# Wait-free Queues with Polylogarithmic Step Complexity

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#### Abstract

In this work, we are going to introduce a novel lock-free queue implementation. Linearizability and lock-freedom are standard requirements for designing shared data structures. All existing linearizable, lock-free queues in the literature have a common problem in their worst case called CAS Retry Problem. Our contribution is solving this problem while outperforming the previous algorithms.

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### 1 Introduction

Shared data structures have become an essential field in distributed algorithms research. We are reaching the physical limits of how many transistors we can place on a CPU core. The industry solution to provide more computational power is to increase the number of cores of the CPU. This is why distributed algorithms have become important. It is not hard to see why multiple processes cannot update sequential data structures designed for one process. For example, consider two processes trying to insert some values into a sequential linked list simultaneously. Processes p, q read the same tail node, p changes the next pointer of the tail node to its new node and after that q does the same. In this run, p's update is overwritten. One solution is to use locks; whenever a process wants to do an update or query on a data structure, the process locks it, and others cannot use it until the lock is released. Using locks has some disadvantages; for example, one process might be slow, and holding a lock for a long time prevents other processes from progressing. Moreover, locks do not allow complete parallelism since only the one process holding the lock can make progress.

The question that may arise is, "What properties matter for a lock-free data structure?", since executions on a shared data structure are different from sequential ones, the correctness conditions also differ. To prove a concurrent object works perfectly, we have to show it satisfies safety and progress conditions. A safety condition tells us that the data structure does not return wrong responses, and a progress property requires that operations eventually terminate.

The standard safety condition is called *linearizability*, which ensures that for any concurrent execution on a linearizable object, each operation should appear to take effect instantaneously at some moment between its invocation and response. Figure 1 is an example of an execution on a linearizable queue that is initially empty. The arrow shows time, and each rectangle shows the time between the invocation and the termination of an operation. Since Enqueue(A) and Enqueue(B) are concurrent, Enqueue(B) may or may not take effect before Enqueue(A). The execution in Figure 2 is not linearizable since A has been enqueued before B, so it has to be dequeued first.

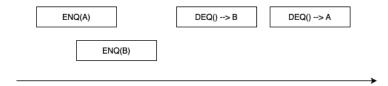


Figure 1: An example of a linearizable execution. Either Enqueue(A) or Enqueue(B) could take effect first since they are concurrent.

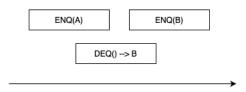


Figure 2: An example of an execution that is not linearizable. Since Enqueue(A) has completed before Enqueue(B) is invoked the Dequeue() should return A or nothing.

There are various progress properties; the strongest is wait-freedom, and the more common is lock-freedom. An algorithm is wait-free if each operation terminates after a finite number of its own steps. We call an algorithm lock-free if, after a sufficient number of steps, one operation terminates. A wait-free algorithm is also lock-free but not vice versa; in an infinite run of a lock-free algorithm there might be an operation that takes infinitely many steps but never terminates.

In section 2 we talk about previous queues and their common problems. We also talk about polylogarithmic construction of shared objects.

Jayanti [?] proved an  $\Omega(\log p)$  lower bound on the worst-case shared-access time complexity of p-process universal constructions. He also introduced [?] a construction that achieves  $O(\log^2 p)$  shared accesses. Here, we first introduce a universal construction using  $O(\log p)$  CAS operations [?]. In section 3 we introduce a polylogarithmic step wait-free universal construction. Our main ideas in of the universal construction also appear in our Queue Algorithm (??). The main short come of our universal construction is using big CAS objects. We use the universal construction as a stepping stone towards our queue algorithm, so we will not explain it in too much detail.

In section 4 we introduce a concurrent wait-free datastructure, to agree on the order of the operations invoked on some processes.

In section 5 we introduce our main work, the queue; prove its linearizability and wait-freeness.

### 2 Related Work

### 2.1 List-based Queues

In the following paragraphs, we look at previous lock-free queues. Michael and Scott [?] introduced a lock-free queue which we refer to as the MS-queue. A version of it is included in the standard Java Concurrency Package. Their idea is to store the queue elements in a singly-linked list (see Figure 3). Head points to the first node in the linked list that has not been dequeued, and Tail points to the last element in the queue. To insert a node into the linked list, they use atomic primitive operations like LL/SC or CAS. If p processes try to enqueue simultaneously, only one can succeed, and the others have to retry. This makes the amortized number of steps to be  $\Omega(p)$  per enqueue. Similarly, dequeue can take  $\Omega(p)$  steps.

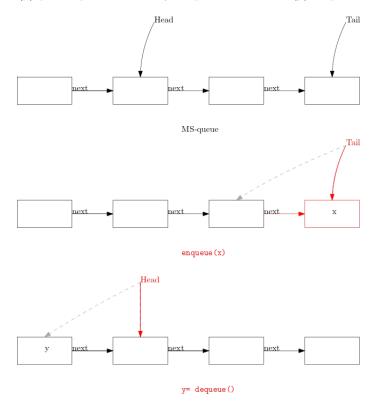


Figure 3: MS-queue structure, enqueue and dequeue operations. In the first diagram the first element has been dequeued. Red arrows show new pointers and gray dashed arrows show the old pointers.

Moir, Nussbaum, and Shalev [?] presented a more sophisticated queue by using the elimination technique. The elimination mechanism has the dual purpose of allowing operations to complete in parallel and reducing contention for the queue. An Elimination Queue consists of an MS-queue augmented with an elimination array. Elimination works by allowing opposing pairs of concurrent operations such as an enqueue and a

dequeue to exchange values when the queue is empty or when concurrent operations can be linearized to empty the queue. Their algorithm makes it possible for long-running operations to eliminate an opposing operation. The empirical evaluation showed the throughput of their work is better than the MS-queue, but the worst case is still the same; in case there are p concurrent enqueues, their algorithm is not better than MS-queue.

Hoffman, Shalev, and Shavit [?] tried to make the MS-queue more parallel by introducing the Baskets Queue. Their idea is to allow more parallelism by treating the simultaneous enqueue operations as a basket. Each basket has a time interval in which all its nodes' enqueue operations overlap. Since the operations in a basket are concurrent, we can order them in any way. Enqueues in a basket try to find their order in the basket one by one by using CAS operations. However, like the previous algorithms, if there are still p concurrent enqueue operations in a basket, the amortized step complexity remains  $\Omega(p)$  per operation.

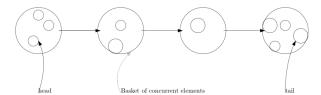


Figure 4: Baskets queue idea. There is a time that all operations in a basket were running concurrently, but only one has succeeded to do CAS. To order the operations in a basket, the mechanism in the algorithm for processes is to CAS again. The successful process will be the next one in the basket and so on.

Ladan-Mozes and Shavit [?] presented an Optimistic Approach to Lock-Free FIFO Queues. They use a doubly-linked list and do fewer CAS operations than MS-queue. But as before, the worst case is when there are p concurrent enqueues which have to be enqueued one by one. The amortized worst-case complexity is still  $\Omega(p)$  CASes.

Hendler et al. [?] proposed a new paradigm called flat combining. Their queue is linearizable but not lock-free. Their main idea is that with knowledge of all the history of operations, it might be possible to answer queries faster than doing them one by one. In our work we also maintain the whole history. They present experiments that show their algorithm performs well in some situations.

Gidenstam, Sundell, and Tsigas [?] introduced a new algorithm using a linked list of arrays. Global head and tail pointers point to arrays containing the first and last elements in the queue. Global pointers are up to date, but head and tail pointers may be behind in time. An enqueue or a dequeue searches in the head array or tail array to find the first unmarked element or last written element (see Figure 5). Their data

structure is lock-free. Still, if the head array is empty and p processes try to enqueue simultaneously, the step complexity remains  $\Omega(p)$ .

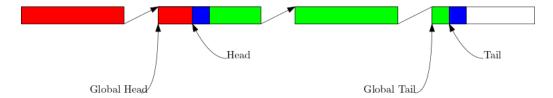


Figure 5: Global pointers point to arrays. Head and Tail elements are blue, dequeued elements are red and current elements of the queue are green.

Kogan and Petrank [?] introduced wait-free queues based on the MS-queue and use Herlihy's helping technique to achieve wait-freedom. Their step complexity is  $\Omega(p)$  because of the helping mechanism.

In the worst-case step complexity of all the list-based queues discussed above, there is a p term that comes from the case all p processes try to do an enqueue simultaneously. Morrison and Afek call this the  $CAS\ retry\ problem\ [?]$ . It is not limited to list-based queues and array-based queues share the CAS retry problem as well [?,?,?]. We are focusing on seeing if we can implement a queue in sublinear steps in terms of p or not.

### 2.2 Universal Constructions

Herlihy discussed the possibility of implementing shared objects from other objects [?]. A universal construction is an algorithm that can implement a shared version of any given sequential object. We can implement a concurrent queue using a universal construction. Jayanti proved an  $\Omega(\log p)$  lower bound on the worst-case shared-access time complexity of p-process universal constructions [?]. He also introduced a construction that achieves  $O(\log^2 p)$  shared accesses [?]. His universal construction can be used to create any data structure, but its implementation is not practical because of using unreasonably large-sized CAS operations.

Ellen and Woelfel introduced an implementation of a Fetch&Inc object with step complexity of  $O(\log p)$  using  $O(\log n)$ -bit LL/SC objects, where n is the number of operations [?]. Their idea has similarities to Jayanti's construction, and they represent the value of the Fetch&Inc using the history of successful operations.

