1 Pseudocode

Algorithm Tree Fields Description

\Diamond Shared

 A binary tree of Nodes with one leaf for each process. root is the root node.

\Diamond Local

• Node leaf: process's leaf in the tree.

♦ Structures

- ► Node
 - *Node left, right, parent: initialized when creating the tree.
 - BlockList
 - int head= 1: #blocks in blocks. blocks[0] is a block with all integer fields equal to zero.
 - 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.
- ► Block
 - 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. If the operation is enqueue(x) then element=x, otherwise element=null.
- ullet int $\mathrm{sum}_{\mathrm{enq}}$, $\mathrm{sum}_{\mathrm{deq}}$: # enqueue, dequeue operations in the prefix for the block
- ► InternalBlock extends Block
 - \bullet int end_left, end_right: indices 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[end_{left}]
 - 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]
- ► RootBlock extends InternalBlock
 - int size : size of the queue after performing all operations in the prefix for this block

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 $(\text{for b>0 and } x \in \{\emptyset, \text{ enq, deq, enq-left, enq-right, deq-left, deq-right}\})$

Algorithm Queue

```
201: void Enqueue(Object e) ▷ Creates a block with element e and adds it to 218: <int, int> FindResponse(int b, int i)
                                                                                                                                   \triangleright Returns the the response to the D_{root,b,i}.
         202:
                  block newBlock= NEW(LeafBlock)
                                                                                              219:
                                                                                                       if root.blocks[b-1].size + root.blocks[b].num_enq - i < 0 then
         203:
                                                                                                                                                 ▷ Check if the queue is empty.
                  newBlock.element= e
                                                                                 checkEmpty220:
                                                                                                           return null
                  newBlock.sumenq = leaf.blocks[leaf.head].sumenq+1
         204:
                                                                                              221:
                                                                                                       else
                  {\tt newBlock.sum_{deq} = leaf.blocks[leaf.head].sum_{deq}}
         205:
                                                                                   compute\mathbb{E}^{22}:
                                                                                                           e= i - root.blocks[b-1].size + root.blocks[b-1].sum<sub>enq</sub>
         206:
                  leaf.Append(newBlock)
                                                                                                                                                      \triangleright E_{root,e} is the response.
         207 \colon \mathbf{\ end\ } \mathsf{Enqueue}
                                                                                 findAnswer223:
                                                                                                           return root.GetENQ(root.DSEARCH(e, b))
                                                                                                       end if
                                                                                              224:
         208: Object Dequeue() > Creates a block with null value element, appends it 225: end FindResponse
              to the tree, computes its order among operations, and returns its response.
         209:
                  block newBlock= NEW(LeafBlock)
         210:
                  newBlock.element= null
         211:
                  newBlock.sumenq = leaf.blocks[leaf.head].sumenq
         212:
                  newBlock.sum<sub>deq</sub>= leaf.blocks[leaf.head].sum<sub>deq</sub>+1
         213:
                  leaf.Append(newBlock)
         214:
                  <b, i>= INDEXDEQ(leaf.head, 1)
                  output= FINDRESPONSE(b, i)
\mathtt{deqRest}^{215}:
         216:
                  return output
         217 \colon \mathbf{\ end\ } \mathsf{DEQUEUE}
```

```
Algorithm Node
                301: void Propagate()
                                                                                                          327: <Block, int, int> CREATEBLOCK(int i)
                          if not Refresh() then
                                                                                                               to be inserted as ith block in blocks. Returns the created block as well as
firstRefresB02:
                                                                                                               values read from each child's numpropagated field. These values are used for
{	t secondRefresh} 03:
                              Refresh()
                304:
                          end if
                                                                                                               incrementing the children's num_{propagated} field if the block was appended to
                          if this is not root then
                                                                                                               blocks successfully.
                305:
                                                                                                          328:
                                                                                                                    block newBlock= NEW(block)
                306:
                              parent.PROPAGATE()
                          end if
                                                                                               \mathtt{setGroup}^{329}:
                307:
                                                                                                                    {\tt newBlock.group=\ num_{propagated}}
                                                                                                                    for each dir in \{{\tt left,\ right}\} do
                308: end Propagate
                                                                                                          330:
                                                                                               lastLine31:
                                                                                                                        index<sub>last</sub>= dir.head-1
                309: boolean Refresh()
                                                                                               prevLine<sup>332</sup>:
                                                                                                                        indexprev= blocks[i-1].enddir
     readHead10:
                                                                                            endDefLine33:
                                                                                                                        {\tt newBlock.end_{dir}=\ index_{last}}
keCreateBlock^{3}l^{1}:
                          <new, np<sub>left</sub>, np<sub>right</sub>>= CREATEBLOCK(h)
                                                                             ⊳ np<sub>left</sub>, np<sub>right</sub> are the 334:
                                                                                                                        block_{last} = dir.blocks[index_{last}]
                     values read from the children's numpropagated field.
                                                                                                                        blockprev= dir.blocks[indexprev]
         add0P^{12}:
                                                                                                                                 \quad \  \  \, \text{\tt prewBlock} \  \, \text{\tt includes} \  \, \text{\tt dir.blocks[index_{prev}+1..index_{last}]}.
                          if new.num==0 then return true
                                                                       ▶ The block contains nothing. 336:
            cas313:
                          else if blocks.tryAppend(new, h) then
                                                                                                   \mathtt{setNP}^{37}:
                                                                                                                        npdir= dir.numpropagated
                              for each dir in {left, right} do
                                                                                                                        {\tt newBlock.sum_{enq-dir}=\ blocks[i-1].sum_{enq-dir}\ +\ block_{last}.sum_{enq}}
         okcas^{314}:
                                                                                                          338:
     setSuper315:
                                  CAS(dir.super[npdir], null, h)
                                                                           ▶ Write would work too.
                                                                                                                - blockprev.sumenq
         incNP^316:
                                  {\tt CAS(dir.num_{propagated},\ np_{dir},\ np_{dir}\text{+}1)}
                                                                                                          339:
                                                                                                                        {\tt newBlock.sum_{deq-dir}=\ blocks[i-1].sum_{deq-dir}\ +\ block_{last}.sum_{deq}}
                317:
                              end for
                                                                                                                - blockprev.sumdeq
\mathtt{ncrementHead}\mathfrak{B}18:
                              CAS(head, h, h+1)
                                                                                                          340:
                                                                                                                    end for
                                                                                                          341:
                              return true
                                                                                                                    if this is root then
                320:
                          else
                                                                                                          342:
                                                                                                                        newBlock.size = max(root.blocks[i-1].size + newBlock.numenq
                                                                ⊳ Even if another process witter th
                321:
                                                                                                               - newBlock.num<sub>deq</sub>, 0)
                              CAS(head, h, h+1)
                                                                                                          343:
                     to increase the head. The winner might have fallen sleep before increasing
ncrementHead2
                     head
                                                                                                                    return <b, np<sub>left</sub>, np<sub>right</sub>>
                                                                                                          345: end CreateBlock
                322:
                              return false
                323:
                          end if
                324: end Refresh

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
                     i of the given prefix sum field. Returns the index of the leftmost block in
```

