

# 1 Rocq-to-Text Mapping: SHIFT Impossibility Proofs

This document provides exact correspondence between Rocq definitions/theorems and their textual descriptions for paper integration.

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## 2 Core Definitions (Core/)

### 2.1 Memory Model (Core/Memory.v)

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Memory.v:11

Memory addresses, modeled as natural numbers.

```
Definition Addr := nat.
```

An *address*  $a \in \mathbb{N}$  identifies a location in RDMA-accessible memory.

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Memory.v:14

Values stored in memory, modeled as natural numbers.

```
Definition Val := nat.
```

A *value*  $v \in \mathbb{N}$  represents data stored at a memory address.

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Memory.v:22

Memory as a total function from addresses to values.

```
Definition Memory := Addr -> Val.
```

*Memory* is a function  $m : \text{Addr} \rightarrow \text{Val}$  mapping each address to its current value.

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Memory.v:25

Initial memory state where all addresses contain 0.

```
Definition init_memory : Memory := fun _ => 0.
```

The *initial memory*  $m_0$  satisfies  $m_0(a) = 0$  for all addresses  $a$ .

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Memory.v:28

Read operation: returns value at address.

```
Definition mem_read (m : Memory) (a : Addr) : Val := m a.
```

A *read* of address  $a$  in memory  $m$  returns  $m(a)$ .

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Memory.v:31-32

Write operation: creates new memory with updated value.

```
Definition mem_write (m : Memory) (a : Addr) (v : Val) : Memory :=  
  fun a' => if Nat.eqb a' a then v else m a'.
```

A *write* of value  $v$  to address  $a$  produces memory  $m'$  where  $m'(a) = v$  and  $m'(a') = m(a')$  for  $a' \neq a$ .

## 2.2 RDMA Operations (Core/Operations.v)

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Operations.v:12-16

RDMA operation types.

```
Inductive Op : Type :=
| OpWrite : Addr -> Val -> Op      (* RDMA Write *)
| OpRead  : Addr -> Op             (* RDMA Read *)
| OpFADD  : Addr -> nat -> Op      (* Fetch-and-Add *)
| OpCAS   : Addr -> Val -> Val -> Op. (* Compare-and-Swap *)
```

An *RDMA operation* is one of:

- Write( $a, v$ ): write value  $v$  to address  $a$
- Read( $a$ ): read value at address  $a$
- FADD( $a, \delta$ ): atomically add  $\delta$  to address  $a$ , return old value
- CAS( $a, \text{exp}, \text{new}$ ): if  $m(a) = \text{exp}$ , write new; return (success, old value)

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Operations.v:20-24

Results returned by operations.

```
Inductive OpResult : Type :=
| ResWriteAck : OpResult
| ResReadVal  : Val -> OpResult
| ResFADDVal  : Val -> OpResult
| ResCASResult : bool -> Val -> OpResult.
```

An *operation result* is the value returned to the sender:

- Write returns acknowledgment
- Read returns the value read
- FADD returns the old value before addition
- CAS returns (success flag, old value)

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Operations.v:37-40

FADD execution semantics.

```
Definition exec_fadd (m : Memory) (a : Addr) (delta : nat) : Memory * OpResult :=
  let old_val := mem_read m a in
  let new_val := old_val + delta in
  (mem_write m a new_val, ResFADDVal old_val).
```

$\text{exec}_{\text{FADD}(m, a, \delta)}$  atomically:

1. Reads  $v_{\text{old}} = m(a)$
2. Writes  $m(a) := v_{\text{old}} + \delta$
3. Returns  $v_{\text{old}}$

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Operations.v:43-48

CAS execution semantics.

```
Definition exec_cas (m : Memory) (a : Addr) (expected new_val : Val) : Memory * OpResult :=
  let old_val := mem_read m a in
  if Nat.eqb old_val expected then
    (mem_write m a new_val, ResCASResult true old_val)
  else
    (m, ResCASResult false old_val).
```

$\text{exec}_{\text{CAS}(m, a, \text{exp}, \text{new})}$  atomically:

1. Reads  $v_{\text{old}} = m(a)$
2. If  $v_{\text{old}} = \text{exp}$ : writes  $m(a) := \text{new}$ , returns ( $\text{true}, v_{\text{old}}$ )
3. Else: memory unchanged, returns ( $\text{false}, v_{\text{old}}$ )

Write execution semantics.

```
Definition exec_write (m : Memory) (a : Addr) (v : Val) : Memory * OpResult :=
  (mem_write m a v, ResWriteAck).
```

$\text{exec\_write}(m, a, v)$  writes value  $v$  to address  $a$  and returns  $\text{ResWriteAck}$ . No informational return value.