2.3 Attiya Fourier Lower Bound

### 3 Our Queue

Jayanti and Petrovic introduced a wait-free polylogarithmic multi-enqueuer single-dequeuer queue [?]. We benefit from some ideas of their work to design a a polylogarithmic multi-enqueuer multi-dequeuer queue. Our algorithm despite them does not use CAS operations with big words and does not put a limit on the number of concurrent operations. I our model there are p processes doing Enqueue(), Dequeue() operations concurrently. We use a shared tree among the processes (see Figure 6) to agree on one total ordering on the operations invoked by processes. Each process has a leaf which the order of operations invoked by the process is stored in it. When a process wishes to do an operation it appends the operation to its leaf and then tries to propagate its new operation up to the tree's root. In each node the ordering of operations propagated up to it is stored. All processes agree on the sequence stored in the root and it is defined to be the linearization ordering.

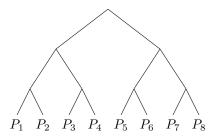
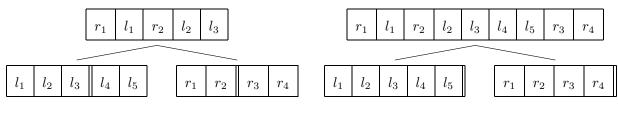


Figure 6: Each process has a leaf and in each node there is an ordering of operations stored. Each node tries to propagate its operations up to the root, which stores the total ordering of all operations.

#### Add sequence to nodes

We could implement the sequence stored in each node using an array of the queue operations and append some operations to the sequence by doing k-CAS operation on the end of the array. To do a propagate step on node n in the tree, we aggregate the operations from node n's both children (that have not already been propagated to n) and try to append them into n. We call this procedure Refresh(n). The main idea is that if we call Refresh(n) twice, the operations in n's children before the first Refresh(n) are guaranteed to be in n. Because if both of the Refresh(n)s fail to do n-CAS then there is another instance of Refresh() in between which has succeeded to do CAS and has already appended the operations that the first Refresh was trying to append. This mechanism makes us overcome the CAS Retry Problem.

 $fix \mid \mid$ 



(a) Operations after || are new.

(b) New operations are added to the parent node.

Figure 7: Before and after of a Refresh(n) with successful CAS. Operations propagating from the left child are numbered with l and from the right child by r and the operations in children after || are new.

Figure 8: In each internal node, we store the set of all the operations propagated together, and one can arbitrarily linearize the sets of concurrent operations among themselves. Since we linearize operations when they are added to the root, ordering the blocks in the root is important.

The solution for implementing the orderings in the tree told above is not efficient, because there are big CASes and operations information are copied all the way up to the root. Instead of storing operations explicitly in the nodes, we can keep track of some statistics of them. This allows us to CAS fixed-size objects in each REFRESH(n). To do that, we introduce blocks that only contain the number of operations from the left and the right child in a Refresh() procedure and only propagate the statistics block of the new operations. In each Refresh() there is at most one operation from each process trying to be propagated, because one operation cannot invoke two operations concurrently. Furthermore since the operations in a REFRESH() step are concurrent we can linearize them among themselves in any order we wish. Note that if two operations are in read one REFRESH() step in a node they are going to be propagated up to the root together. Our choice is to put the operations propagated from the left child before the operations propagated from the right child. In this way if we know the number of operations from the left child and the number of operations from the right child in a block we have a complete ordering on the operations.

A process may wish to know the ith propagated operation or the rank of a propagated operation in the

linearization. In our case of implementing a queue, we can make an assumption that one process only wishes to know the rank of a dequeue and one tries to get an enqueue with its rank. enqueues and dequeues are appended to the tree and when we want to find the response to a dequeue, we compute the place of the dequeue in the linearization and using the rank of the dequeue among dequeues and some information stored in the root we compute which enqueue is the answer to the dequeue or if the answer is null. If the answer was some enqueue we find the enqueue using DSearch(i) and GetEnqueue(n,b,i). DSearch(i) finds the block containing the *i*th enqueue in the root and GetEnqueue(n,b,i) finds its sub-block recursively to reach a leaf. Index() is similar but more complicated, finding super-blocks from a leaf to the root. The main challenge in each level of Get(i) and Index(op) is that it should take polylogarithmic steps with respect to p. After appending operation op to the root, processes can find out information about the linearization ordering using Get(i) and Index(op). Each block stores an extra constant amount of information (like prefix sums) to allow binary searches to find the required block in a node quickly.

Implementing Queue using Block Tree In this work, we design a queue with  $O(\log^2 p + \log n)$  steps per operation, where n is the number of total operations invoked. We avoid the  $\Omega(p)$  worst-case step complexity of existing shared queues based on linked lists or arrays (CAS Retry Problem). A queue stores a sequence of elements and supports two operations, enqueue and dequeue. Enqueue(e) appends element e to the sequence stored. Dequeue() removes and returns the first element among in the sequence. If the queue is empty it returns null. Knowing index i is the tail of the queue, we can return the dequeue response using Get(i). So in the rest we modify block tree to compute i for each Dequeue() to achieve a FIFO queue.

GETINDEX(i) returns the ith operation stored in the block tree sequence. We do that by finding the block  $b_i$  containing ith element in the root, and then recursively finding the subblock of  $b_i$  which contains ith element. To make this recursive search faster, instead of iterating over all elements in sequence of blocks we store prefix sum of number of elements in the blocks sequence and pointers to make BinarySearch faster.

Furthermore, in each block, we store the prefix sum of left and right elements. Moreover, for each block, we store two pointers to the last left and right subblock of it (see fig 11 and 10).

Starting from the root, GetIndex(i) BinarySearches i in the prefix sum array to find block containing ith operation, then continues recursively calling Getelement(b, i) to find ith element of block b. From lemma ?? we know a block size is at most p. So BinarySearch takes at most (O)(log p), since with knowing pointers

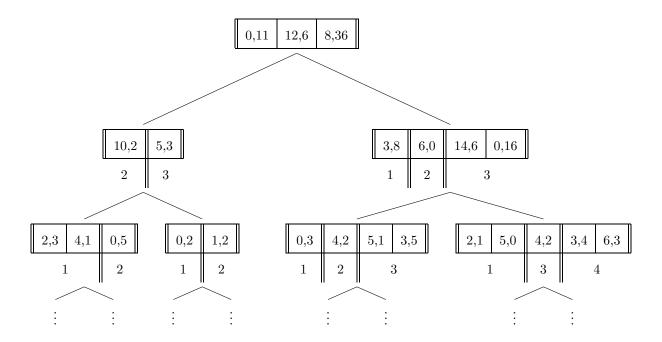


Figure 9: Showing concurrent operation sets with blocks. Each block consists of a pair(left, right) indicating the number of operations from the left and the right child, respectively. Block (12,6) in the root contains blocks (10,2) from the left child and (6,0) from the right child. Blocks between two lines || are propagated together to the parent. For example, Blocks (2,3) and (4,1) from the leftmost leaf and (0,2) from its sibling are propagated together into the block (10,2) in their parent. The number underneath a group of blocks in a node indicates which block in the node's parent those blocks were propagated to. Each block b in node n is the aggregation of blocks in the children of n that are newly read by thePropagate() step that created block b. For example, the third block in the root (8,36) is created by merging block (5,3) from the left child and (14,6) and (0,16) from the right child. Block (5,3) also points to elements from blocks (0,5) and (1,2). We choose to linearize operations in a block from the left child before those from the right child as a convention. Operations within a block of the root can be ordered in any way that is convenient. In effect, this means that if there are concurrent new blocks in a Refresh() step from several processes we linearize them in the order of their process ids. So for example operations aggregated in block (10,2) are in the order (2,3),(4,1),(0,2). All blocks from the left child with come before the right child and the order of blocks of each child is preserved among themselves.

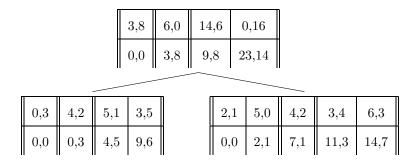


Figure 10: Using Prefix sums in blocks. When we want to find block b elements in its children, we can use binary search. The number below each block shows the count of elements in the previous blocks.

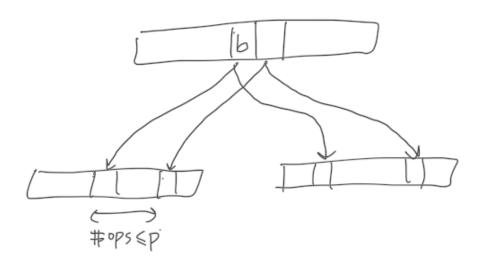


Figure 11: Block have pointers to the starting block of theirs for each child.

of a block and its previous block we can determine the base (domain?) to search and its size is O(p).

CreateBlock() CreateBlock(n) returns a block containing new operations of n's children. b'.end<sub>left</sub> stores the index of the rightmost subblock of left child of b's previous block. Other attributes are assigned values followed by definition.

Computing Get(n, b, i)

How Refresh(n) works.

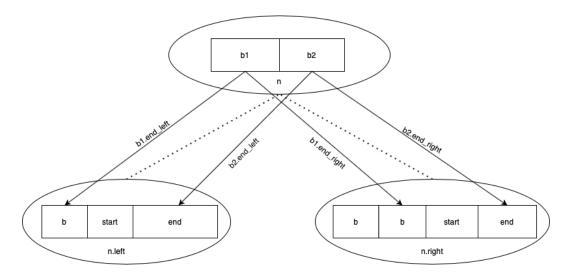


Figure 12: Snapshot of a CreateBlock()

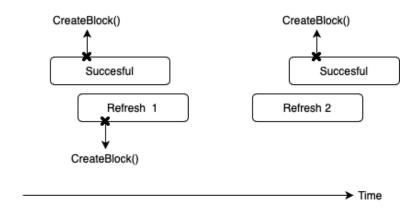


Figure 13: The second failed Refresh is assuredly concurrent to a Successful Refresh() with CreateBlock line after first failed Refresh's CreateBlock().