Algorithm Root

809: end DSEARCH

doubling

hComputei

326: end BSEARCH

blocks[start..end] whose field f is \geq i.

```
\leadsto Precondition: root.blocks[end].sum<sub>enq</sub> \geq e
801: <int, int> DSEARCH(int e, int end)
                                                                                                                                           \triangleright Returns <b, i> if E_{root,e} = E_{root,b,i}.
802:
          start= end-1
803:
          while root.blocks[start].sum_enq\geqe do
804:
              start= max(start-(end-start), 0)
805:
          end while
806:
          b = \verb"root.BSearch" (\verb"sum"_{enq}", e, \verb"start", end)
807:
          i= e- root.blocks[b-1].sumeno
808:
          return <b.i>
```

```
\rightsquigarrow Precondition: blocks[b].num<sub>enq</sub>\geqi\geq1
                401: element GETENQ(int b, int i)
                                                                                                                                                        \triangleright Returns the element of E_{this\ h\ i}.
                402:
                         if this is leaf then
tBaseCase
                403:
                             return blocks[b].element
                                                                                                                                                 \triangleright E_{this,b,i} is in the left child of this node.
                404:
                         else if i \leq blocks[b].num_enq-left then
ftOrRight
                405:
                             \verb|subBlock= left.BSEARCH(sum_{enq}, i+blocks[b-1].sum_{enq-left}, blocks[b-1].end_{left} + 1, blocks[b].end_{left})|
tChildGet
                406:
                             return left.GETENQ(subBlock, i)
                407:
                         else
                408:
                             i= i-blocks[b].numenq-left
                409:
                             subBlock= right.BSEARCH(sumenq, i+right.blocks[b-1].sumenq-right, blocks[b-1].endright+1, blocks[b].endright)
tChildGet
                410:
                             return right.GetEnQ(subBlock, i)
                411:
                         end if
                412: end GETENQ
                     \rightsquigarrow \mathsf{Precondition:}\ \mathsf{bth}\ \mathsf{block}\ \mathsf{of}\ \mathsf{the}\ \mathsf{node}\ \mathsf{has}\ \mathsf{propagated}\ \mathsf{up}\ \mathsf{to}\ \mathsf{the}\ \mathsf{root}\ \mathsf{and}\ \mathsf{blocks}[\mathtt{b}].\mathtt{num}_{enq}{\geq} i.
                413: <int, int> INDEXDEQ(int b, int i)

hd Returns < x, y> if D_{this,b,i} = D_{root,x,y}.
                414:
                         if this is root then
xBaseCase
                415:
                              return <b, i>
                416:
                         else
                             dir= (parent.left==n)? left: right
                                                                                                                                               \triangleright check if this node is a left or a right child
                418:
                             superBlock= parent.BSearch(sum_{deq-dir}, i+blocks[b-1].sum_{deq}, super[blocks[b].group] + p) \\
puteSuper
                                                                                                        \triangleright superblock's group has at most p difference with the value stored in super[].
                419:
                             if dir is right then
                                                                                                                                             ▷ consider the dequeues from the right child
                                 i+= blocks[superBlock].num<sub>deq-left</sub>
iderRight
                420:
                421:
                422:
                             return this.parent.IndexDeq(superBlock, i)
                423:
                         end if
                424: end INDEXDEQ
                Algorithm Leaf
                601: void Append(block blk)
                                                                                                                                         \triangleright Append is only called by the owner of the leaf.
                         blk.group= head
                602:
pendStart
                603:
                         blocks[head] = blk
appendEnd
                604:
                         head+=1
                         parent.PROPAGATE()
                605:
                606: end Append
                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.
                     block[] blocks: array of blocks
                     int[] super: super[i] stores an approximate index of the superblock of the blocks in blocks whose group field have value i.
                701: boolean TRYAPPEND(block blk, int n)
                702:
                         return CAS(blocks[n], null, blk)
```

Algorithm Node

703: end TryAppend

2 Proof of Linearizability

TEST Fix the logical order of definitions (cyclic refrences).