Read execution semantics.

```
Definition exec_read (m : Memory) (a : Addr) : Memory * OpResult :=
  (m, ResReadVal (mem_read m a)).
```

$\text{exec\_read}(m, a)$  returns the current value  $m(a)$  without modifying memory.

General operation dispatch.

```
Definition exec_op (m : Memory) (op : Op) : Memory * OpResult :=
  match op with
  | OpWrite a v => exec_write m a v
  | OpRead a => exec_read m a
  | OpFADD a delta => exec_fadd m a delta
  | OpCAS a exp new_v => exec_cas m a exp new_v
  end.
```

$\text{exec\_op}$  dispatches to the appropriate execution function based on the operation type.

Write operations are idempotent.

```
Lemma write_idempotent : forall m a v,
  fst (exec_write (fst (exec_write m a v)) a v) = fst (exec_write m a v).
```

**Lemma (Write Idempotency):** For any memory  $m$ , address  $a$ , and value  $v$ : executing  $\text{Write}(a, v)$  twice produces the same memory state as executing it once.

FADD is not idempotent when  $\text{delta} \neq 0$ .

```
Lemma fadd_not_idempotent : forall m a delta,
  delta <> 0 ->
  fst (exec_fadd (fst (exec_fadd m a delta)) a delta) <> fst (exec_fadd m a delta).
```

**Lemma (FADD Non-Idempotency):** For  $\delta \neq 0$ : executing  $\text{FADD}(a, \delta)$  twice yields  $m(a) = v_{\text{old}} + 2\delta$ , not  $v_{\text{old}} + \delta$ . Therefore FADD is not idempotent.

## 2.3 Execution Traces (Core/Traces.v)

Events in a distributed execution.

```

Inductive Event : Type :=
| EvSend : Op -> Event          (* Sender posts operation *)
| EvTimeout : Op -> Event       (* Sender observes timeout *)
| EvCompletion : Op -> OpResult -> Event
| EvPacketLost : Op -> Event    (* Packet lost in network *)
| EvAckLost : Op -> Event       (* ACK lost in network *)
| EvReceive : Op -> Event       (* Receiver gets packet *)
| EvExecute : Op -> OpResult -> Event
| EvAppConsume : Addr -> Val -> Event
| EvAppReuse : Addr -> Val -> Event.

```

An *event* records an occurrence in the distributed system:

- **Sender-side:** Send, Completion, Timeout
- **Network:** PacketLost, AckLost
- **Receiver-side:** Receive, Execute
- **Application:** Consume (read data), Reuse (overwrite buffer)

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Traces.v:31

A trace is a sequence of events.

```

Definition Trace := list Event.

```

A *trace*  $\mathcal{T}$  is a sequence of events representing one possible execution.

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Traces.v:36-39

What the sender can observe.

```

Inductive SenderObs : Type :=
| ObsSent : Op -> SenderObs
| ObsCompleted : Op -> OpResult -> SenderObs
| ObsTimeout : Op -> SenderObs.

```

A *sender observation* is one of: operation sent, completion received, or timeout. The sender **cannot** observe network events (PacketLost, AckLost) or receiver events (Execute).

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Traces.v:42-49

Projection to sender-observable events.

```

Fixpoint sender_view (t : Trace) : list SenderObs :=
  match t with
  | [] => []
  | EvSend op :: rest => ObsSent op :: sender_view rest
  | EvCompletion op res :: rest => ObsCompleted op res :: sender_view rest
  | EvTimeout op :: rest => ObsTimeout op :: sender_view rest
  | _ :: rest => sender_view rest (* Cannot observe! *)
  end.

```

The *sender view*  $\sigma(\mathcal{T})$  projects a trace to only sender-observable events. This is the **central abstraction**: the sender's decision can only depend on  $\sigma(\mathcal{T})$ .

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Traces.v:54-55

Two traces with identical sender views.

```

Definition sender_indistinguishable (t1 t2 : Trace) : Prop :=
  sender_view t1 = sender_view t2.