### Computing superblock

Now, we describe how to use the tree to implement a queue. Consider the following execution of operations. Enqueue(e) appends an operation with input argument e in the block tree. What should a Dequeue() return? To compute the response of a Dequeue(), process p first appends a DEQ operation to the tree. Then p finds the rank of the DEQ using Index(), the rank of the DEQ and the information stored in the root about the queue p computes the rank of the ENQ having the answer of the DEQ. Finally p returns the argument of that ENQ using Get(i).

Table 1: An example history of operations on the queue

A non-null dequeue is one that returns a non-null value. In the example above, Dequeue() operations return 5, 2, 3, null, 4 in order. Before ENQ(4) the queue gets empty so the last DEQ() returns null. If the queue is non-empty and r Dequeue() operations have returned a non-null response, then ith Dequeue() returns the input of the r+1th Enqueue(). So, in order to answer a Dequeue, it's sufficent to know the size of the queue and the number of previous non-null dequeues.

In the Block Tree, we did not store the sequence of operations explicitly but instead stored blocks of concurrent operations to optimize Propagate() steps and increase parallelism. So now the problem is to find the result of each Dequeue. From lemma ?? we know we can linearize operations in a block in any order; here, we choose to decide to put Enqueue operations in a block before Dequeue operations. In the next example, operations in a cell are concurrent. DEQ() operations return null, 5, 2, 1, 3, 4, null respectively. We will next describe how these values can be computed efficiently.

DEQ()	ENQ(5), ENQ(2), ENQ(1), DEQ()	ENQ(3), DEQ()	ENQ(4), DEQ(), DEQ(), DEQ()
-------	-------------------------------	---------------	-----------------------------

Table 2: An example history of operation blocks on the queue

Now, we claimed that by knowing the current size of the queue and the number of non-null dequeue operations before the current dequeue, we could compute the index of the resulting Enqueue(). We apply this approach to blocks; if we store the size of the queue after each block of operations happens and the number of non-null dequeues dequeues till a block, we can compute each dequeue's index of result in O(1) steps.

Size and the number of non-null dequeues for bth block could be computed this way:

```
size[b] = max(size[b-1] +enqueues[b] -dequeues[b], 0)
```

non-null dequeues[b] = non-null dequeues[b-1] +dequeues[b] -size[b-1] -enqueues[b]

Given DEQ is in block b, response(DEQ) would be:

(size[b-1]- index of DEQ in the block's dequeus >=0) ? ENQ[non-null dequeus[b-1]+ index of
DEQ in the block's dequeus] : null;

	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	

Table 3: Augmented history of operation blocks on the queue

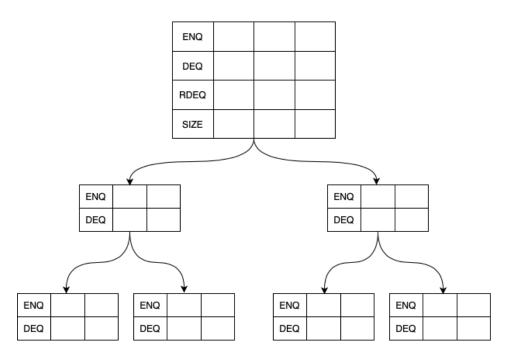


Figure 14: Fields stored in the Queue nodes.

### 3.1 Pseudocode description

**Specification** A Queue is a shared data structure that stores a sequence of elements. It has two methods Enqueue(e) and Dequeue(). Enqueue(e) adds e to the end of the sequence. Dequeue() returns the first element stored in the sequence and removes it from the sequence.

Tree. Leaf  $1_i$  is assigned to a process i. Each process adds op to its leaf. In each internal node an ordering of operations in its subtree is stored. All processes agree on the total ordering of all operations stored in the root. This ordering will be the linearization of the operations.

**Implicit Storing Blocks** For efficiency, instead of storing explicit sequence of operations in nodes of the Tournament Tree, we use Blocks. A Block is a constant size object that implicitly represents a sequence of operations. In each node there is an array of Blocks.

Block b contains subblocks in the left and right children. WLOG left subblocks of b are some consecutive blocks in the left child starting from where previous block of b has ended to the end of b. See Figure 12.

We store ordering among operations in the tournament tree constructed by nodes. In each node we store pointers to its relatives, an array of blocks and an index to the first empty block. Furthermore in leaf nodes there is an array of operations where each operation is stored in one cell with the same index in blocks. There is a counter in each node incrementing after a successful Refresh() step. It means after that some bunch of blocks in a node have propagated into the parent then the counter increases. Each new block added to a node sets its time regarding counter. This helps us to know which blocks have aggregated together to a block, not precisely though. We also store the index of the aggregated block of a block with time *i* in super[i].

In each block we store 4 essential stats that implicitly summarize which operations are in the block  $num_{enq-left}$ ,  $num_{deq-left}$ ,  $num_{deq-right}$ ,  $num_{deq-right}$ . In order to make BinarySearch() es faster we store prefix sums as well and there are some more general stats that help to make pseudocode more readable but not necessary.

To compute the head of the queue before a dequeue two more fields are stored in the root size and sum\_non-null deq. size in a block shows the number of elements after the block has finished and sum\_non-null deq is the total number of non-null dequeues till the block.

Enqueue(e) just appends an operation with element e to the root. Dequeue() appends an operation to the root and computes its ordering and the enqueue operation containing the head before it calling ComputeHead() and then gets and returns the operation's element.

Append(op) adds op to the invoking process's leaf's ops and blocks, propagates it up to the root and if the op is a dequeue returns its order in residing block in the root and the block's index. As we said later Propagate() assuredly aggregates new blocks to a block in the parent by calling Refresh() two times. Refresh(n) creates a block, tries to CAS it into the pn's blocks and if it was successful updates super and counter in both of n's children.

We only want to know the element of enqueue operations and compute ordering for dequeue operations.

That's the reason here Get() searches between enqueues only and Index() returns ordering of a dequeue

among dequeues. Get(n, b,i) decides the requested element is in which child of n and continues to search recursively. index(n, i, b) calculates the ordering of the given operation in n's parent each step and finally returns the result among total ordering.

### 3.2 Pseudocode

### **Algorithm** Tree Fields Description

#### ♦ Shared

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

#### ♦ Local

- Node leaf: process's leaf in the tree.
- ► Node
  - \*Node left, right, parent : Initialized when creating the tree.
  - Block[] blocks: Initially blocks[0] contains an empty block with all fields equal to 0.
  - int head= 1: #blocks in blocks. blocks[0] is a block with all integer fields equal to zero.
- ▶ Block
  - int super: approximate index of the superblock, read from parent.head when appending the 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.
  - int sum<sub>enq</sub>, sum<sub>deq</sub>: # enqueue, dequeue operations in the prefix for the block

#### ▶ InternalBlock extends Block

- int end<sub>left</sub>, end<sub>right</sub>: indices of the last subblock of the block in the left and right child
- int sum<sub>enq-left</sub>: # enqueue operations in the prefix for left.blocks[end<sub>left</sub>]
- int sum<sub>deq-left</sub>: # dequeue operations in the prefix for left.blocks[end<sub>left</sub>]
- int sum<sub>enq-right</sub>: # enqueue operations in the prefix for right.blocks[end<sub>right</sub>]
- int sum<sub>deq-right</sub>: # dequeue operations in the prefix for right.blocks[end<sub>right</sub>]
- ► RootBlock extends InternalBlock
  - int size : size of the queue after performing all operations
     in the prefix for this block

#### Abbreviations:

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

### Algorithm Queue

```
201: void Enqueue(Object e)
                                                                                         Deliver Creates a block with element e and adds it to the tree.
202:
         block newBlock= new(LeafBlock)
203:
         newBlock.element= e
204:
         {\tt newBlock.sum_{enq}=\ leaf.blocks[leaf.head].sum_{enq}+1}
205:
         {\tt newBlock.sum_{deq} = leaf.blocks[leaf.head].sum_{deq}}
206:
         leaf.Append(newBlock)
207: end Enqueue
208: Object Dequeue() > Creates a block with null value element, appends it to the tree, computes its order among operations, and returns
    its response.
         block newBlock= new(LeafBlock)
209:
210:
         newBlock.element= null
211:
         newBlock.sum<sub>enq</sub> = leaf.blocks[leaf.head].sum<sub>enq</sub>
212:
         {\tt newBlock.sum_{deq} = leaf.blocks[leaf.head].sum_{deq} + 1}
213:
         leaf.Append(newBlock)
214:
         <b, i>= IndexDequeue(leaf.head, 1)
215:
         output= FindResponse(b, i)
216:
         return output
217: end Dequeue
218: <int, int> FindResponse(int b, int i)
                                                                                                        \triangleright Returns the the response to the D_{root,b,i}.
219:
         if root.blocks[b-1].size + root.blocks[b].num_enq - i < 0 then
                                                                                                                     ▷ Check if the queue is empty.
220:
             return null
221:
         else
222:
             e= i - root.blocks[b-1].size + root.blocks[b-1].sum<sub>enq</sub>
                                                                                                                          \triangleright E_e(root) is the response.
223:
             return root.GetEnqueue(root.DSearch(e, b))
224:
         end if
225\colon \operatorname{end} \operatorname{FindResponse}
```

### Algorithm Root

```
\leadsto Precondition: root.blocks[end].sum_{enq} \geq e
801: <int, int> DSearch(int e, int end)
                                                                                                                      \triangleright Returns {\bf < b,i>} if E_e(root)=E_i(root,b).
802:
          start= end-1
803:
          \mathbf{while} \; \mathtt{root.blocks[start].sum}_{\mathtt{enq}} {\geq} e \; \mathbf{do}
804:
              start= max(start-(end-start), 0)
805:
          end while
          b \hbox{= root.BinarySearch}(sum_{enq},\ e,\ start,\ end)
806:
          i = e - root.blocks[b-1].sum_{enq}
807:
808:
          return <b,i>
809: end DSearch
```