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

Question A good notation for the index of the b?

Question How to remove the notion of time? To say pre(n,i) contains n.blocks[0..i] instead of EST(n,t) which head=i at time t. Is it good? Furthermore, can we remove the notion of established blocks?

Definition 1 (Block). A block is an object storing some statistics, as described in Algorithm Queue. A block in a node's blocklist implicitly represents a set of operations. 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 the index of the b is smaller than the index of the b''s. 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.

:headInc

Lemma 2 (head Increment). Let R be an instance of Refresh on node n that reaches Line 373. After R terminates n.head is greater than h, the value read in line 370 of R.

dPosition

Invariant 3 (headPosition). If the value of n.head is h then, n.blocks[i]=null for i>h and n.blocks[i]≠null for i<h.

Proof. The invariant is true initially since 1 is assigned to n.head and n.blocks[x] is null for every x. The truth of the invariant may be affected by writing into n.blocks or incrementing n.head. We show the invariant still holds after these two changes.

In the algorithm, some value is appended to n.blocks[] by writing into n.blocks[head] only in Line 313. Writing into n.blocks[head] preserves the invariant, since the claim does not talk about n.blocks[head]. The value of n.head is modified only in lines \(\frac{\text{lincrementHead2mentHead2}}{318 \text{ and } \text{B21}}. \)

Depending on whether the TryAppend() in Line \(\frac{\text{cas}}{313} \) succeeded or not, we show that the claim holds after the increment of n.head in either case. If n.head is incremented to h it is sufficient to show n.blocks[h] \neq \text{null to prove the invariant still holds. In the first case the process applied a successful TryAppend(new,h) in line \(\frac{\text{okcas}}{314}, \text{ which means n.blocks[h] is not null anymore. Note that whether \(\frac{\text{lincrementHead1}}{318} \)

or \(\frac{\text{lincrementHead1}}{318 \text{ return true}} \) or false, after they finish we know that n.head has been incremented from the value read in Line \(\frac{\text{leadInc}}{310} \) (Lemma \(\frac{\text{leadInc}}{2} \). The

 $Explain\ More$

dProgress.

Lemma 4 (headProgress). n.head is non-decreasing over time. If n.blocks[i] \neq null and i.0 then n.blocks[i].end_{left} \geq n.blocks[i-1].end_{right}. and n.blocks[i].end_{right} \geq n.blocks[i-1].end_{right}.

Proof. The first claim follows trivially from the pseudocode since n.head is only incremented in the pseudocode in lines $\frac{lincrementHead2}{318}$ and $\frac{lincrementHead2}{318}$ Refresh().

Consider the block b written into n.blocks[i] by TryAppend() at Line [as 1]. It is created by the CreateBlock(i) called at Line [invokeCreateBlock at Line 2].

Prior to this call to CreateBlock(i), n.head=i at Line [as 1]. So n.blocks[i-1] is already a non-null value b' by Invariant [as 2]. Thus the CreateBlock(i-1) that creates b' terminates before CreateBlock(i) that creates b is invoked. The value written into b.endleft at Line [as 2]. Thus the [as 3] of CreateBlock(i) was read from n.left.head-1 at Line [as 2]. Since n.left.head is non-decreasing b'.endleft \(\) b.endleft. The proof for endright is similar.

subblock

Definition 5 (Subblock). Block b is a direct subblock of n.blocks[i] if it is in 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 n.blocks[i] if b is a direct subblock of n.blocks[i] or a subblock of a direct subblock of n.blocks[i].

Definition 6 (Superblock). Block b is *direct superblock* of block c if c is a direct subblock of b. Block b is *superblock* of block c if c is a subblock of b.

def::ops

Definition 7 (Operations of a block). A leaf block b in a leaf represents enqueue(x) if b.element=x≠null. Else if b.element=null b represents a dequeue(). The set of operations of block b are the operations in the subblocks of b. We denote the set of operations of block b by ops(b).

We say block b is *propagated to node* n if b is in n.blocks or is a subblock of a block in n.blocks. We also say b contains op if op∈ops(b).

Definition 8. A block b in n.blocks is established at time t if n.head> index of b at time t. $EST_{n, t}$ is the set of established blocks of node n at time t.

head

Observation 9. Once a block b is written in n.blocks[i] then n.blocks[i] never changes.

Lemma 10. Every block has at most one direct superblock.

Proof. To show this we are going to refer to the way n.blocks[] is partitioned while propagating blocks up to n.parent. n.CreateBlock(i) merges the blocks in n.left.blocks[n.blocks[i-1].end_left..n.blocks[i].end_left] and n.right.blocks[n.blocks[i-1].end_right..n.blocks[i] (Lines | lastLine, pr | pr | lastLine, pr | pr | lastLine, end_right are non-decreasing (n.blocks[i].end_left|right) n.blocks[i-1].end_left|right), so the range of the subblocks of n.blocks[i] which is (n.blocks[i-1].end_dir+1..n.blocks[i].end_dir) does not overlap with the range of the subblocks of n.blocks[i-1].

append

Corollary 11 (No Duplicates). If op is in n.blocks[i] then there is no j≠i such that op∈ops(n.blocks[j]).

shedOrder

Lemma 12 (establishedOrder). 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 can only grow.

useless?

ueRefresh

Lemma 13 (trueRefresh). Let t_i be the time an instance R of n.Refresh() is invoked and t_t be the time it terminates. If the TryAppend(new, s) of R returns true, then ops(EST_{n.left, ti}) \cup ops(EST_{n.right, ti}) \subseteq ops(EST_{n, tt}).

