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
 - ullet 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_{last} = dir.head
                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 pnewBlock} \  \, \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:
                             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.
appendEnd
                602:
                603:
                         blk.group= head
pendStart
                604:
                         blocks[head] = blk
                605:
                         parent.PROPAGATE()
                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.

dPosition

Invariant 2 (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 writting into n.blocks[head] only in Line 313. It is obvious that writing into n.blocks[head] preserves the invariant, since the claims does not talk about n.blocks[head]. The value of n.head is modified only in lines $\frac{\text{lincremintHead1}}{\text{B18}}$, B21. Depending on wether the TryAppend() in LineB13 succeeded or not we show that the claim holds after the increment lines of n.head in either case. If n.head is incremented to h it is sufficient to show n.blocks[h] \neq null to prove the invariant still holds. In the first case the process applied a successful TryAppend(new,h) in line $\frac{\text{lockas}}{\text{B14}}$, which means n.blocks[h] is not null anymore. Note that wether $\frac{\text{lincrementHead1}}{\text{B18}}$ returns true or false after Line n.head we know has been incremented from Line $\frac{\text{readHead}}{\text{B10}}$. The failure case is also the same since it means some value is written into n.blocks[head] by some process.

Explain More

dProgress.

Lemma 3 (headProgress). n.head is non-decreasing over time and n.blocks[i].end_{left} ≥ n.blocks[i-1].end_{left} and n.blocks[i].end_{right}
≥ 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 the lines 318 and 321 of the Refresh().

Consider the block b written into n.blocks[i] by TryAppend() at Line \$\frac{\text{cas}}{313}\$. It is created by the CreateBlock() called at Line \$\frac{\text{invokeCreateBlock}}{311}\$. Prior to this call to CreateBlock(), n.head=i at Line \$\frac{\text{peadHead}}{310}\$, so n.blocks[i-1] is already a non-null value b' by invariant \$\frac{\text{lem::headPosition}}{2}\$. Thus the CreateBlock(i-1) that creates b' terminates before CreateBlock(i) that creates b is invoked. The value written into b.end_left at Line \$\frac{\text{lendDefLine}}{333}\$ of CreateBlock() was read from n.left.head at Line \$\frac{\text{lastLine}}{331}\$ of CreateBlock. Similarly, the value in n.blocks[i-1].end_left was read from n.left.head is non-decreasing b'.end_left. The proof for end_right is similar.

:subblock

Definition 4 (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}] Un.right.blocks[n.blocks[i-1].end_{right}+1..n.blocks[i].end_{right}] (The end_{left}, end_{right} fields are written in 533 of CreateBlock()).

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 5 (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 6 (Operations of a block). A leaf block b in a leaf represents operation x if b.element=x≠null. 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 opeops(b).

Definition 7. A block b in n.blocks is *established* at time t if the last value written into n.head before t is greater than the index of b in n.blocks at time t. $EST_{n, t}$ is the set of established blocks of node n at time t.

head

Observation 8. Once a block b is written in n.blocks[i] then n.blocks[i] never changes.

Lemma 9. Every block has 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 [7]). Since end_left, end_right are non-decreasing, so the range of the subblocks of n.blocks[i] which is (n.blocks[i-1].end_dir+1..n.blocks[i])

does not overlap with the range of the subblocks of n.blocks[i-1].

append

Corollary 10 (No Duplicates). If op is in n.blocks[i] then there is no $j \neq i$ such that opeops(n.blocks[j]).

shedOrder

Lemma 11 (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 grows.

CreateBlock() aggregates the blocks in the children that are not already established in the parent 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 another 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.

::headInc

Lemma 12 (head Increment). Let R=n.Refresh be an instance of Refresh that reaches Line 313. After R terminates n.head is greater than h, the value read in line readHead 310 of R.

Proof. If Line | increme|intered1| | 318 or 318 are successful then the claim holds, otherwise another process has incremented the head from h to h+1.