### Algorithm Leaf

rigorium Bear					
601: void Append(block blk)	$\triangleright$ Append is only called by the owner of the leaf.				
602: blocks[head] = blk					
603: head+=1					
604: parent.Propagate()					
605: end Append					

### Algorithm Node

```
→ Precondition: blocks[start..end] contains a block with field f
301: void Propagate()
302:
        if not Refresh() then
                                                                          \geq i
303:
            Refresh()
                                                                      329: int BinarySearch(field f, int i, int start, int end)
304:
        end if
                                                                                                       Does binary search for the value i
305:
        if this is not root then
                                                                          of the given prefix sum field. Returns the index of the leftmost
306:
                                                                          block in blocks[start..end] whose field f is \geq i.
            parent.Propagate()
307:
        end if
                                                                      330: end BinarySearch
308: end Propagate
                                                                      331: <Block, int, int> CreateBlock(int i) ▷ Creates and returns
309: boolean Refresh()
                                                                          the block to be inserted as ith block in blocks.
        h= head
310:
                                                                      332:
                                                                              block newBlock= new(block)
        for each dir in {left, right} do
                                                                      333:
                                                                              for each dir in {left, right} do
311:
312:
            hdir= dir.head
                                                                      334:
                                                                                  index_{last} = dir.head-1
313:
            if dir.blocks[h_{dir}]!=null then
                                                                      335:
                                                                                  indexprev= blocks[i-1].enddir
314:
               dir.Advance(h<sub>dir</sub>, h)
                                                                      336:
                                                                                  newBlock.enddir= indexlast
315:
            end if
                                                                      337:
                                                                                  blocklast = dir.blocks[indexlast]
316:
        end for
                                                                      338:
                                                                                  blockprev= dir.blocks[indexprev]
317:
        new= CreateBlock(h)
                                                                      339:
                                                                                                                      ▷ newBlock includes
318:
        if new.num==0 then return true
                                                                          dir.blocks[index_{prev}+1..index_{last}].
319:
        end if
                                                                      340:
                                                                                  newBlock.sumeng-dir = blocks[i-1].sumeng-dir + blocklast.sumeng
320:
        result= blocks[h].CAS(null, new)
                                                                          - blockprev.sumenq
321:
        hp= parent.head
                                                                      341:
                                                                                  newBlock.sumdeq-dir = blocks[i-1].sumdeq-dir + blocklast.sumdeq
322:
        this.Advance(h, hp)
                                                                          - blockprev.sumdeq
323:
        return result
                                                                      342:
                                                                              end for
324: end Refresh
                                                                      343:
                                                                              if this is root then
                                                                                  newBlock.size = max(root.blocks[i-1].size +
                                                                      344:
325: void Advance(int h, int hp)
                                                                          newBlock.numenq - newBlock.numdeq, 0)
326:
        blocks[h].super.CAS(null, hp)
                                                                      345:
                                                                              end if
327:
        head.CAS(h, h+1)
                                                                      346:
                                                                              return <b, npleft, npright>
328: end Advance
                                                                      347: end CreateBlock
```

```
Algorithm Node
```

```
\rightsquigarrow Precondition: blocks[b].num<sub>enq</sub>\geqi\geq1
401: element GetEnqueue(int b, int i)
                                                                                                                                                                                                                                           \triangleright Returns the element of E_i(this, b).
402:
                   if this is leaf then
403:
                           return blocks[b].element
404:
                   else if i \leq blocks[b].num_{enq-left} then
                                                                                                                                                                                                                           \triangleright E_i(this, b) is in the left child of this node.
405:
                           subBlock= left.BinarySearch(sumenq, i+blocks[b-1].sumenq-left, blocks[b-1].endleft+1, blocks[b].endleft)
406:
                           return left.GetEnqueue(subBlock, i)
407:
                   else
                           i = i-blocks[b].num_{enq-left}
408:
409:
                           subBlock= right.BinarySearch(sumenq, i+right.blocks[b-1].sumenq-right, blocks[b-1].endright+1, blocks[b].endright)
410:
                           return right.GetEnqueue(subBlock, i)
                   end if
411:
412: end GetEnqueue
          → Precondition: bth block of the node has propagated up to the root and blocks[b].numenq≥i.
413: <int, int> IndexDequeue(int b, int i)
                                                                                                                                                                                                                                \triangleright Returns <x, y> if D_{this,b,i} = D_{root,x,y}.
414:
                   if this is root then
415:
                           return <b. i>
416:
                   else
417:
                           dir= (parent.left==n)? left: right
                                                                                                                                                                                                                            b check if this node is a left or a right child
418:
                           \verb|superBlock= parent.BinarySearch(sum_{deq-dir}, i+blocks[b-1].sum_{deq}, blocks[b].super, blocks[b].super+1)|
                           if dir is left then
419:
420:
                                  \textbf{i+= blocks[b-1].sum}_{enq} - \textbf{blocks[superBlock-1].sum}_{enq-left} \rhd consider the enqueues in the previous blocks from the left child blocks from the l
421:
                           end if
422:
                           if dir is right then
423:
                                  i+= blocks[b-1].sum<sub>enq</sub>-blocks[superBlock-1].sum<sub>enq-right</sub>
                                                                                                                                                                                    > consider the enqueues in the previous blocks from the right
         child
424:
                                  i+= blocks[superBlock].num<sub>deq-left</sub>
                                                                                                                                                                                                                         > consider the dequeues from the right child
425:
426:
                           return this.parent.IndexDequeue(superBlock, i)
427:
                   end if
428: end IndexDequeue
```

### 4 Proof of Correctness

We adopt linearizability as our definition of correctness. In our case, where we create the linearization ordering in the root, we need to prove (1) the ordering is legal, i.e, for every execution on our queue if operation  $op_1$  terminates before operation  $op_2$  then  $op_1$  is linearized before operation  $op_2$  and (2) if we do operations sequentially in their the linearization order, operations get the same results as in our queue. The proof is structured like this. First, we define and prove some facts about blocks and the node's head field. Then, we introduce the linearization ordering formally. Next, we prove double Refresh on a node is enough to propagate its children's new operations up to the node, which is used to prove (1). After this, we prove some claims about the size and operations of each block, which we use to prove the correctness of DSearch(), GetEnqueue() and IndexDequeue(). Finally, we prove the correctness of the way we compute the response of a dequeue, which establishes (2).

### 4.1 Basic Properties

In this subsection we talk about some properties of blocks and fields of the tree nodes.

A block is an object storing some statistics, as described in Algorithm Queue. A block in a node implicitly represents a set of operations.

**Definition 1** (Ordering of a block in a node). Let b be n.blocks [i] and b' be n.blocks [j]. We call i the index of block b. Block b is before block b' in node n if and only if i < j. We define the prefix for block b in node n to be the blocks in n.blocks [0..i].

Next, we show that the value of head in a node can only be increased. By the termination of a Refresh(), head has been incremented by the process doing the Refresh() or by another process.

**Observation 2.** For each node n, n.head is non-decreasing over time.

*Proof.* The claim follows trivially from the code since head is only changed by incrementing in Line 327 of Advance().

**Lemma 3.** Let R be an instance of Refresh on a node n. After R terminates, n head is greater than the value read in line 310 of R.

*Proof.* If the CAS in Line 327 is successful then the claim holds. Otherwise n-head has changed from the value that was read in Line 310. By Observation 2 this means another process has incremented n-head.  $\square$ 

Now we show n.blocks[n.head] is either the last block written into node n or the first empty block in n.

Invariant 4 (headPosition). If the value of n.head is h then n.blocks [i] = null for i > h and n.blocks [i]  $\neq$  null for  $0 \le i < h$ .

Proof. Initially the invariant is true since n.head = 1,  $n.blocks[0] \neq null$  and n.blocks[x] = null for every x > 0. The truth of the invariant may be affected by writing into n.blocks or incrementing n.head. We show that if the invariant holds before such a change then it still holds after the change.

In the algorithm, n.blocks is modified only on Line 320, which updates n.blocks[h] where h is the value read from n.head in Line 310. Since the CAS in Line 320 is successful it means n.head has not changed from h before doing the CAS: if n.head had changed before the CAS then it would be greater than h by Observation 2 and hence  $n.blocks[h] \neq null$  and by the induction hypothesis, so the CAS would fail. Writing into n.blocks[h] when h = n.head preserves the invariant, since the claim does not talk about the content of n.blocks[n.head].

The value of n.head is modified only in Line 327 of Advance(). If n.head is incremented to h+1 it is sufficient to show n.blocks $[h] \neq \text{null}$ . Advance() is called in Lines 314 and 322. For Line 314,  $n.\text{blocks}[h] \neq \text{null}$  because of the if condition in Line 313. For Line 322, Line 320 was finished before doing 322 whether Line 320 is successful or not,  $n.\text{blocks}[h] \neq \text{null}$  after the n.blocks[h]. CAS.

We define the subblocks of a block recursively.

**Definition 5** (Subblock). A block is a *direct subblock* of the ith block in node n if it is in

$$n.$$
left.blocks $[n.$ blocks $[i-1].$ end $_{left}$ + $1\cdots n.$ blocks $[i].$ end $_{left}$  $]$ 

or in

$$n.\mathtt{right.blocks}[n.\mathtt{blocks}[i-1].\mathtt{end}_{\mathtt{right}} + 1 \cdots n.\mathtt{blocks}[i].\mathtt{end}_{\mathtt{right}}].$$

Block b is a subblock of block c if b is a direct subblock of c or a subblock of a direct subblock of c. 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.

The next lemma is used to prove the subblocks of two blocks in a node are disjoint.