Proof. Since TryAppend returns true a block new is written into n.blocks[h] in Line Gas.

We show ops(EST_{n.left, t_i}) \subseteq ops(EST_{n, t_t}). Let h be the value n.Refresh() reads from n.head at line $\stackrel{\text{readHead}}{\text{B10}}$, $\stackrel{\text{heat}}{\text{hleft,i}}$ be the value of n.left.head at t_i and h_{left,read} be the value read from n.left.head-1 at line $\stackrel{\text{lastLine}}{\text{B31}}$. end_{left} field of the block returned by CreateBlock(i) is h_{left,read}. By lines $\stackrel{\text{brevLine}}{\text{B32}}$ and $\stackrel{\text{B33}}{\text{B31}}$ the new block in n.blocks[h] contains n.left.blocks[n.blocks[h-1].end_{left}+1..h_{left,read}]. Since left.head is read after t_i then h_{left,read}>h_{left,i} which means ops(EST_{n.left, t_i}) \subseteq ops(n.left.blocks [0..h_{left,read}]). After the successful TryAppend in line $\stackrel{\text{cas}}{\text{B13}}$ we know all blocks in n.left.blocks[0..h_{left,read}-1 are subblocks of n.blocks[0..h] by the definition of subblock. At t_t we have n.head>h by Lemma $\stackrel{\text{lem::headInc}}{\text{H. So n.blocks[1..h]}}$ are in EST_{n,t_t} by definition of EST. Note that after line $\stackrel{\text{lincrementHead2}}{\text{B21}}$ we are sure that the head is incremented by Lemma $\stackrel{\text{lem::headInc}}{\text{H. So n.blocks[1..h]}}$ are in EST_{n,t_t} by definition of EST. Note that after line $\stackrel{\text{lincrementHead2}}}{\text{B21}}$ we contains the new operations which is what we wanted to show. The proof for ops(EST_{n.right, t_i}) \subseteq ops(EST_{n,t_i}) is the same.

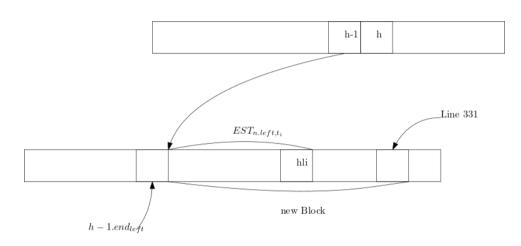


Figure 1: New established operations of the left child are in the new block.

ueRefresh

Lemma 14 (Stronger True Refresh). Let t_i be the time an instance of n.Refresh() read the head (Line $\overline{310}$) and t_t be the time its TryAppend(new, s) terminates with and returns true (Line $\overline{313}$). We have ops(EST_{n.left, t_i}) \cup ops(EST_{n.right, t_i}) \subseteq ops(n.blocks).

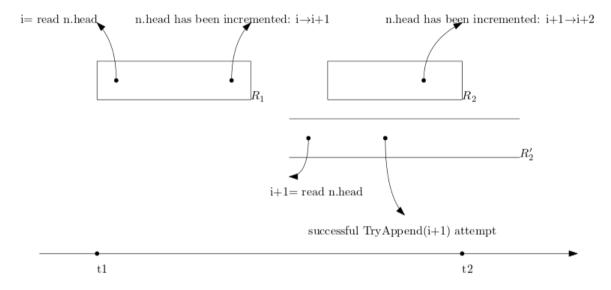
leRefresh

Lemma 15 (Double Refresh). Consider two consecutive instances R_1 , R_2 of Refresh() on n by process p. Let t_1 be the time R_1 is invoked and t_2 be the time R_2 terminated. If R_1 and R_2 both fail and return false, then we have $ops(EST_{n.left}, t_1) \cup ops(EST_{n.right}, t_1) \subseteq ops(EST_{n, t_2})$.

Proof.

If Line $\overline{B13}$ of R_1 or R_2 returns true, then the claim is held by Lemma $\overline{B13}$. Let R_1 read i and R_2 read i+1 from Line $\overline{B10}$. If R_2 reads some value greater than i+1 in Line $\overline{B10}$ it means a successful instance of Refresh() started after Line $\overline{B10}$ of R_1 and finished its Line $\overline{B10}$ of $\overline{B10}$ of

Since R_2 's TryAppend() returns false then there is another successful instance R'_2 of n.Refresh() that has done TryAppend() successfully into n.blocks[i+1] before R_2 tries to append. Since R'_2 creates the block after reading the value i+1 from n.head(Line readHead B10) and R_1 reads the value i from n.head and the head's value is increaing by Lemma $\frac{\text{lem}::headProgrammead}{\text{lthen } t_{R2'}} \frac{\text{readHead}}{\text{lto}} \frac{\text{readHead}}{\text{lt$



leRefresh

Figure 2: $t1 < r_1$ reading head < incrementing n.head from i to $i + 1 < R'_2$ reading head < TryAppend(i+1) < incrementing n.head from i + 1 to i + 2 < t2

this chain with more depth should be in the proof

Definition 16. $t_{before\ line}$ is the immediate time before running Line line. $t_{before\ line}$ is the immediate time after running Line line.