```

Traces  $\mathcal{T}_1$  and  $\mathcal{T}_2$  are *sender-indistinguishable* if  $\sigma(\mathcal{T}_1) = \sigma(\mathcal{T}_2)$ .

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Traces.v:66-67

Operation was executed at receiver.

```
Definition op_executed (t : Trace) (op : Op) : Prop :=  
  exists res, In (EvExecute op res) t.
```

Operation  $op$  was *executed* in trace  $\mathcal{T}$  if  $\text{EvExecute}(op, r) \in \mathcal{T}$  for some result  $r$ .

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Traces.v:74-75

Sender observed timeout for operation.

```
Definition sender_saw_timeout (t : Trace) (op : Op) : Prop :=  
  In (EvTimeout op) t.
```

The sender *saw timeout* for operation  $op$  if  $\text{EvTimeout}(op) \in \mathcal{T}$ .

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Traces.v:80-89

Memory state after executing events.

```
Fixpoint memory_after_events (m : Memory) (events : list Event) : Memory :=  
  match events with  
  | [] => m  
  | EvExecute op _ :: rest =>  
    let (m', _) := exec_op m op in  
    memory_after_events m' rest  
  | EvAppReuse a v :: rest =>  
    memory_after_events (mem_write m a v) rest  
  | _ :: rest => memory_after_events m rest  
end.
```

Compute the memory state after a sequence of events. Only `EvExecute` (applying `exec_op`) and `EvAppReuse` (writing a new value) modify memory. Other events (sends, receives, losses, timeouts) leave memory unchanged.

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Traces.v:92-93

Memory state at end of trace.

```
Definition final_memory (t : Trace) : Memory :=  
  memory_after_events init_memory t.
```

The *final memory* of a trace is the result of executing all events starting from `init_memory`.

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## 2.4 Overlay Properties (Core/Properties.v)

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Properties.v:109

An overlay decision function.

```
Definition Overlay := Trace -> Op -> bool.
```

An *overlay* is a function  $O : \mathcal{T} \times \text{Op} \rightarrow \{\text{retransmit}, \text{skip}\}$  that can observe the full trace to make retransmission decisions.

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Properties.v:114-117

Transparency constraint on overlays.

```

Definition IsTransparent (overlay : Overlay) : Prop :=
  forall t1 t2 op,
    sender_view t1 = sender_view t2 ->
      overlay t1 op = overlay t2 op.

```

An overlay is *transparent* if its decision depends **only** on the sender view: whenever two traces have identical sender views ( $\sigma(\mathcal{T}_1) = \sigma(\mathcal{T}_2)$ ), the overlay must make the same retransmission decision. This is the key constraint — the overlay cannot use information beyond what the sender observes.

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Properties.v:120-123

A transparent failover mechanism.

```

Record TransparentOverlay := {
  decide_retransmit : Overlay;
  transparency : IsTransparent decide_retransmit;
}.

```

A *transparent overlay* bundles an overlay function with a proof of its transparency. The `transparency` field witnesses that the overlay's decisions depend only on `sender_view`.

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Properties.v:70-76

Count executions of an operation.

```

Fixpoint execution_count (t : Trace) (op : Op) : nat :=
  match t with
  | [] => 0
  | EvExecute op' _ :: rest =>
    (if op_eq op op' then 1 else 0) + execution_count rest op
  | _ :: rest => execution_count rest op
  end.

```

$\text{count}(\mathcal{T}, \text{op})$  counts how many times operation `op` was executed in trace  $\mathcal{T}$ .

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Properties.v:79-80

At-most-once execution semantics.

```

Definition AtMostOnce (t : Trace) : Prop :=
  forall op, execution_count t op <= 1.

```

A trace satisfies *at-most-once* if every operation executes at most once.

### 3 Theorem 1: Indistinguishability (Theorem1/)

#### 3.1 Protocol Parameters (Theorem1/Indistinguishability.v)

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Indistinguishability.v:22

Data write operation constructor.

```
Definition W_D (v : Val) : Op := OpWrite A_data v.
```

$W_{D(v)}$ : an RDMA Write of value  $v$  to the data address  $A\_data$ .

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Indistinguishability.v:25

Flag write operation.

```
Definition W_F : Op := OpWrite A_flag 1.
```

$W_F$ : an RDMA Write of value 1 to the flag address  $A\_flag$ , signaling data is ready.