Lemma 6. If n.blocks[i]  $\neq$  null and i > 0 then n.blocks[i].end<sub>left</sub>  $\geq n$ .blocks[i - 1].end<sub>left</sub> and n.blocks[i].end<sub>right</sub>  $\geq n$ .blocks[i - 1].end<sub>right</sub>.

Proof. Consider the block b written into n.blocks[i] by CAS at Line 320. Block b is created by the CreateBlock(i) called at Line 317. Prior to this call to CreateBlock(i), n.head = i at Line 310, so n.blocks[i-1] is already a non-null value b' by Invariant 4. Thus, the CreateBlock(i-1) that created b' terminated before the CreateBlock(i) that creates b is invoked. The value written into  $b.end_{left}$  at Line 336 of CreateBlock(i) was one less than the value read at Line 334 of CreateBlock(i). Similarly, the value in  $n.blocks[i-1].end_{left}$  was one less than the value read from n.left.head during the call to CreateBlock(i-1). By Observation 2, n.left.head is non-decreasing, so  $b'.end_{left} \le b.end_{left}$ . The proof for end\_right is similar.

**Lemma 7.** Subblocks of any two blocks in node n do not overlap.

Proof. We are going to prove the lemma by contradiction. Consider the lowest node n in the tree that violates the claim. Then subblocks of  $n.\operatorname{blocks}[i]$  and  $n.\operatorname{blocks}[j]$  overlap for some i < j. Since n is the lowest node in the tree violating the claim, direct subblocks of blocks of  $n.\operatorname{blocks}[i]$  and  $n.\operatorname{blocks}[j]$  have to overlap. Without loss of generality assume left child subblocks of  $n.\operatorname{blocks}[i]$  overlap with the left child subblocks of  $n.\operatorname{blocks}[j]$ . By Lemma 6 we have  $n.\operatorname{blocks}[i].\operatorname{end}_{\operatorname{left}} \le n.\operatorname{blocks}[j-1].\operatorname{end}_{\operatorname{left}}$ , so the ranges  $[n.\operatorname{blocks}[i-1].\operatorname{end}_{\operatorname{left}} + 1 \cdots n.\operatorname{blocks}[i].\operatorname{end}_{\operatorname{left}}]$  and  $[n.\operatorname{blocks}[j-1].\operatorname{end}_{\operatorname{left}} + 1 \cdots n.\operatorname{blocks}[j].\operatorname{end}_{\operatorname{left}}]$  cannot overlap. Therefore, direct subblocks of  $n.\operatorname{blocks}[i]$  and  $n.\operatorname{blocks}[j]$  cannot overlap.

**Definition 8** (Superblock). Block b is superblock of block c if c is a direct subblock of b.

Corollary 9. Every block has at most one superblock.

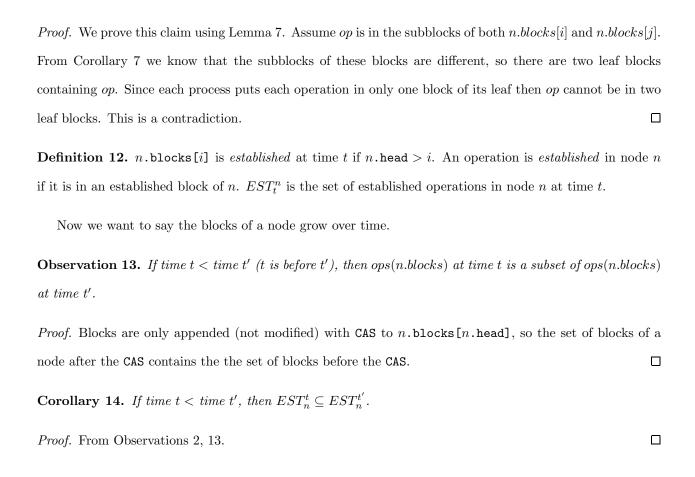
*Proof.* A block having more than one superblock contradicts Lemma 7.  $\Box$ 

Now we can define the operations of a block using the definition of subblocks.

**Definition 10** (Operations of a block). A block b in a leaf represents an Enqueue() if b.element  $\neq$  null. Otherwise, if b.element = null, b represents a Dequeue(). The set of operations of block b is the union of the operations in leaf subblocks of b. We denote the set of operations of block b by ops(b) and the union of operations of a set of blocks b by ops(b). We also say b contains op if  $op \in ops(b)$ .

Operations are distinct Enqueues and Dequeues invoked by processes. The next lemma proves that each operation appears at most once in the blocks of a node.

**Lemma 11.** If op is in n.blocks[i] then there is no  $j \neq i$  such that op is in n.blocks[j].



### 4.2 Ordering Operations

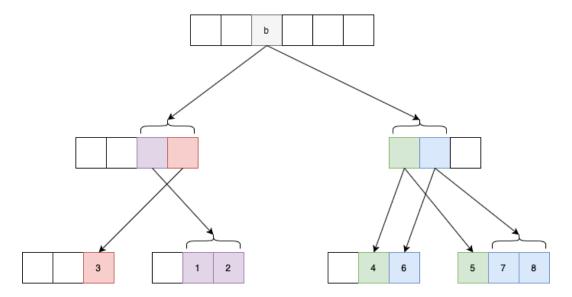


Figure 15: Order of operations in b. Operations in the leaves are ordered with numerical order shown in the drawing.

Now we define the ordering of operations stored in each node. In the non-root nodes we only need to order operations of a type among themselves. Processes are numbered from 1 to p and leaves of the tree are assigned from left to right. We will show in Lemma 25 that there is at most one operation from each process in a given block.

### **Definition 15** (Ordering of operations inside the nodes).

• E(n,b) is the sequence of enqueue operations in ops(n.blocks[b]) defined recursively as follows. E(leaf,b) is the single enqueue operation in ops(leaf.blocks[b]) or an empty sequence if leaf.blocks[b] represents a dequeue operation. If n is an internal node, then

$$E(n,b) = E(n.\mathsf{left}, n.\mathsf{blocks}[b-1].\mathsf{end}_{\mathsf{left}} + 1) \cdots E(n.\mathsf{left}, n.\mathsf{blocks}[b].\mathsf{end}_{\mathsf{left}}) \cdot \\ E(n.\mathsf{right}, n.\mathsf{blocks}[b-1].\mathsf{end}_{\mathsf{right}} + 1) \cdots E(n.\mathsf{right}, n.\mathsf{blocks}[b].\mathsf{end}_{\mathsf{right}}).$$

- $E_i(n,b)$  is the *i*th enqueue in E(n,b).
- The order of the enqueue operations in the node n is  $E(n) = E(n,1) \cdot E(n,2) \cdot E(n,3) \cdots$
- $E_i(n)$  is the *i*th enqueue in E(n).

• D(n,b) is the sequence of dequeue operations in ops(n.blocks[b]) defined recursively as follows. D(leaf,b) is the single dequeue operation in ops(leaf.blocks[b]) or an empty sequence if leaf.blocks[b] represents an enqueue operation. If n is an internal node, then

$$D(n,b) = D(n.\mathsf{left}, n.\mathsf{blocks}[b-1].\mathsf{end}_{\mathsf{left}} + 1) \cdots D(n.\mathsf{left}, n.\mathsf{blocks}[b].\mathsf{end}_{\mathsf{left}}) \cdot \\ D(n.\mathsf{right}, n.\mathsf{blocks}[b-1].\mathsf{end}_{\mathsf{right}} + 1) \cdots D(n.\mathsf{right}, n.\mathsf{blocks}[b].\mathsf{end}_{\mathsf{right}}).$$

- $D_i(n, b)$  is the *i*th enqueue in D(n, b).
- The order of the dequeue operations in the node n is  $D(n) = D(n,1) \cdot D(n,2) \cdot D(n,3)...$
- $D_i(n)$  is the *i*th dequeue in D(n).

**Definition 16** (Linearization).

$$L = E(root, 1) \cdot D(root, 1) \cdot E(root, 2) \cdot D(root, 2) \cdot E(root, 3) \cdot D(root, 3) \cdots$$

### 4.3 Propagating Operations to the Root

In this section we explain why two Refreshes are enough to propagate a nodes operations to its parent.

**Definition 17.** Let  $t^{op}$  be the time op is invoked and opt be the time op terminates. Let  $t_l$  be the time immediately before executing Line l and l be the time immediately after executing Line l. Let  $l^{op}$  is the time immediately before running Line l of operation op and  $t^{op}$  is the immediate time after running Line l of operation op. In the text  $v_l$  is the value of variable v immediately after line l for the process we are talking about and  $v_t$  is the value of variable v at time t.

**Definition 18** (Successful Refresh). An instance of Refresh() is *successful* if its CAS in Line 320 returns true. If a successful instance of Refresh() terminates, we say it is *complete*.

In the next two results we show for every successful Refresh(), all the operations established in the children before the Refresh are established in the parent after the Refresh's successful CAS at Line 320.

**Lemma 19.** If R is a successful instance of n.Refresh(), then we have  $EST_{n.left}^{t^R} \cup EST_{n.right}^{t^R} \subseteq ops(n.blocks_{320})$ .

*Proof.* We show

$$EST_{n.\mathtt{left}}^{t^R} = ops(n.\mathtt{left.blocks} \texttt{[0..n.left.head}_{309} - 1\texttt{]})$$
 
$$\subseteq ops(n.blocks_{320}) = ops(n.\mathtt{blocks} \texttt{[0..n.head}_{320}\texttt{]}).$$

Line 320 stores a block new in n that has  $end_{left} = n.left.head_{334} - 1$ . Therefore by Definition 5, after the successful CAS in Line 320 we know all blocks in  $n.left.blocks[1 \cdots n.left.head_{334} - 1]$  are subblocks of  $n.blocks[1 \cdots n.head_{310}]$ . Because of Lemma 2 we have  $n.left.head_{309} - 1 < n.left.head_{334} - 1$  and  $n.head_{310} < n.head_{320}$ . From Observation 13 the claim follows. The proof for the right child is the same.  $\square$ 

Corollary 20. If R is a complete instance n.Refresh(), then we have  $EST_{n.left}^{t^R} \cup EST_{n.right}^{t^R} \subseteq EST_n^{R_t}$ .