Corollary 17. ops (EST_{n.left}, t_{before} $\frac{fijstRefps(EST_{n.right}, t_{before})}{figs(EST_{n.right}, t_{before})}$ $\frac{fijstRefps(EST_{n, t_{after}})}{figs(EST_{n, t_{after}})}$

Proof. If the first Refresh() in line 302 returns true then by Lemma 13 the claim holds. Also if first Refresh() failed and the second Refresh() succeeded the claim still holds by Lemma 13. Finally, if both failed the claim is satisfied by Lemma 15.

Corollary 18 (Propagate Step). All operations in n's children's established blocks before running line | firstRefresh | 302 of a Propagate routine are guaranteed to be in n's established blocks after line | secondRefresh | 303.

Proof. If | firstRefreshdRefresh | the claim is true by Lemma | lem::trueRefresh | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions of Lemma | lem::trueRefresh | 302 and 303 satisfy the preconditions | 302 and 302 and 303 satisfy the preconditions | 302 and

actlyOnce

Corollary 19. After Append(blk) finishes ops(blk) Gops(root.blocks[x]) for exactly one x.

Proof. After Append(blk)'s termination, blk is in root.blocks since blk is established in the leaf it has been added to. By applying Lemma look in the root contains blk.

blockSize

Lemma 20 (Block Size Upper Bound). Each block contains at most one operation of each processs.

Proof. To derive a contradiction, assume there are 2 operations op_1 and op_2 from process p in block b in node n. WLOG op_1 is invoked earlier than op_2 . A process cannot invoke more than one operations concurrently, so one operation has to be finished before the other starts. So op_1 has terminated before op_2 started. By Corollary $\boxed{19}$ before appending op_2 to the tree op_1 exists in every node from the path of p's leaf to the root. Because op_1 's Append is finished before op_2 's Append starts. So there is some block b' before b in n containing op_1 . op_1 existing in b an b' contradicts Lemma op_2 existing op_3 existing in b an b' contradicts Lemma op_4 existing op_4 exist

ocksBound

Lemma 21 (Subblocks Upperbound). Each block has at most p direct subblocks.

Proof. It follows directly from Lemma $\frac{\text{blockSize}}{20 \text{ and the observation that each block appended to the tree contains at least one operation,}$ induced from Line $\frac{\text{addOP}}{312}$.

ordering

Definition 22 (Ordering of operations inside the nodes). \blacktriangleright Note that processes are numbered from 1 to p, left to right in the leaves of the tree and from Lemma $\frac{\texttt{blockSize}}{20 \text{ we know}}$ 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,b) is the sequence of enqueue operations \in ops(n.blocks[b]) ordered by their process id.
- $E_{n,b,i}$ is the *i*th enqueue in E(n,b).
- D(n,b) is the sequence of dequeue operations \in ops(n.blocks[b]) ordered by their process id.
- $D_{n,b,i}$ is the *i*th enqueue in D(n,b).
- Order of the enqueue operations in n: E(n) = E(n,1).E(n,2).E(n,3)...
- $E_{n,i}$ is the *i*th enqueue in E(n).
- Order of the dequeue operations in n: D(n) = D(n,1).D(n,2).D(n,3)...
- $D_{n,i}$ is the *i*th dequeue in D(n).
- 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 searches among enqueues and IndexDEQ() works on dequeues.

get

Lemma 23 (Get correctness). If n.blocks[b].num_enq \geq i then n.GetENQ(b,i) returns $E_{n,b,i}$.

Proof. We are going to prove this lemma by induction on the height of node n. The base case, where n os a leaf, is straightforward (Line letter and the left blocks each contain exactly one operation, so only n.GetENQ(b,1) can be called where n is a leaf. n.GetENQ(b,1) returns the operation stored in the bth block of leaf n.

For the induction step we prove n.GetENQ(b,i) returns $E_{n,b,i}$, if n.child.GetENQ(b,i) returns $E_{n.child,b,i}$. For non-leaf nodes it is decided that the ith enqueue in block b of internal node n is in the n.blocks[b]'s subblocks in the left child of n or in the n.blocks[b]'s subblocks in the right child of n (line $\frac{\text{lleftOrRight}}{404}$). From Definition $\frac{\text{prdering}}{22}$ we know enqueue operations in a block are ordered by their process id and since in leaves of the tree are ordered by process id from left to right, thus operations from the left subblocks come before operations from the right subblocks in a block (See Figure $\frac{\text{figGet}}{3}$). Furthermore b.num_{enq-left} stores the number of enqueue() operations from the n.blocks[b]'s subblocks in the left child of n. So if i is greater than b.num_{enq-left} it means ith operation is propagated from the right child, otherwise we should search for the ith enqueue in the left child. By definition $\frac{\text{def::ophief::subblock}}{n \cdot \text{find}}$ we need to search in subblocks of n.blocks[b] from the range n.left.blocks[n.blocks[i-1].end_{left}+1..n.blocks[i].end_{left}] \cup n.right.blocks[n.blocks[i-1].end_{right}+1..n.blocks[i].end_{right}].

