}$ if b is a subblock of b' in n.blocks such that b' is established at time t.

Observation 5 (Validity of head). Once block b is written in n.blocks[i] then n.blocks[i] never changes.

Lemma 6. Each block is not duplicated.

head

eProgress

dPosition

shedOrder

Proof. n.CreateBlock(i) is successful for i=1,2,3,... exactly one time and by definition of CreateBlock the range of their blocks are disjoint so in propagation procedure on block can not be propagated twice (reference to propagation).

Lemma 7 (headProgress). n.established is non-decreasing over time.

Proof. Induced trivially from the pseudocode since n.established is only incremented.

Lemma 8 (headPosition). If the value read in Line 333(h=n.established) is h then, n.blocks[i]=null for i>h and n.blocks[i]≠null for i<h.

Proof. At the end of every n.Refresh() with a block with size greater than 0 returned by CreateBlock() n.head is incremented (Lines hincrementHead2 318, 321). If a process went to sleep before incrementing the established (line 318), nothing can be appended to n.blocks until another process increments n.established (Line 321).

Lemma 9 (established Order). If time $t < time\ t'$, then $ops(EST_{n,\ t}) \subseteq ops(EST_{n,\ t'})$.

Proof. Blocks are only appended(not modified) with CAS to n.blocks[n.head] and n.head is non-decreasing, so the set of operations in established blocks of a node grows.

eateBlock

Lemma 10 (createBlock). If n.CreateBlock(i) is invoked at time t and returns block new, then ops(EST_{n.left, t}) \cup ops(EST_{n.right, t}) \subseteq ops(new).

Proof. From lemmas 7,8 we know that n.blocks[i-1] is full and assume it is invoked at t'. We want to prove every block b that is $\in EST_{n.left,t} \cup EST_{n.right,t}$ is also $\in EST_{n,t'} \cup new$. It is easy to see $EST_{n.left,t} \cap EST_{n.right,t}$ is \emptyset . If b is $\in EST_{n.left,t'}$ it is simple to see. Else we can see from the code of the CreateBlock that new contains it. Right child is the same.

ueRefresh

Lemma 11 (trueRefresh). Let t_i be the time n.Refresh() is invoked and t_t be the time it is terminated. Suppose n.Refresh()'s TryAppend(new, s) returns true, then ops(EST_{n.left, ti}) \cup ops(EST_{n.right, ti}) \in ops(EST_{n, tt}).

Proof. Suppose the previous true returning n.Refresh() took place in time $(t'_i - t'_t)$. By induction on the number of successful Refresh()'s n we know that $ops(EST_{n.left, t_i'}) \cup ops(EST_{n.right, t_i'}) \in ops(EST_{n, t_t'})$. Operations that are in $ops(EST_{n.left, t_i}) \cup ops(EST_{n.right, t_i'}) \in ops(EST_{n, t_t'})$ are in the block returned by n.CreateBlock() by lemma 10. By Lemma $\frac{llem::createBlock}{ll0\ new\ contains}$ n's childrens' established blocks after Line $\frac{readSize}{S10\ which}$ is appended to n.blocks[] by TryAppend in Line 313.

seRefresh

Lemma 12 (falseRefresh). If instance r of n.Refresh() reads value s on line readsize instance r' of n.Refresh() that has performed a successful TryAppend(new, s). A TryAppend() is successful if its CAS is successful.

Proof. If there is no other concurrent successful n.Refresh() then n.Refresh() would succeed in Line 313. So there is another

n.Refresh(), that has appended its block in n.blocks[h] after Line 310 of the first n.Refresh().

leRefresh

Lemma 13 (Double Refresh). Consider two consecutive failed instances r_1, r_2 of n.Refresh() by some process. Let t_1 be the time r_1 is invoked and t_2 be the time r_2 terminated. After r_2 's TryAppend we have ops(EST_{n.left}, t_1) \cup ops(EST_{n.right}, t_1) \subseteq ops(EST_n, t_2).

Proof.