*Proof.* The left hand side is the same as Lemma 19, so it is sufficient to show when R terminates the established blocks in n are a superset of n.blocks after Line 320. Because of Lemma 3 we are sure that n.head is incremented after line 327. So the block new appended to n at Line 320 is established at Rt.

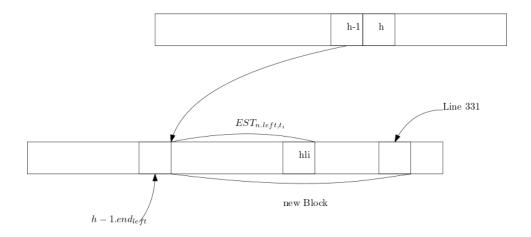


Figure 16: TODO :: Is this picture good or should I remove it? New established operations of the left child are in the new block.(TO UPDATE)

In the next lemma we show that if two consecutive instances of Refresh() by the same process on node n fail, then the established blocks in the children of n before the first Refresh() are guaranteed to be in n after the second Refresh().

**Lemma 21.** Consider two consecutive terminating instances  $R_1$ ,  $R_2$  of Refresh() on internal node n by process p. If neither  $R_1$  nor  $R_2$  is a successful Refresh(), then we have  $EST_{n.\mathtt{left}}^{t^R_1} \cup EST_{n.\mathtt{right}}^{t^R_1} \subseteq EST_n^{R_2t}$ .

*Proof.* Let  $R_1$  read i from n.head at Line 310. Note that by Lemma 3  $R_1$  and  $R_2$  both cannot read the same value i. By Observation 2  $R_2$  reads larger value of n.head than  $R_1$ .

Consider the case where  $R_1$  reads i and  $R_2$  reads i+1 from Line 310. As  $R_2$ 's CAS in Line 320 returns false, there is another successful instance  $R'_2$  of n.Refresh() that has done CAS successfully into n.blocks[i+1] before  $R_2$  tries to CAS.  $R'_2$  creates its block new after reading the value i+1 from n.head (Line 310) and  $R_1$  reads the value i from n.head. By Observation 2 we have  ${}^{R_1}t < t^{R_1}_{310} < t^{R_2'}_{310}$  (see Figure 17). By Lemma 20 we have  $EST^{n.left}_{R'_2} \cup EST^{n.right}_{R'_2} \subseteq ops(n.blocks_{t^{R'_2}_{320}})$ . Also by Lemma 3 on  $R_2$  the value of n.head is more than i+1 after  $R_2$  terminates, so the block appended by  $R'_2$  to n is established by the time  $R_2$  terminates. To summarize,  $R_1t$  is before  $R'_2$ 's read of n.head  $(t^{R'_2}_{310})$  and  $R'_2$ 's successful CAS  $(t^{R2'}_{320})$  is before  $R_2$ 's termination  $(t^{R_2})$ , so by Observation 13  $ops(EST_{n.left,t^{R_1}}) \cup ops(EST_{n.right,t^{R_1}}) \subseteq ops(n.blocks_{t^{R_2}})$ 

If  $R_2$  reads some value greater than i+1 in Line 310 it means n.head has been incremented more than two times since  $\frac{R_1}{310}t$ . By Lemma 4, when n.head is incremented from i+1 to i+2, n.blocks[i+1] is non-null. Let  $R_3$  be the Refresh() on n that has put the block in n.blocks[i+1].  $R_3$  read n.head = i+1 at Line 310 and has put its block in n.blocks[i+1] before  $R_2$ 's read of n.head at Line 310. So we have

 $t^{R_1} <_{310}^{R_3} t <_{320}^{R_3} t < t_{310}^{R_2} <_2^R t$ . From Observation 13 on the operations before and after  $R_3$ 's CAS and Lemma 19 on  $R_3$  the claim holds.

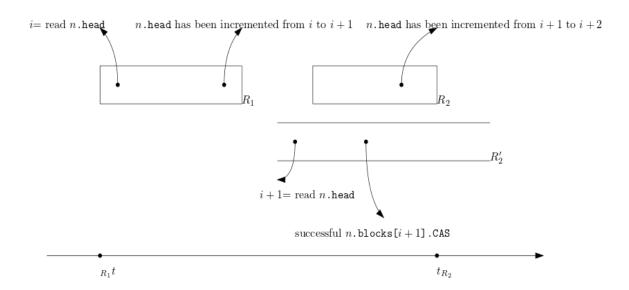


Figure 17:  $R_1 t < t_{310}^{R_1} <$  incrementing n.head from i to  $i+1 < t_{310}^{R_2'} < t_{320}^{R_2'} <$  incrementing n.head from i+1 to  $i+2 < t_{R_2}$ 

 $\mathbf{Corollary~22.~ops}(\mathtt{EST_{n.left,~302t}}) \ \cup \ \mathtt{ops}(\mathtt{EST_{n.right,~302t}}) \subseteq \mathtt{ops}(\mathtt{EST_{n,~t_{303}}})$ 

Proof. If the first Refresh() in line 302 returns true then by Lemma 20 the claim holds. If the first Refresh() failed and the second Refresh() succeeded the claim still holds by Lemma 20. Otherwise both failed and the claim is satisfied by Lemma 21.

Now we show that after Append(b) on a leaf finishes, b will be established in root.

Corollary 23. For A = Append(b) we have  $ops(b) \subseteq ops(EST_{n,t^A})$  where  $n \in \{nodes \ in \ the \ path \ from \ the \ leaf \ to \ the \ root\}.$ 

*Proof.* A adds b to the assigned leaf of the process, establishes it at Line 603 and then calls Propagate() on the parent of the leaf where it appended b. For every node n, n.Propagate() appends b to n, establishes it by Corollary 22 and then calls n.parent.Propagate() utill n is root.

Corollary 24. After Append(b) finishes, b is in the nodes the path from the leaf to the root for exactly one time.

*Proof.* By the previous corollary and Lemma 24 there is exactly one block in each node containing b.

### 4.4 Correctness of GetEnqueue and IndexDequeue

Now we prove some claims about the size and operations of a block. These lemmas will be used for analysis and correctness of GetEnqueue() and IndexDequeue().

**Lemma 25.** Each block contains at most one operation of each process.

*Proof.* To derive a contradiction, assume there are two operations  $op_1$  and  $op_2$  of process p in block b in node n. Without loss of generality  $op_1$  is invoked earlier than  $op_2$ . Process p cannot invoke more than one operations concurrently, so  $op_1$  has to be finished before  $op_2$  begins. By Corollary 24 before  $op_2$  calls Append(),  $op_1$  exists in every node of the tree on the path from p's leaf to the root. This means there is some block b' before b in n containing  $op_1$ . The Existence of  $op_1$  in b and b' contradicts Lemma 11.

**Lemma 26.** Each block has at most p direct subblocks.

*Proof.* The claim follows directly from Lemma 25 and the observation that each block appended to an initial node contains at least one operation, due to the test on Line 318. We can also see the blocks in the leaves have exactly one operation in the Enqueue() and Dequeue() routines.

DSearch(e, end) returns <b, i> so that ith Enqueue in bth block of root is eth Enqueue in entire sequence stored in the root.

Lemma 27 (DSearch Correctness). If root.blocks  $[end] \neq \text{null } and \ 1 \leq e \leq \text{root.blocks} [end]$ . sum<sub>enq</sub>, DSearch(e, end) returns  $\langle b, i \rangle$  such that  $E_i(root, b) = E_e(root)$ .

Proof. DSearch performs a doubling search from root.blocks[end] to root.blocks[0] to find  $E_e(root)$ . From Lines 340, 341 we know  $\sup_{enq-left}$ ,  $\sup_{enq-right}$  fields of blocks in each node are sorted in non-decreasing order. Since  $\sup_{enq} = \sup_{enq-left} + \sup_{enq-right}$ ,  $\sup_{enq} values$  of root.blocks[0·end] is also non-decreasing. Furthermore, since root.blocks[0]. $\sup_{enq} = 0$  and root.blocks[end]. $\sup_{enq} \ge e$ , there is a b such that root.blocks[b]. $\sup_{enq} \ge e$  and root.blocks[b-1]. $\sup_{enq} < e$ . Block root.blocks[b] contains  $E_i(root,b)$ . The doubling search on Lines 802-805 doubles its search range in Line 804 and will eventually reach start such that root.blocks[start]. $\sup_{enq} \le e \le root.blocks[end].\sup_{enq}$ . In Line 806 Binary Search finds b in the range mentioned. Finally i, is computed from the definition of  $\sup_{enq}$ .

Lemma 28 (GetEnqueue correctness). If  $1 \le i \le n$ .blocks[b].num<sub>enq</sub> then n.GetEnqueue(b, i) returns  $E_i(n,b)$ .element.

*Proof.* We are going to prove this lemma by induction on the height of node n. For the base case, suppose n is a leaf. Leaf blocks each contain exactly one operation, so only n. GetEnqueue(b,1) can be called when n is a leaf. Line 403 of n. GetEnqueue(b, 1) returns the element of the Enqueue operation stored in the bth block of leaf n.