If the *i*th enqueue of n.blocks[b] is in the left child it would be *i*th enqueue in n.left.blocks[n.blocks[i-1].end_{left}+1..n.blocks[i].end_{left}] by Definition b. Also we know there are $eb = n.blocks[b-1].sum_{enq-left}$ enqueues in the blocks before this range, so $E_{n,b,i}$ is $E_{n.left,i+eb}$, which is $E_{n.left,b',i'}$ for some b' and i'. We can compute b' search for i+ebth enqueue in n.left and i' is i+eb-n.left.blocks[b'-1].sum_{enq}. The parameters in $\frac{\text{leftChildGet}}{405}$ are for searching $E_{n.left,i+eb}$ in n.left.block in the expected range of blocks, so this BSearch returns the index of the subblock containing $E_{n,b,i}$.

Else if the enqueue we are looking for is in the right child then there are n.blocks[b].num_{enq-left} enqueues ahead of it in n.blocks[b] but not in n.right.blocks[n.blocks[i-1].end_{right}+1..n.blocks[i].end_{right}]. So we need to search for i-n.blocks[b].num_{enq-left}+ n.blocks[b-1].sum_{enq-right} (Line $\frac{\text{rightChildGet}}{409}$). Other parameters are assigned similar for the left child. So in both cases the direct subblock containing $E_{n,b,i}$ is computed in Lines $\frac{\text{leftChildGet}}{405}$ and $\frac{\text{leftChildGet}}{409}$.

Finally, n.child.GetENQ() is invoked on the subblock containing $E_{n,b,i}$ which returns $E_{n,b,i}$ by the hypothesis of the induction. \Box

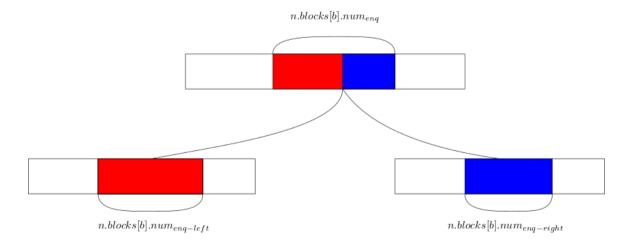


Figure 3: The number and ordering of the enqueues propagated from the left and the right child to n.blocks[b]. Enqueue operations from the left subblocks, colored red, are ordered before the enequeue operations from the right child, colored blue.

figGet

dsearch

Lemma 24 (DSearch correctness). Assume root.blocks[end].sum_{enq} \geq e and $E_{root,e}$'s element is the response to some Dequeue() operation in root.blocks[end]. DSearch(e, end) returns <b, i> such that $E_{root,b,i} = E_{root,e}$.

Proof. It is trivial to see that the doubling search from root.blocks[end] to root.blocks[0] will find $E_{root,e}$ eventually. Because root.blocks[].sum_{enq} is an increasing value from 0 to some value greater than e. So there is a b that root.blocks[b].sum_{enq} > e but root.blocks[b-1].sum_{enq} < e.

First we show end-b $\leq 2 \times \text{root.blocks[b].size} + \text{root.blocks[end].size} + 1$. From line 612, we know that size of the every block in the tree is greater than 0. So each block in root.blocks[b..end] contains at least one Enqueue or at least one Dequeue. Suppose there were more than root.blocks[b].size Dequeues in root.blocks[b+1..end-1]. Then the queue would become empty at some point after blocks[b]'s last operations and before root.blocks[end]'s first operation. Which means the response to to a Dequeue in root.blocks[end] could not be in E(n,b). Furthermore since the size of the queue would become root.blocks[end].size after the root.blocks[end], there cannot be more than root.blocks[b].size + root.blocks[end].size Enqueues. Because there can be at most root.blocks[b].size pequeues and the final size is root.blocks[end].size. Overall there can be at most $2 \times \text{root.blocks[b].size} + \text{root.blocks[end].size}$ operations in root.blocks[b+1..end-1] and since each block size is ≥ 1 thus there are at most $2 \times \text{root.blocks[b].size} + \text{root.blocks[end].size}$ blocks in between root.blocks[b] and root.blocks[end]. So end-b $\leq 2 \times \text{root.blocks[b].size} + \text{root.blocks[end].size} + 1$. See Figure $\frac{\text{lend-b}}{\text{b}}$.

Now that we know there are at most root.blocks[b].size +root.blocks[end].size blocks in between root.blocks[b] and root.blocks[end] then with doubling search in $\Theta(\log(\text{root.blocks[b].size +root.blocks[end].size}))$ steps we reach start=c that the root.blocks[c].sum_{enq} is less than e and end-c is not more than $2 \times \text{root.blocks[b].size +root.blocks[end].size}$. Beause otherwise, then (end-c)/2 satisfied the root.blocks[(end-c)/2].sum_{enq}<e. In line $\frac{\text{doubling}}{804}$ the difference between end and start is doubled. See Figure $\frac{\text{fig::doubling}}{44}$.

After computing b, the value i is computed via the definition of sum_{enq} in constant time (Line \overline{SUI}). So the routine non constant part is the binary search which takes $\Theta(logroot.blocks[b].size +root.blocks[end].size$)) steps from the first paragraph.