#### 3.2 Trace Construction (Theorem1/Indistinguishability.v)

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Indistinguishability.v:32-36

Trace where packet is lost.

```
Definition T1_packet_loss (V1 : Val) : Trace :=
[ EvSend (W_D V1);
  EvPacketLost (W_D V1);
  EvTimeout (W_D V1) ].
```

$\mathcal{T}_1$  (Packet Loss): Sender posts write, packet lost in network, sender times out. Operation **not executed**. Correct action: **retransmit**.

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Indistinguishability.v:44-55

Trace where ACK is lost but operation executed.

```
Definition T2_ack_loss (V1 V_new : Val) : Trace :=
[ EvSend (W_D V1);
  EvReceive (W_D V1);
  EvExecute (W_D V1) ResWriteAck;
  EvSend W_F; EvReceive W_F; EvExecute W_F ResWriteAck;
  EvAppConsume A_data V1;
  EvAppReuse A_data V_new;
  EvAckLost (W_D V1);
  EvTimeout (W_D V1) ].
```

$\mathcal{T}_2$  (ACK Loss): Sender posts write, receiver executes it, flag set, app consumes data and reuses buffer with new value  $V'$ , ACK lost, sender times out. Operation **was executed**. Correct action: **do not retransmit** (would corrupt  $V'$ ).

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Indistinguishability.v:77-101

Key lemma: same sender view, different execution status.

```
Lemma indistinguishable_wrt_WD_execution : forall V1 V_new,
  sender_saw_timeout (T1_packet_loss V1) (W_D V1) /\
  sender_saw_timeout (T2_ack_loss V1 V_new) (W_D V1) /\
  ~ op_executed (T1_packet_loss V1) (W_D V1) /\
  op_executed (T2_ack_loss V1 V_new) (W_D V1).
```

**Lemma (Indistinguishability):** Both traces produce timeout observation.  $\mathcal{T}_1$ : operation not executed.  $\mathcal{T}_2$ : operation executed. The sender view is **identical** but execution status **differs**.

### 3.3 Main Impossibility (Theorem1/Impossibility.v)

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Impossibility.v:65-71

Safety: no ghost writes.

```
Definition ProvidesSafety (overlay : TransparentOverlay) : Prop :=
  forall t op V_new,
    In (EvAppReuse A_data V_new) t ->
      op_executed t op ->
        overlay.(decide_retransmit) t op = false.
```

*Safety:* If operation was executed and memory was reused, the overlay must **not** retransmit (to avoid overwriting new data).  
Note: `decide_retransmit` takes the full trace `t`, but the transparency proof ensures the decision depends only on `sender_view t`.

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Impossibility.v:76-83

Liveness: lost packets retransmitted.

```
Definition ProvidesLiveness (overlay : TransparentOverlay) : Prop :=
  forall t op,
    In (EvSend op) t ->
      ~ op_executed t op ->
        sender_saw_timeout t op ->
          overlay.(decide_retransmit) t op = true.
```

*Liveness:* If operation was sent but not executed (packet lost), and sender timed out, the overlay **must** retransmit.

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Impossibility.v:48-52

Transparency constraint on overlay.

```
Definition Transparent (overlay : TransparentOverlay) : Prop :=
  IsTransparent overlay.(decide_retransmit).
```

*Transparency:* if two traces have identical sender views, the overlay must make the same retransmission decision. This is now defined as `IsTransparent` applied to the overlay's decision function, ensuring the overlay cannot use information beyond `sender_view`.

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Impossibility.v:27-29

No application-level ACKs.

```
Definition SilentReceiver : Prop :=
  forall t : Trace, forall e : Event,
    In e t -> ~ AppAckEvent e.
```

*Silent receiver:* the protocol does not generate application-level acknowledgments. The sender learns nothing beyond transport-level signals.

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Impossibility.v:42-45

Application may reuse memory after consuming.

```
Definition MemoryReuseAllowed : Prop :=
  forall V1 V_new, exists t,
    In (EvAppConsume A_data V1) t /\ In (EvAppReuse A_data V_new) t.
```

*Memory reuse:* after consuming data, the application may immediately overwrite the buffer with new data  $V'$ .

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Impossibility.v:112-115



Concrete packet-loss trace.

```
Definition T1_concrete : Trace :=  
  [ EvSend op; EvPacketLost op; EvTimeout op ].
```

$\mathcal{T}_1$ : sender sends  $op$ , packet is lost, sender times out. Operation **not executed**.