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. Suppose 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. From Lemma $\frac{\text{lem::establishedOrder}}{\text{lT we know that ops}}(\text{EST}_{n, t_i}) \subseteq \text{ops}(\text{EST}_{n, t_t})$. So it remains to show the operations of $\text{ops}(\text{EST}_{n.1eft, t_i}) \cup \text{ops}(\text{EST}_{n.right, t_i})$ - $\text{ops}(\text{EST}_{n, t_i})$, which we call new operations, are all in $\text{ops}(\text{EST}_{n, t_t})$. If TryAppend returns true a block new is written into n.blocks[h] (Line $\frac{\text{cas}}{313}$). We show $\text{ops}(\text{EST}_{n.1eft, t_i}) \subseteq \text{ops}(\text{EST}_{n, t_t})$. The proof for the right child's claim is the same. Let n.left.head at t_i be hli. Let n.Refresh() read head equal to h(Line B10). By the lines $\frac{\text{prevPlimetLine}}{332,331}$ the new block in n.blocks[h] contains n.left.blocks[n.blocks[n-1].end_{left}+1..left.head]. Since left.head is read after t_i then $\text{ops}(\text{EST}_{n.1eft, t_i}) \subseteq \text{ops}(\text{n.left.blocks})$ [0..left.head]). By Lemma $\frac{\text{lem::establishedOrder}}{\text{lT ops}(\text{n.left.blocks}[0..n.blocks[h-1].end_{left}]) \subseteq \text{ops}(\text{EST}_{n, t_i}) \subseteq \text{ops}(\text{EST}_{n, t_i})$. Since after line $\frac{\text{lincrementHead2}}{\text{321}}$ we are sure that the head is incremented (Lemmall2) and n.head=h+1 at t_t so the new block is established at t_t and the new block contains the new operations which is what we wanted to show.

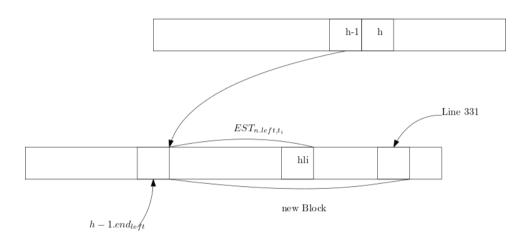


Figure 1: New established operations of the left child are in the new block.

ueRefresh

Lemma 14 (Precise True Refresh). Let t_i be the time an instance of n.Refresh() read the head (Line $\frac{|\mathbf{readHead}|}{|\mathbf{3}10|}$ and t_t be the time its TryAppend(new, s) terminates with and returns true (Line $\frac{|\mathbf{cas}|}{|\mathbf{3}13|}$). 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 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. 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 $\overline{B10}$ or $\overline{B21}$ before $\overline{B10}$ of R_2 , from Lemma $\overline{B13}$ by the end of this instance ops(EST_{n.left, t1}) \cup ops(EST_{n.right, t1}) has been propagated.

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. In Figure 1 we see why the block R'_2 is appending contains established block in the n's children at t_1 , since it create a block reading the head after t_1 . By Lemma $\frac{\text{Lem::prectrueRefresh}}{\text{I4 after } R'_2$'s CAS we have ops(EST_{n.left, t1}) \cup ops(EST_{n.right, t1}) \subseteq ops(n.blocks). Also by Lemma $\frac{\text{Lem::headInc}}{\text{I2 of } R_2}$ head is more than i+1 after R_2 's $\frac{\text{incrementHead2}}{\text{B21 line, so the block appended by } R'_2$ to n is established by then. To summarized t_1 is before R'_2 's read head and R'_2 's CAS is before R_2 's termination. So ops(EST_{n.left, t1}) \cup ops(EST_{n.right, t1}) \subseteq ops(EST_{n.right, t2}).

last sentence need more detail and should be earlier. define i and tell why R2prime exists

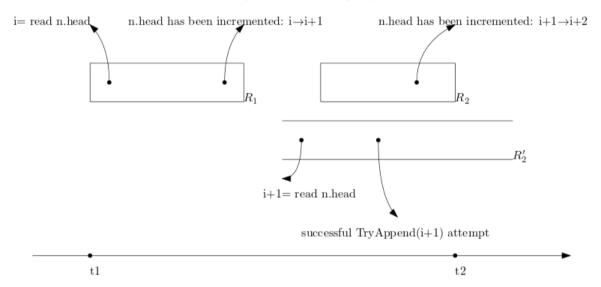


Figure 2: $t1 < r_1$ reading head < incrementing n.head from i to $i + 1 < R'_2$ reading head < TryAppend(i+1) < incrementing n.head from i + 1 to i + 2 < t2

this chain with more depth should be in the proof

| lyRefresh | Corollary 16 (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 \$\frac{\text{firstRefreehondRefresh}}{302 \text{ or } 303 \text{ succeed}\$, the claim is true by \$\frac{\text{lem::trueRefresh}}{\text{I3}}\$. Otherwise Lines \$\frac{\text{firstRefreehondRefresh}}{302 \text{ and } 303 \text{ satisfy the preconditions of Lemma } \frac{\text{doubleRefresh}}{\text{I5}}\$. |
| | Corollary 17. After Append(blk) finishes ops(blk)⊆ops(root.blocks[x]) for some x and only 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 induction |

on lock in the root contains blk.

blockSize

Lemma 18 (Block Size Upper Bound). Each block contains at most one operation from each processs.