For the induction step we prove if n.child.GetEnqueue(sb, i) returns  $E_i(n.child, sb)$  then n.GetEnqueue(b, i) returns  $E_i(n,b)$ . From Definition 15 of E(n,b), operations from the left subblocks come before the operations from the right subblocks in a block (see Figure 18).  $\operatorname{num_{enq-left}}$  field in n.blocks[b] is the number of Enqueue() operations from the blocks's subblocks in the left child of n. So the ith enqueue operation is propagated from the right child if and only if i is greater than b. $\operatorname{num_{enq-left}}$ . Line 404 decides whether the ith enqueue in bth block of internal node n is in the left child or right child subblocks of n.blocks[b]. By Definitions 10, 5 to find an operation in subblocks of n.blocks[i] we need to search in the range

```
n.\mathsf{left.blocks}[n.\mathsf{blocks}[i-1].\mathsf{end}_{\mathsf{left}} + 1 \dots n.\mathsf{blocks}[i].\mathsf{end}_{\mathsf{left}}] \cup \\ n.\mathsf{right.blocks}[n.\mathsf{blocks}[i-1].\mathsf{end}_{\mathsf{right}} + 1 \dots n.\mathsf{blocks}[i].\mathsf{end}_{\mathsf{right}}].
```

First we consider the case where the Enqueue we are looking is in the left child. There are  $eb = n.blocks[b-1].sum_{enq-left}$  enqueues in the blocks before the left subblocks of n.blocks[b], so  $E_i(n,b)$  is  $E_{i+eb}(n.left)$  which is  $E_{i'}(n.left,b')$  for some b' and i'. We can compute b' and then search for the i+ebth enqueue in n.left, where i' is  $i+eb-n.left.blocks[b'-1].sum_{enq}$ . The parameters in Line 405 are for searching  $E_{i+eb}(n.left)$  in n.left.block in the range of left subblocks of n.blocks[b], so this BinarySearch returns the index of the subblock containing  $E_i(n,b)$ .

Otherwise, the enqueue we are looking for is in the right child. Because Enqueues from the left subblocks are ordered before the Enqueues from the right subblocks, there are  $n.blocks[b].num_{enq-left}$  enqueues ahead of  $E_i(n,b)$  from the left child. So we need to search for  $i-n.blocks[b].num_{enq-left} + n.blocks[b-1].sum_{enq-right}$  (Line 409). Other parameters for the right child are chosen similarly to the left child.

So, in both cases the direct subblock containing  $E_i(n,b)$  is computed in Line 405 or 409. Finally, n.child.GetEnqueue(subblock, i) is invoked on the subblock containing  $E_i(n,b)$  and it returns  $E_i(n,b)$  by the hypothesis of the induction.

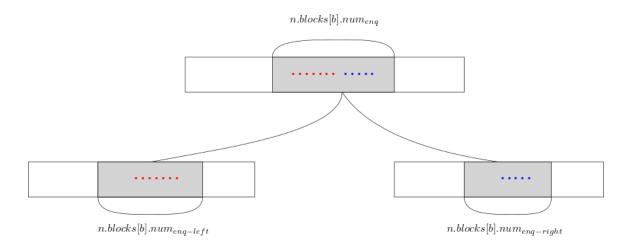


Figure 18: The number and ordering of the enqueue operations propagated from the left and the right child to n.blocks[b]. Enqueue operations from the left subblocks (colored red), are ordered before the enqueue operations from the right child (colored blue).

**Definition 29.** A Refresh is *successful* if it performs a successful CAS on Line 320. If Refresh instance R<sub>1</sub> does its CAS at Line 320 sooner than Refresh instance R<sub>2</sub> we say R<sub>1</sub> happened before R<sub>2</sub>.

Let i be the value  $R_n$ , a successful instance of Refresh() on the node n, reads from n.head.  $R_n$  does a successful CAS(null, new) into n.blocks[h], where b is the new. Without loss of generality for the rest of this section assume n is the left child of n.parent. From now on we say p as an abbreviation for n.parent. Let  $R_p$  be the first successful p.Refresh() that reads some value greater than i for left.head and is contains b in its created block s in Line 317. From Lemma 24 we know there could be only one p.Refresh() propagating b.  $R_p$  does a successful CAS(null, new) into p.blocks[j], where s is the new.

Although other fields of b are set while creating it, because the index of the superblock of b is not known until it is propagated,  $R_n$  cannot set the super field of a b while creating it. One approach is to set the super field of b after it is propagated by  $R_b$  but this would not be efficient because there might be p subblocks in s. However, once b is installed, its superblock is going to be close to n.parent.head at the time of installation. One idea is that if we know the aproximate position of the superblock of b then we can search for the real superblock when we wished to know the superblock of b i.e. b.super does not have to be the exact location of the superblock of b, but we want it to be close to j. We can set b.super to n.parent.head while creating b, but the problem is that there might be many p.Refreshes could happen that contain blocks from the right child of p and j could be arbitrarily (right word?) greater than b.super. We set b.super to p.head after appending b to n.blocks (Line 326). Maybe  $R_n$  goes to sleep at some time after installing b and before

setting b.super. In this case the next Refreshes on n and n.parent help fill in the value of b.super.

Block b is appended to n.blocks[h] on Line 320. After appending b, b.super is set on Line 326 of a call to Advance by the same process or another process's n.Refresh() or maybe an n.parent.Refresh(). We want to bound how far b.super is from the index of b's superblock, which is created by a successful n.parent.Refresh() that propagates b.

Observation 30. After n.blocks[i].CAS(null, b) succeeds, n.head cannot increase from i to i+1 unless b.super is set.

Proof. From the Observation 2 we know the only change to n.head is on Line 327 which is incrementing. Before an instance of Advance() increments n.head on Line 327, Line 326 ensures that n.blocks[head].super was set at Line 326.

Corollary 31. If n.blocks[i].super is null, then n.head < i and n.blocks[i+1] is null.

*Proof.* If b.super is null then n.head cannot advance so the next n.Refresh() will fail. By the previous corollary, b.super has to be set before the next successful Refresh() on n after  $R_n$ .

Now let us talk about how the p.Refreshes that took place after the putting b into n, will help to set b.super and propagate b.

Lemma 32. If  $b \in n.parent.blocks[i]$  then  $b.super \leq i$ .

Proof. For  $R_p$  to contain block b, it has to read n.head greater than h (see Line 334). For n.head to be greater than h it means n.head is incremented in Line 327 which means b.super was already set in Line 326 (see Observation 30). So if  $R_p$  propagates b it means b.super was already set. Let j be the value written in b.super. j has been read in Line 310 or Line 321 which both are before calling Advance that sets b.super. From Observation 2 we know p.Head is non-decreasing so  $j \leq i$ . The reader may wonder when the case j = i happens, it happens when p.blocks[j]=null while j is read and  $R_p$  puts its created block into n.blocks[j].

Lemma 33. If R<sub>=</sub>n.Refresh() puts b in n.blocks[h] at Line 320, then the block created by one of the next two successful p.Refreshes according to the Definition 29 contains b and b.super is set before Line 317 of the the second successful p.Refresh().

Proof. It is sufficient to prove one of the two successful p.Refresh()es propagate b. If the first successful p.Refresh() propagated b then the claim is true, so in the remaining part we assume the first p.Refresh() did not propagate b and prove the second p.Refresh() propagates b.

b.super is set by some instance of Refresh() on n or p showed by R' and n.head is incremented by some Refresh() called R". We want to know how great j-b.super can be. p.head is hp when R' reads it. From Lemma 6 p.head could only increase from hp to hp+1 if  $p[hp] \neq null$ . In other words there should be a successful p.Refresh() for p.head to increase. We claim there cannot be another successful p.Refresh() after R' reads p.head and before  $R_p$  performs Line 334.

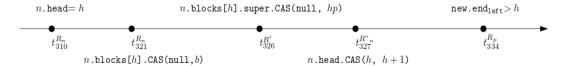


Figure 19: Time relations between  $R_n$ ,  $R_p$ , R', R''

Assume the first successful p.Refresh() after  $t_{320}^{Rn}$  did not set b.super. It might happen maybe because the value read for  $h_{left}$  in Line 312 is less than i or maybe  $i = h_{left}$  and  $left.blocks[h_{left}] = null$ , which means n.head is advanced but b is still not installed in n.blocks[i] which means  $R_n$  has not reached to the Line 320.

Let the first successful p.Refresh() be  $R_{p1}$  and the second next successful p.Refresh() be  $R_{p2}$ . If  $R_{p1}$  reads x in Line 310, then  $R_{p2}$  has to read x+1 in Line 310 (induced from 6, 2). See the timeline in Figure 20 for two consecutive successful Refresh() instances  $R_{p1}$ ,  $R_{p2}$  on p.

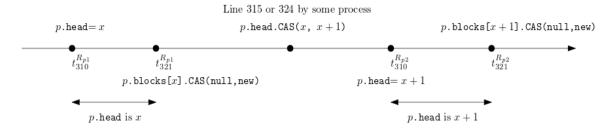


Figure 20: Rp2 reads p.head after  $t_{321}^{Rp1}$ , which is after  $t_{321}^{Rn}$ . Rp2 has to help increment n.head and set b.super.

$$t_{320}^{R_n} < t_{320}^{R_p} < t_{320}^{R_p'} < t_{314}^{R_p'}$$

 $t_{320}^{R_n} < t_{320}$  because  $R_p$  is the first successful p.Refresh() after  $R_n$ .  $t_{320}^{R_p} < t_{320}^{R_p}$  because of the time windows

between two consecutive successful Refresh() instances on a node.  $t_{320}^{R'_p} < t_{314}^{R'_p}$  because it is sequential in the code. The second Refresh on p contains b and reads n.head > i.

So b.super has set by some process before the second next successful p.Refresh() on Line 326. Since i is read in the Line 310 then the CreateBlock() in Line 317 is going to read some value fo left.head greater than h and propagates b to p. So if b was not propagated already we are sure the second next successful p.Refresh() propagates b.

Corollary 34. If n.blocks[b] is propagated to n.parent, then n.blocks[b] . super is equal to or one less than the index of the superblock of n.blocks[b].

Now using Corollary 34 on each step of the IndexDequeue we prove its correctness.