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Impossibility.v:124-130

Concrete ACK-loss trace with memory reuse.

```
Definition T2_concrete : Trace :=  
  [ EvSend op; EvReceive op; EvExecute op ResWriteAck;  
    EvAppReuse A_data V_new; EvAckLost op; EvTimeout op ].
```

$\mathcal{T}_2$ : sender sends  $op$ , receiver executes it, app reuses memory, ACK lost, sender times out. Operation **was executed**.

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Impossibility.v:167-170

T1 contains a send event.

```
Lemma T1_has_send : In (EvSend op) T1_concrete.
```

The packet-loss trace  $\mathcal{T}_1$  contains  $EvSend\ op$ .

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Impossibility.v:140-149

T1 does not execute the operation.

```
Lemma T1_not_executed : ~ op_executed T1_concrete op.
```

$\mathcal{T}_1$  has no  $EvExecute$  event for  $op$  — the operation was **not** executed (packet was lost before reaching receiver).

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Impossibility.v:160-164

T1 contains a timeout.

```
Lemma T1_has_timeout : sender_saw_timeout T1_concrete op.
```

$\mathcal{T}_1$  contains  $EvTimeout\ op$  — the sender observed a timeout.

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Impossibility.v:152-157

T2 executes the operation.

```
Lemma T2_executed : op_executed T2_concrete op.
```

$\mathcal{T}_2$  contains  $EvExecute\ op\ ResWriteAck$  — the operation **was** executed at the receiver.

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Impossibility.v:173-177

T2 contains memory reuse.

```
Lemma T2_has_reuse : In (EvAppReuse A_data V_new) T2_concrete.
```

$\mathcal{T}_2$  contains  $EvAppReuse\ A\_data\ V\_new$  — the application has reused the memory buffer with new data  $V'$ .

Both traces have identical sender view.

```
Lemma sender_views_equal :
  sender_view T1_concrete = sender_view T2_concrete.
Proof. unfold T1_concrete, T2_concrete. simpl. reflexivity. Qed.
```

**Lemma:**  $\sigma(\mathcal{T}_1) = \sigma(\mathcal{T}_2) = [\text{ObsSent}(W_D), \text{ObsTimeout}(W_D)]$ .

Line-by-line proof annotation:

unfold T1_concrete, T2_concrete.	<b>Initial state</b> — <i>Context:</i> (section variables V1, V_new : Val, op := OpWrite A_data V1). <i>Goal:</i> sender_view T1_concrete = sender_view T2_concrete. Inline the definitions of both concrete traces. <i>Goal becomes:</i> sender_view [EvSend op; EvPacketLost op; EvTimeout op] = sender_view [EvSend op; EvReceive op; EvExecute op ResWriteAck; EvAppReuse A_data V_new; EvAckLost op; EvTimeout op].
simpl.	Compute sender_view on each list: the fixpoint filters out non-sender events (EvPacketLost, EvReceive, EvExecute, EvAppReuse, EvAckLost), keeping only EvSend $\rightarrow$ ObsSent and EvTimeout $\rightarrow$ ObsTimeout. <i>Goal becomes:</i> [ObsSent op; ObsTimeout op] = [ObsSent op; ObsTimeout op].
reflexivity.	The two sides are syntactically identical. Rocq's definitional equality closes the goal. <i>No goals remaining.</i>

**THEOREM 1:** No transparent overlay provides both safety and liveness.

```
Theorem impossibility_safe_retransmission :
  forall overlay : TransparentOverlay,
    Transparent overlay ->
      SilentReceiver -> MemoryReuseAllowed ->
        ~ (ProvidesSafety overlay /\ ProvidesLiveness overlay).
Proof.
  intros overlay Htrans Hsilent Hreuse [Hsafe Hlive].
  pose (V1 := 1). pose (V_new := 2).
  pose (the_op := OpWrite A_data V1).
  pose (t1 := T1_concrete V1). pose (t2 := T2_concrete V1 V_new).
  assert (Hlive_T1 : overlay.(decide_retransmit) t1 the_op = true).
  { apply (Hlive ...). apply T1_has_send. apply T1_not_executed. apply T1_has_timeout. }
  assert (Hsafe_T2 : overlay.(decide_retransmit) t2 the_op = false).
  { apply (Hsafe ...). apply T2_has_reuse. apply T2_executed. }
  assert (Hviews_eq : sender_view t1 = sender_view t2).
  { apply sender_views_equal. }
  assert (Hdec_eq : overlay.(decide_retransmit) t1 the_op =
    overlay.(decide_retransmit) t2 the_op).
  { apply Htrans. exact Hviews_eq. }
  rewrite Hlive_T1 in Hdec_eq. rewrite Hsafe_T2 in Hdec_eq.
  discriminate.
Qed.
```

**Theorem 1 (Impossibility of Safe Retransmission):** Under transparency, no overlay can provide both safety and liveness.