Proof. By proof of contradiction, assume there are more than one operation from process p in block b in node n. A process cannot invoke more than one operations concurrently, so one operation hasto be finished before the other starts. From p 's operations in b, let op_1 be the operation invoked first, before op_2 . Note that op_1 has terminated before op_2 started. So by Corollary 17 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 with $\frac{|append|}{|b|}$

ocksBound

Lemma 19 (Subblocks Upperbound). Each block has at most p direct subblocks.

Proof. It follows directly from Lemma lblockSize land the observation that each block appended to the tree contains at least one operation, induced from Line 312.

ordering

Definition 20 (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 lockSize 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 21 (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 $\frac{\text{ReftOrRight}}{404}$). From Definition $\frac{\text{prdering}}{20}$ 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 $\frac{\text{def::ophief::subblock}}{\text{b}}$ 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}].

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 $\frac{\text{def}::subblock}{4!}$. 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

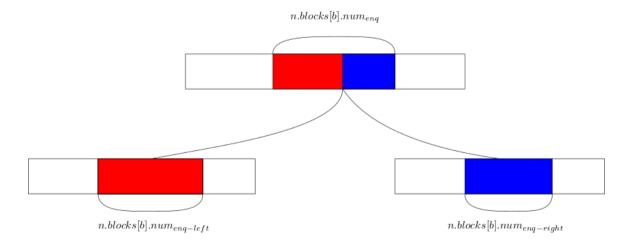


Figure 3: The number and ordering of the enqueues propagated from the left and the right child to n.blocks[b]. Enqueue operations from the left subblocks, colored red, are ordered before the enequeue operations from the right child, colored blue.

figGet

dsearch

Lemma 22 (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 $\frac{\text{baddOP}}{\text{B12}}$, 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.

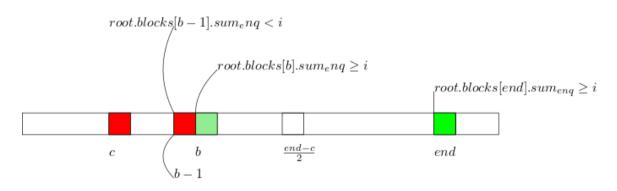


Figure 4: Distance relations between b, c, end

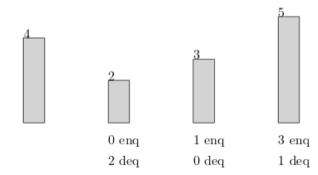


Figure 5: The number written on top of the bars is the queue size. the first block is b and the last block is end.

end-b

:doubling

Lemma 23 (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 *i*th Dequeue in the *b*th block of n in n.parent by Lemma $\frac{\text{superBlockcomputeSuper}}{24 \text{ (Line 418)}}$. 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 $\frac{\text{considerRight}}{420}$), because the left child operations come before the right child operations (Definition $\frac{\text{ordering}}{20}$).

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

Lemma 24 (Computing SuperBlock). After computing line $\frac{\text{computeSuper}}{418 \text{ of n.IndexDEQ(b,i)}}$, n.parent.blocks[superblock] contains D(n, b, i).

Proof. Lemmas 28,29,30,31.

Lemma 25. 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 26. super[] preserves order from child to parent; i.e. if in node n block b is before c then b.group ≤ c.group

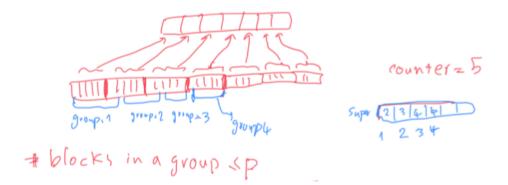
Proof. Line 329. Since num_{propagated} is increasing.

Lemma 27. Let b, c be in node n, if b.group \leq c.group then super[b.group] \leq super[c.group]

Proof. Line ST5.