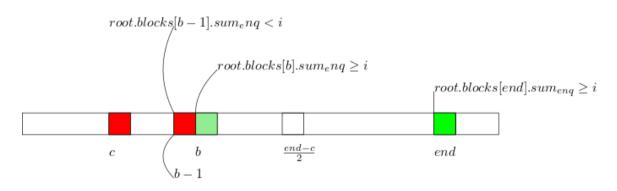


Figure 4: Distance relations between b, c, end

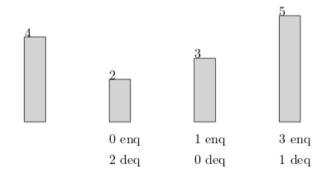


Figure 5: The number written on top of the bars is the queue size. the first block is b and the last block is end.

end-b

:doubling

Lemma 25 (Index correctness). n.IndexDEQ(b,i) returns the rank in D(root) of $D_{n,b,i}$.

Proof. We will prove this by induction on the distance of n from the root. We can see the base case root. IndexDEQ(b,i) is trivial (Line $\frac{\text{lindexBaseCase}}{\text{415}}$. In the non-root nodes n.IndexDEQ(b,i) computes the superblock of the ith Dequeue in the bth block of n in n.parent by Lemma 26 (Line 418). After that the order in D(n.parent, superblock) is computed and index() is called on n.parent recursively. Then if the operation was propagated from the right child the number of dequeues from the left child are added to it (Line 420), because the left child operations come before the right child operations (Definition $\stackrel{\tt lordering}{22).}$

Do I need to talk about the computation of the order in the parent which is based on the definition of ordering of dequeues in a block? Make sure to show preconditions of all invocation of BSearch are satisfied.

uperBlock

erCounter

Lemma 26 (Computing SuperBlock). After computing line 418 of n.IndexDEQ(b,i), n.parent.blocks[superblock] contains D(n,b,i).

Proof. Lemmas 28,29,30,31.

Lemma 27. Value read for super[b.group] in line 418 is not null.

Proof. Values np_{dir} read in lines 337, super are set before incrementing in lines 315,316. So before incrementing num_{propagated}, super [num_{propagated}] is set so it cannot be null while reading.

Lemma 28. super[] preserves order from child to parent; i.e. if in node n block b is before c then b.group \leq c.group

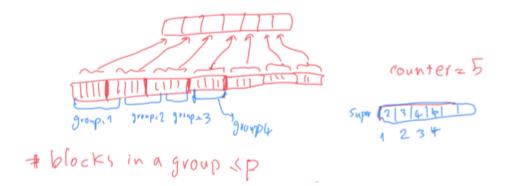
Proof. Line SetGroup 329. Since num_{propagated} is increasing.

Lemma 29. Let b, c be in node n, if b.group \le c.group then super[b.group] \le super[c.group]

Proof. Line 315.

Lemma 30. The number of the blocks with group=i in a node is $\leq p$.

Proof. For the sake of simplicity we assumed all the blocks are propagated from the left child.

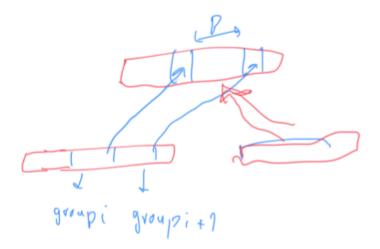


Lemma 31. $super[i+1]-super[i] \le p$

Proof. In a Refresh with successful CAS in line 46, super and counter are set for each child in lines 48,49. Assume the current value of the counter in node n is i+1 and still super[i+1] is not set. If an instance of successful Refresh(n) finishes super[i+1] is set a new value and a block is added after n.parent[sup[i]]. There could be at most p successful unfinished concurrent instances of Refresh() that have not reached line 49. So the distance between super[i+1] and super[i] is less than p.

Lemma 32 (super property). If super[i] ≠ null in node n, then super[i] is the index of the superblock of a block with time=i in n.parent.blocks.

Lemma 33. Superblock of b is within range $\pm 2p$ of the super[b.time]. uperRange



Proof. super[i] is the index of the superblock of a block containing block b, followed by Lemma Super(b) is the real superblock of b. super(t] is the index of the superblock of the last block with time t. If b.time is t we have:

$$super[t] - p \leq super[t-1] \leq super(t-1] \leq super(b) \leq super(t+1) \leq super(t+1) \leq super[t] + p$$

Lemma 34. Search in each level of IndexDeq() takes $O(\log p)$ steps.

Proof. Show preconditions are satisfied and the range is p.

Definition 35. Assume the operations in L are applied on an empty queue. If element of enqueue e is the response to dequeue d then we say R(d)=e. If d's response id null (queue is empty) then R(d)=null.

Definition 36. In an execution on a queue, the dequeue operations that return some value are called *non-null dequeues*.

nseToADeq

Observation 37. kth non-null dequeue in an execution returns the element of kth enqueue.

rrectness

Lemma 38. root.blocks[b].size is the size of the queue if the operations in the prefix for the bth block in the root are applied with the order of L.

Proof. need to say? :: If the size of a queue is greater than 0 then a Dequeue() would decrease the size of the queue, otherwise the size of the queue remains 0. By definition $\frac{\text{ordering}}{22 \text{ enqueue}}$ operations come before dequeue operations in a block in L.