Line-by-line proof annotation:

intros overlay Htrans Hsilent Hreuse [Hsafe Hlive].	<b>Initial state</b> — <i>Goal:</i> forall overlay, Transparent overlay -> SilentReceiver -> ... -> ~ (ProvidesSafety overlay /\ ProvidesLiveness overlay). Introduce all hypotheses. The ~ unfolds to ... -> False. The final [Hsafe Hlive] destructs the conjunction. <i>Context:</i> overlay : TransparentOverlay, Htrans : Transparent overlay, Hsilent : SilentReceiver, Hreuse : MemoryReuseAllowed, Hsafe : ProvidesSafety overlay, Hlive : ProvidesLiveness overlay. <i>Goal:</i> False.
---	---

<code>pose (V1 := 1). pose (V_new := 2).</code>	Bind concrete values. <i>Context adds:</i> $V1 := 1 : \text{nat}, V\_new := 2 : \text{nat}$ . <i>Goal:</i> <code>False</code> (unchanged).
<code>pose (the_op := OpWrite A_data V1).</code>	<i>Context adds:</i> <code>the_op := OpWrite A_data 1 : Op</code> . <i>Goal:</i> <code>False</code> .
<code>pose (t1 := T1_concrete V1).</code>	<i>Context adds:</i> <code>t1 := T1_concrete 1 : Trace</code> (the packet-loss trace). <i>Goal:</i> <code>False</code> .
<code>pose (t2 := T2_concrete V1 V_new).</code>	<i>Context adds:</i> <code>t2 := T2_concrete 1 2 : Trace</code> (the ACK-loss + reuse trace). <i>Goal:</i> <code>False</code> .
<code>assert (Hlive_T1 : ... = true). { apply Hlive ... }</code>	Establishes <code>Hlive_T1 : decide_retransmit overlay t1 the_op = true</code> . The sub-proof applies <code>Hlive</code> (liveness) to $\mathcal{T}_1$ : sent ( <code>T1_has_send</code> ), not executed ( <code>T1_not_executed</code> ), timed out ( <code>T1_has_timeout</code> ), so the overlay must retransmit. Note: <code>decide_retransmit</code> now takes the trace directly. <i>Goal:</i> <code>False</code> (unchanged after assert is discharged).
<code>assert (Hsafe_T2 : ... = false). { apply Hsafe ... }</code>	Establishes <code>Hsafe_T2 : decide_retransmit overlay t2 the_op = false</code> . The sub-proof applies <code>Hsafe</code> (safety) to $\mathcal{T}_2$ : memory reused ( <code>T2_has_reuse</code> ), operation executed ( <code>T2_executed</code> ), so the overlay must not retransmit. <i>Goal:</i> <code>False</code> .
<code>assert (Hviews_eq : sender_view t1 = sender_view t2).</code>	Establishes <code>Hviews_eq : sender_view t1 = sender_view t2</code> via <code>sender_views_equal</code> . Both traces yield <code>[ObsSent op; ObsTimeout op]</code> . <i>Goal:</i> <code>False</code> .
<code>assert (Hdec_eq : ...). { apply Htrans. exact Hviews_eq. }</code>	Establishes <code>Hdec_eq : decide_retransmit overlay t1 the_op = decide_retransmit overlay t2 the_op</code> by applying <code>Htrans</code> (transparency): <code>Htrans</code> is <code>IsTransparent decide_retransmit</code> , so identical sender views $\Rightarrow$ identical decisions even though the traces differ. <i>Goal:</i> <code>False</code> .
<code>rewrite Hlive_T1 in Hdec_eq.</code>	Substitute the LHS of <code>Hdec_eq</code> using <code>Hlive_T1</code> . <i>Hdec_eq becomes:</i> <code>true = decide_retransmit overlay t2 the_op</code> . <i>Goal:</i> <code>False</code> .
<code>rewrite Hsafe_T2 in Hdec_eq.</code>	Substitute the RHS using <code>Hsafe_T2</code> . <i>Hdec_eq becomes:</i> <code>true = false</code> . <i>Goal:</i> <code>False</code> .
<code>discriminate.</code>	<code>true</code> and <code>false</code> are distinct constructors of <code>bool</code> . <code>discriminate</code> derives <code>False</code> from <code>true = false</code> . <i>No goals remaining.</i>