Lemma 28. 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 29. $super[i+1]-super[i] \le p$

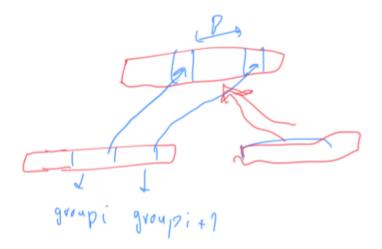
Proof. In a Refresh with successful CAS in line 46, super and counter are set for each child in lines 48,49. Assume the current value of the counter in node n is i+1 and still super[i+1] is not set. If an instance of successful Refresh(n) finishes super[i+1] is set a new value and a block is added after 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.

erCounter

Lemma 30 (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.

uperRange

Lemma 31. Superblock of b is within range $\pm 2p$ of the super[b.time].



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

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

Definition 33. In an execution on a queue, the dequeue operations that return some value are called *non-null dequeues*.

nseToADeq

Observation 34. kth non-null dequeue in an execution returns the element of kth enqueue.

rrectness

Lemma 35. 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. 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 of L in definition $\frac{\text{ordering}}{20 \text{ enqueue}}$ operations come before dequeue operations in a block. If the queue won't become empty after

bth block 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 $\frac{\text{computeLength}}{342}$). Otherwise root.blocks[b-1].size+ root.blocks[b].sum_{enq}- root

mberOfNND

Lemma 36. 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_eng-b.size

Proof. If there are enqs enqueue operations in the prefix for b, then the size of the queue after prefix for b is enqs - non-null deqs by Observation 35. The correctness of the feild size is showed in Lemma 35.

ullReturn

Lemma 37. $D_{root,b,i}$ returns null iff root.blocks[b-1].size + root.blocks[b].num_{enq}- i <0.

mputeHead

Lemma 38 (Computing Response). Let S be the state of an empty queue if the operations in L are applied on it. FindResponse(b,i) returns the element that is the tresponse to $D_{root,b,i}$ in S. If the queue is empty in S then it returns null.

Proof. First note that by Definition 20 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 20 and sum_{enq} . $D_{root,b,i}$ returns null if root.blocks[b-1].size + root.blocks[b].num_{enq}- i <0 by Lemma 37 (Line 220). Otherwise if it is d'th non-null dequeue in L it returns d'th enqueue by Observation 34. By Lemma 36 there are root.blocks[b-1].sum_{enq}- root.blocks[b-1].size non-null dequeue operations before prefix for root.blocks[b-1]. Note that the dequeues in root.blocks[b] before the ith dequeue are non-null dequeues. So the response is $E_{root,i-root.blocks[b-1].size+root.blocks[b-1].sum_{deq}$ (Line $\frac{computeE}{222}$). See figure $\frac{computeResponseDetail}{b}$

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 223).

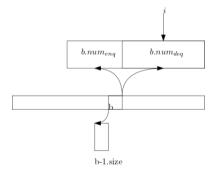


Figure 6: The position of $E_{root,b,i}$.

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 39 (Main). The queue implementation is linearizable.

Proof. We choose L in Definition 20 to be linearization ordering of operations and prove if we linearize operations as L the queue works consistently.

Lemma 40 (satisfiability). L can be a linearization ordering.

Proof. To show this we need to say if in an execution, op₁ terminates before op₂ starts then op₁ is linearized before op₂. If op₁ terminates before op₂ starts it means op₁. Append() is terminated before op₂. Append() starts. From Lemma $\frac{|append|}{|U|}$ is in root.blocks before op₂ propagates so op₁ is linearized before op₂ by Definition $\frac{|ordering|}{|U|}$

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 41 (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 II. The time op_1 ends it is in root, before op_2 , by Definition op_1 is 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 $\frac{\text{computeHead}}{188 \text{ it is deduced}}$ that the head of the queue at time of the linearization of d is computed properly. If the Queue is not empty by Lemma $\frac{\text{get}}{21}$ we know that the returning response is the computed index element.

Lemma 42 (Amortized time analysis). Enqueue() and Dequeue take $O(\log^2 p + q)$ steps (amortized anlysis), which p is the number of processes and q is the size of the queue at the time of invocation.

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). Each Refresh takes 0.030 steps since creating a block is done in constant time and does 0.030 CASes. Since the height of the tree is 0.030 Enqueue(x) takes 0.030 steps.

A Dequeue() creates a block with null value element, appends it to the tree, computes its order among operations, and returns the response. The first two part is similar to an Enqueue operation. To compute the order there are some constant steps and IndexDeq is called. IndexDeq does a search with range p in each level (Lemma $\overline{B1}$) 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 $\overline{D1}$ by Lemma $\overline{D2}$, 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 $\overline{D1}$ takes $O(\log p)$ since there are $0 \leq p$ subblocks in a block (Lemma $0 \leq p$), so $0 \leq p$ 0 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.