We prove the claim by induction on b. Base case b=0 is trivial since the queue is initially empty and root.blocks[0].size=0. For b=i we are going to use the hypothesis for b=i-1. If there are more than root.blocks[i-1].size+ root.blocks[i].sum_{enq} dequeue operations in root.blocks[i] then the queue would become empty after root.blocks[i]. Otherwise we can compute the size of the queue after bth block using with this equality root.blocks[b].size= root.blocks[b-1].size+ root.blocks[b].sum_{enq}-root.blocks[b].sum_{deq} (Line bd2). See Table II for an example of running some blocks of operations on an empty queue.

mberOfNND

Lemma 39 (Duality of #non-null dequeues and block.size). If the operations are applied with the order of L, the number of non-null dequeues in the prefix for a block b is b.sum_enq-b.size

Proof. There are b.sum_{enq} enqueue operations in the prefix for b, then the size of the queue after the prefix for b is #enqs - #non-null dequeues in the prefix for b, by Observation 35. So #non-null dequeues is b.sum_{enq}-b.size. The correctness of the block.size field is shown in Lemma 38.

ullReturn

Lemma 40. $R(D_{root,b,i})$ is null iff root.blocks[b-1].size + root.blocks[b].num_{enq}- i <0.

mputeHead

Lemma 41 (Computing Response). FindResponse(b,i) returns R(Droot,b,i).element.

Proof. First note that by Definition 22 the linearization ordering of operations will not change as new operations come so instead of talking about the linearization of operations before the $E_{root,b,i}$ we talk about what if the whole operation in the linearization are applied on a queue.

 $D_{root,b,i}$ is $D_{root,root,blocks[b-1].sum_{deq}+i}$ from the definition 22 and 22 and 22 and 23 and 23

After computing e we can find b, i such that $E_{root,b,i} = E_{root,e}$ using DSearch and then find its element using GetEnq (Line $\frac{\text{ffindAnswer}}{223}$).

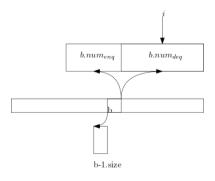


Figure 6: The position of $E_{root,b,i}$.

nseDetail

	DEQ()	ENQ(5), ENQ(2), ENQ(1), DEQ()	ENQ(3), DEQ()	ENQ(4), DEQ(), DEQ(), DEQ()
#enqueues	0	3	1	1
#dequeues	1	1	1	4
#non-null dequeues	0	1	2	5
size	0	2	2	0

qhistory

Table 1: An example of root blocks fields. Blocks are from left to right and operations in the blocks are also from the left to right.

Theorem 42 (Main). The queue implementation is linearizable.

Proof. We choose L in Definition 22 to be linearization ordering of operations and prove if we linearize operations as L the queue works consistently.

Lemma 43 (satisfiability). L can be a linearization ordering.

Once some operations are aggregated in one block they will be propagated together up to the root and we can linearize them in any order among themselves. Furthermore in L we arbitrary choose the order to be by process id, since it makes computations in the blocks faster . \Box

Lemma 44 (correctness). If operations are applied as L on a sequential queue, the sequence of the responses would be the same as our algorithm.

Proof. Old parts to review We show that the ordering L stored in the root, satisfies the properties of a linearizable ordering.

- 1. If op_1 ends before op_2 begins in E, then op_1 comes before op_2 in T.
 - ▶ This is followed by Lemma III. The time op_1 ends it is in root, before op_2 , by Definition condots before op_2 .
- 2. Responses to operations in E are same as they would be if done sequentially in order of L.
 - ▶ Enqueue operations do not have any response so it does no matter how they are ordered. It remains to prove Dequeue d returns the correct response according to the linearization order. By Lemma $\frac{\text{computeHead}}{41 \text{ it is deduced}}$ that the head of the queue at time of the linearization of d is computed properly. If the Queue is not empty by Lemma $\frac{\text{get}}{23}$ we know that the returning response is the computed index element.

Lemma 45 (Amortized time analysis). Enqueue() and Dequeue(), each take $O(\log^2 p + \log q)$ steps in amortized analysis. Where p is the number of processes and q is the size of the queue at the time of invocation of operation.

Proof. Enqueue(x) consists of creating a block(x) and appending it to the tree. The first part takes constant time. To propagate x to the root the algorithm tries two Refreshes in each node of the path from the leaf to the root (Lines 0.02, 0.03). We can see from the code that each Refresh takes constant number of steps since creating a block is done in constant time and does O(1) CASes. Since the height of the tree is $O(\log p)$, Enqueue(x) takes $O(\log p)$ steps.

A Dequeue() creates a block with null value element, appends it to the tree, computes its order among enqueue operations, and returns the response. The first two part is similar to an Enqueue operation. To compute the order of a dqueue in D(n) there are some constant steps and IndexDeq() is called. IndexDeq does a search with range p in each level (Lemma $\overline{33}$) which takes $O(\log^2 p)$ in the tree. In the FindResponse() routine DSearch() in the root takes $O(\log(\text{root.blocks[b].size +root.blocks[end].size})$ by Lemma $\overline{24}$, which is $O(\log \text{size of the queue when enqueue is invoked}) + \log \text{size of the queue when dequeue is invoked}$. Each search in GetEnq() takes $O(\log p)$ since there are $\leq p$ subblocks in a block (Lemma $\overline{21}$), so GetEnq() takes $O(\log^2 p)$ steps.

If we split DSearch time cost between the corresponding Enqueue, Dequeue, in amortized we have Enqueue takes $O(\log p + q)$ and Dequeue takes $O(\log^2 p + q)$ steps.

Lemma 46 (CASes invoked). An Enqueue() or Dequeue() operation, does at most $4 \log p$ CAS operations.

Proof. In each height of the tree at most 2 times Refresh() is invoked and every Refresh() has 2 CASes, one in Line 313 and one in Lines 318 or 321.