## 4 Theorem 2: Non-Idempotency (Theorem2/)

### 4.1 Idempotency Definition (Theorem2/Atomics.v)

#rocq\_name

Atomics.v:26-29

Formal definition of idempotency.

```
Definition Idempotent (op : Op) (m : Memory) : Prop :=
  let (m1, r1) := exec_op m op in
  let (m2, r2) := exec_op m1 op in
  m1 = m2 /\ r1 = r2.
```

Operation  $op$  is *idempotent* on memory  $m$  iff executing twice yields:

1. Same memory state:  $m_1 = m_2$
2. Same result:  $r_1 = r_2$

#rocq\_name

Atomics.v:33-70

**THEOREM 2a:** FADD is not idempotent.

```
Theorem fadd_non_idempotent : forall a delta m,
  delta > 0 -> ~ Idempotent (OpFADD a delta) m.
```

**Theorem 2a (FADD Non-Idempotency):** For  $\delta > 0$ ,  $\text{FADD}(a, \delta)$  is not idempotent.

**Proof:** Let  $m(a) = v$ . After one FADD:  $m_1(a) = v + \delta$ . After retry:  $m_2(a) = v + 2\delta$ . Since  $\delta > 0$ :  $v + \delta \neq v + 2\delta$ .  $\square$

#rocq\_name

Atomics.v:75-110

CAS idempotency characterization.

```
Theorem cas_idempotent_iff : forall a expected new_val m,
  Idempotent (OpCAS a expected new_val) m <->
  (mem_read m a <= expected /\ expected = new_val).
```

**Theorem:** CAS is idempotent iff either:

1. It fails (current value  $\neq$  expected), OR
2.  $\text{expected} = \text{new\_val}$  (no actual change)

Otherwise (successful CAS with actual change): **not idempotent**.

### 4.2 FADD Retry (Theorem2/FADD.v)

#rocq\_name

FADD.v:35-40

Value after one FADD.

```
Lemma single_fadd_value :
  mem_read state_after_one target_addr = delta.
```

After one  $\text{FADD}(a, \delta)$  from initial state:  $m(a) = \delta$ .

#rocq\_name

FADD.v:42-50

Value after two FADDs.

```
Lemma double_fadd_value :
  mem_read state_after_two target_addr = 2 * delta.
```

After retry (two FADDs):  $m(a) = 2\delta$ .

#rocq\_name

FADD.v:59-65

FADD retry corrupts state.

```
Theorem fadd_retry_state_corruption :  
  mem_read state_after_two target_addr <> mem_read state_after_one target_addr.
```

**Theorem:** FADD retry produces incorrect state:  $2\delta \neq \delta$  when  $\delta > 0$ .

### 4.3 CAS Concurrent Scenario (Theorem2/CAS.v)

#rocq\_name

CAS.v:106-113

**THEOREM 2b:** CAS can succeed twice.

```
Theorem cas_double_success :  
  result_1 = ResCASResult true 0 /\  
  result_3 = ResCASResult true 0.
```

**Theorem 2b (CAS Double Success):** Under concurrent modification, a CAS retry can succeed even after the original succeeded (ABA problem).

**Construction:**

1.  $S.CAS(0 \rightarrow 1)$  succeeds,  $m(a) = 1$
2. Concurrent  $P.CAS(1 \rightarrow 0)$  succeeds,  $m(a) = 0$
3.  $S$  retries  $CAS(0 \rightarrow 1)$ : **succeeds again!**

Single logical CAS executed twice.  $P$ 's modification silently overwritten.