If Line 313 of r_1 or r_2 returns true, then the claim is held by Lemma $\overline{\text{II.}}$ If not, then there is another successful instance of n.Refresh() r'_1 by Lemma $\overline{\text{II.}}$ from $t_{i'_{r_2}} > t_1$ and Lemma $\overline{\text{II.}}$ $\overline{\text$

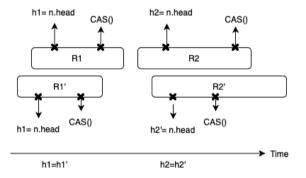


Figure 1: R_2' 's CAS is executed after h1=n.head.

lyRefresh

Corollary 14 (Propagate Step). All operations in n's children's established blocks before line secondRefresh blocks after line 303.

Proof. Lines 502 and 303 satisfy the preconditions of Lemma doubleRefresh 113.

CreateBlock() reads blocks in the children that do not exist in the parent and aggregates them into one block. If a Refresh() procedure returns true it means it has appended the block created by CreateBlock() into the parent node's sequence. So suppose two Refreshes fail. Since the first Refresh() was not successful, it means another CAS operation by a Refresh, concurrent to the first Refresh(), was successful before the second Refresh(). So it means the second failed Refresh is concurrent with a successful Refresh() that assuredly has read block before the mentioned line 35. After all it means if any of the Refresh() attempts were successful the claim is true, and also if both fail the mentioned claim still holds.

append

Lemma 15 (No Duplicates). If op is appended to n.blocks[i] then after that there is no j>i such that op∈ops(n.blocks[j]).

Corollary 16. After Append(blk) finishes ops(blk)⊆ops(root.blocks[x]) for some x and only one x.

blockSize

Lemma 17 (Block Size Upper Bound). Each block contains at most one operation from each process (\forall process p:#operations of $p \in ops(n.blocks[x] \le 1)$.

ocksBound

Lemma 18 (Subblocks Upperbound). Each block has at most p direct subblocks.

ordering

Definition 19 (Ordering of operations inside the nodes). ▶ Note that from Lemma 17 we know there is at most one operation from each process in a given block.

- We call operations strictly before op in the sequence of operations S, prefix of the op.
- E(n,i) is the sequence of enqueue operations \in ops(n.blocks[i]) ordered by their process id.
- D(n,i) is the sequence of dequeue operations \in ops(n.blocks[i]) ordered by their process id.
- Order of the enqueue operations in n: E(n) = E(n,1).E(n,2).E(n,3)...
- Order of the dequeue operations in n: D(n) = D(n,1).D(n,2).D(n,3)...
- Linearization: L = E(root, 1).D(root, 1).E(root, 2).D(root, 2).E(root, 3).D(root, 3)...

Note that in the non-root nodes we only order enqueues and dequeues among the operations of their own type. Since GetENQ() only works on enqueues and IndexDEQ() works on dequeues.

search

Lemma 20 (Search Ranges). Preconditions of all invocation of BSearch are satisfied.

get

Lemma 21 (Get correctness). n.GetENQ(b,i) returns the ith Enqueue in E(n,b).

help

Lemma 22 (help). After that TryAppend() who is helping finishes, prefix for the blocks of root.blocks[root.FindMostRecentDone] are done.

Lemma 23 (Index correctness). n.Index(b,i) returns the rank in D(root) of the ith Dequeue in D(n,b).

uperBlock

Lemma 24 (Computing SuperBlock). After computing line 418 of n.IndexDEQ(b,i), superblock contains the ith dequeue in the bth block of the node n.

mputeHead

Lemma 25 (Computing Queue's Head). Let S be the state of an empty queue if the operations in prefix in L of ith dequeue in D(root, b) are applied on it. FindResponse() returns the index in E(root, b) of the enqueue that is the head in S. If the queue is empty in S it returns <-1,-->.

erCounter

Lemma 26 (Validity of super and counter). If super[i] \neq null, then super[i] in node n is the index of the superblock of a block with time=i \pm p.

rootRange

Lemma 27 (Root search range). root.size-root.FindMostRecentDone() is $O(p^2 + q)$, which p is # processes and q is the length of the queue.

Theorem 28 (Main). The queue implementation is linearizable.

Lemma 29 (Time analysis). n.GetEnq(b,i), n.Index(b,i) take $O(\log^2 p)$ steps. Search in the root may take $O(\log Q + p^2)$ steps. Helping is done every p^2 block appended to the root and takes $p \times \log^2 p$ steps. Amortized time consumed for helping by each process is $O(\log^2 p)$.