Lemma 35 (IndexDequeue correctness). If  $1 \le i \le n$ .blocks[b].num<sub>deq</sub> then n.IndexDequeue(b,i) returns the rank in D(root) of  $D_i(n,b)$ .

Proof. We will prove this by induction on the distance of n from the root. The base case where n is root is trivial (Line 415). For the non-root nodes n. IndexDequeue(b, i) computes the superblock of the bth block of n in Line 418 by Corollary 34. So preconditions of the invocation of BinarySearch is satisfied. After that the order of  $D_i(n,b)$  in D(n.parent, superblock) is computed in Lines 419–425. Note that by Lemma 25 in each block there is at most one Dequeue from each process and by Definition 15 Dequeues in a block are ordered based on the order of its subblocks from left to right. Then if  $D_i(n,b)$  was propagated from the right child, the number of dequeues in the subblocks from the left child is considered to be ahead of the computed index (Line 422). Finally IndexDequeue is called on n-parent recursively and it returns the response from induction hypothesis.

### 4.5 Linearizability

We now prove the two properties needed for linearizability.

**Lemma 36.** L is a legal linearization ordering.

Proof. A linearization for an execution is legal if,  $op_1$  terminates before  $op_2$  starts in execution then  $op_1$  is before  $op_2$  in the linearization. If  $op_1$  terminates before  $op_2$  starts,  $op_1$ . Append() has terminated before  $op_2$ . Append() started. From Lemma 23  $op_1$  is in root.blocks before  $op_2$  starts to propagate. By definition of L,  $op_1$  is linearized before  $op_2$ .

Once some operations are aggregated in one block, they will get propagated up to the root together and they can be linearized in any order among themselves. The way we have chosen to order the operations in a block makes GetEnqueue and FindResponse efficient.

**Definition 37.** If a Dequeue operation returns null it is called a *null dequeue*, otherwise it is called *non-null dequeue*.

**Definition 38.** Assume the operations in root.blocks are applied sequentially on an empty queue in the order of L. Resp(d) = e.element if the element of Enqueue e is the response to Dequeue d. Otherwise if d is a null dequeue then Resp(d) = null.

**Observation 39.** By Definition 15 enqueue operations come before dequeue operations in a block.

In the next lemma we show that the size field in each root block is computed correctly.

**Lemma 40.** root.blocks[b].size is the size of the queue if the operations in root.blocks[ $0 \cdots b$ ] are applied in the order of L.

Proof. We prove the claim by induction on b. The base case when b=0 is trivial since the queue is initially empty and root.blocks[0].size = 0. We are going to show the correctness when b=i assuming correctness when b=i-1. By Observation 39 if there are more than root.blocks[i-1].size + root.blocks[i].sum<sub>enq</sub> dequeue operations in root.blocks[i] then the queue would become empty after root.blocks[i]. Otherwise the size of the queue after the bth block in the root is root.blocks[b-1].size+root.blocks[b].sum<sub>enq</sub>-root.blocks[b].sum<sub>deq</sub>. In both cases, this is same as the assignment on Line 344.

The next lemma is useful to compute the number of non-null dequeues.

**Lemma 41.** If operations in the root are applied with the order of L, the number of non-null dequeues in root.blocks $[0\cdots b]$  is root.blocks $[b].sum_{enq}$  - root.blocks[b].size.

Proof. There are root.blocks [b]. sum<sub>enq</sub> enqueue operations in root.blocks  $[0 \cdots b]$ . The size of the queue after doing root.blocks  $[0 \cdots b]$  in order L is #enqueues in root.blocks  $[0 \cdots b] - \#non-null$  dequeues in root.blocks  $[0 \cdots b]$ . By the correctness of the size field from Lemma 40, #non-null dequeues is root.blocks [b]. sum<sub>enq</sub> - root.blocks [b].size.

Corollary 42. If operations in the root are applied with the order of L, the number of non-null dequeues in root.blocks[b] is root.blocks[b].num<sub>enq</sub> - root.blocks[b].size + root.blocks[b-1].size.

 $\textbf{Lemma 43. } \texttt{R}(\texttt{D}_{\texttt{root},\texttt{b},\texttt{i}}) \textit{ is } \texttt{null } \textit{iff } \texttt{root.blocks}[b-1]. \texttt{size} + \texttt{root.blocks}[b]. \texttt{num}_{\texttt{enq}} - i < 0.$ 

*Proof.* From Corollary 42 and Observation 39.

Lemma 44. FindResponse(b, i) returns  $Resp(D_i(root, b))$ .

Proof.  $D_i(root,b)$  is  $D_{\text{root.blocks}[b-1].sum_{\text{deq}}+i}(root)$  by Definition 15 and Lemma ??.  $D_i(root,b)$  returns null at Line 220 if root.blocks $[b-1].size + root.blocks[b].num_{\text{enq}} - i < 0$  and  $Resp(D_i(root,b)) =$  null in this case by Lemma 43. Otherwise if  $D_i(root,b)$  is eth non-null dequeue in L it should return eth enqueued value. By Lemma 41 there are root.blocks $[b-1].sum_{\text{enq}} - root.blocks[b-1].size$  non-null dequeue operations in root.blocks $[0\cdots b-1]$ . The dequeues in the root.blocks[b] before  $D_i(root,b)$  are non-null dequeues. So  $Resp(D_i(root,b))$  is the element field of eth non-null dequeue when  $e=i-root.blocks[b-1].size + root.blocks[b-1].sum_{\text{deq}}$  (Line 222). See Figure 21.

After computing e at Line 222, the code finds b, i such that  $E_i(root, b) = E_e(root)$  using DSearch and then finds its element using GetEnqueue (Line 223).

**Lemma 45.** The responses to operations in our algorithm would be the same as in the sequential execution in the order given by L.

*Proof.* Enqueue operations do not return any value. By 44 response of a dequeue in our algorithm is same as the response from the sequential execution of L.

**Theorem 46** (Main). The queue implementation is linearizable.

Proof. From 36, 45.

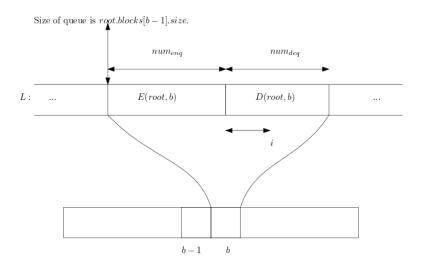


Figure 21: The position of  $D_i(root, b)$ .

**Remark** In fact our algorithm is strongly linearizable [?]. By Definition 15 the linearization ordering of operations will not change as new operations come.

### 5 Analysis

**Lemma 47** (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 302, 303). 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.

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 48. 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 320 and one in Lines ?? or ??.

Lemma 49 (DSearch Analysis). If the element enqueued by  $E_i(root, b) = E_e(root)$  is the response to some Dequeue() operation in root.blocks[end], then DSearch(e, end) takes  $O(\log(root.blocks[b].size + root.blocks[end].size))$  steps.

Proof. First we show  $end - b - 1 \le 2 \times \text{root.blocks}[b-1]$ . size + root.blocks[end]. size. Suppose there were more than root.blocks[b].size Dequeues in root.blocks[ $b+1\cdots end-1$ ]. Then the element in the queue which is the response to the Dequeue() would become dequeued at some point before

root.blocks[end]'s first Dequeue(). Furthermore in the execution of queue operations in the linearization ordering, the size of the queue becomes root.blocks[end].size after the operations of root.blocks[end]. There can be at most root.blocks[b].size Dequeues in root.blocks[b+1...end-1]; otherwise all elements enqueued by root.blocks[b] would be dequeued before root.blocks[end]. The final size of the queue after root.blocks[1...end] is root.blocks[end].size. After an execution on a queue the size of the queue is greater than or equal to #enqueues-#dequeues in the execution. We know the number of dequeues in root.blocks[b+1...end-1] is less than root.blocks[b].size, therefore there cannot be more than root.blocks[b].size+root.blocks[end].size Enqueues in root.blocks[b+1...end-1]. Overall there can be at most  $2 \times \text{root.blocks}[b]$ .size+root.blocks[end].size operations in root.blocks[b+1...end-1] and since from line 318 we know that num field of the every block in the tree is greater than 0, each block has at least one operation, there are at most  $2 \times \text{root.blocks}[b]$ .size+root.blocks[end].size+root.blocks[end].size+root.blocks[end].size+root.blocks[end].size+root.blocks[b].size+root.blocks[end].size+root.bl

So the doubling search reaches start such that the root.blocks[start].sum<sub>enq</sub> is less than e in  $O(\log(\text{root.blocks}[b].\text{size} + \text{root.blocks}[end].\text{size}))$  steps. See Figure 22. After Line 805, the binary search that finds b also takes  $O(\log(\text{root.blocks}[b].\text{size} + \text{root.blocks}[end].\text{size}))$ . Next, i is computed via the definition of  $\text{sum}_{\text{enq}}$  in constant time (Line 807). So the claim is proved.

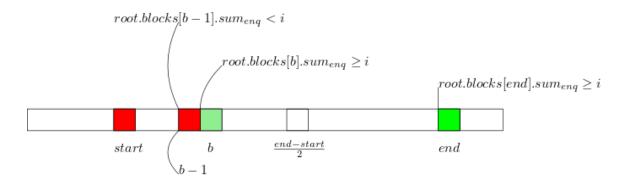


Figure 22: Distance relations between start, b, end.

Garbage Collection or Getting rid of the infinite Arrays

5.1

# 6 Using Queues to Implement Vectors

Supporting Append, Read, Write in PolyLog time by modifying Get(Enq) Method. Create a Universal Construction Using our vector

## 7 Conclusion

possible directions for work

Maybe Stacks

Characterize what data structure can be used for this approach, we already know: queue, fetch & Inc, Vectors