### 4.4 Combined Result (Theorem2/Atomics.v)

#rocq\_name

Atomics.v:328-355

No transparent overlay for non-idempotent ops.

```
Theorem no_transparent_overlay_non_idempotent :  
  IndistinguishableExecutionStatus ->  
  forall (overlay : TransparentOverlay) (op : Op) (m : Memory),  
    ~ Idempotent op m ->  
    ~ (LiveRetransmit overlay /\  
      (forall t, op_executed t op -> overlay.(decide_retransmit) t op = false)).
```

**Theorem (Combined):** Given indistinguishable execution status (Theorem 1) and non-idempotency (Theorem 2), no transparent overlay can provide both liveness (retry on packet loss) and safety (no retry after execution). Note: `decide_retransmit` now takes the trace directly; the transparency proof (in the `TransparentOverlay` record) ensures decisions depend only on `sender_view`.

#rocq\_name

Atomics.v:358-387

Corollary for atomic operations.

```
Corollary no_transparent_overlay_atomics :  
  IndistinguishableExecutionStatus ->  
  forall (overlay : TransparentOverlay),  
    (forall a delta, delta > 0 ->  
      ~ (LiveRetransmit overlay /\  
        (forall t, op_executed t (OpFADD a delta) ->  
          overlay.(decide_retransmit) t (OpFADD a delta) = false))) /\  
    (forall a expected new_val, ... ->  
      ~ (LiveRetransmit overlay /\  
        (forall t, op_executed t (OpCAS a expected new_val) ->  
          overlay.(decide_retransmit) t (OpCAS a expected new_val) = false))).
```

**Corollary:** No transparent overlay supports FADD (with  $\delta > 0$ ) or successful CAS (with `exp`  $\neq$  `new`). The inline safety condition requires that the overlay not retransmit when the operation has been executed.

## 5 Theorem 3: Consensus Hierarchy (Theorem3/)

### 5.1 Consensus Framework (Theorem3/ConsensusNumber.v)

#rocq\_name

ConsensusNumber.v:85-89

Processes that executed before a given process.

```
Fixpoint before_process (exec : list nat) (i : nat) : list nat :=
  match exec with
  | [] => []
  | x :: xs => if Nat.eqb x i then [] else x :: before_process xs i
  end.
```

`before_process exec i` returns the list of processes that executed before process  $i$  in execution order `exec`. Scans the list until finding  $i$ , collecting all predecessors.

#rocq\_name

ConsensusNumber.v:91

First process to execute.

```
Definition winner (exec : list nat) : nat := hd 0 exec.
```

The *winner* of an execution is the first process in the execution order.

#rocq\_name

ConsensusNumber.v:667-668

Prior writers in an execution.

```
Definition writers_before (exec : list nat) (i : nat) : list nat :=
  before_process exec i.
```

`writers_before exec i = before_process exec i`: the processes that wrote to memory before process  $i$  executed. Determines the memory state that  $i$  observes.

#rocq\_name

ConsensusNumber.v:731-732

Solo execution of process 0.

```
Definition solo_0 : list nat := [0].
Definition solo_1 : list nat := [1].
```

*Solo executions*: `solo_0 = [0]` and `solo_1 = [1]`. In a solo execution, only one process runs. Critically, `writers_before solo_0 0 = []` and `writers_before solo_1 1 = []` — both solo processes see empty (initial) memory.

#rocq\_name

ConsensusNumber.v:400-404

Consensus number type.

```
Definition ConsensusNum := option nat. (* None = infinity *)
Definition cn_one : ConsensusNum := Some 1.
Definition cn_two : ConsensusNum := Some 2.
Definition cn_infinity : ConsensusNum := None.
```

*Consensus number* is modeled as `option nat`, where `None` represents  $\infty$ . Constants: `CN = 1`, `CN = 2`, `CN =  $\infty$` .

#rocq\_name

ConsensusNumber.v:414-419

Strict ordering on consensus numbers.

```

Definition cn_lt (c1 c2 : ConsensusNum) : Prop :=
  match c1, c2 with
  | Some n1, Some n2 => n1 < n2
  | Some _, None => True
  | None, _ => False
end.

```

$\text{cn}_{\text{lt}(c_1, c_2)}$ : strict ordering. Any finite CN is less than  $\infty$ ;  $\infty$  is not less than anything.

#### #rocq\_name

ConsensusNumber.v:1146-1149

RDMA consensus number assignments.

```

Definition rdma_read_cn : ConsensusNum := cn_one. (* CN(Read) = 1 *)
Definition rdma_write_cn : ConsensusNum := cn_one. (* CN(Write) = 1 *)
Definition rdma_fadd_cn : ConsensusNum := cn_two. (* CN(FADD) = 2 *)
Definition rdma_cas_cn : ConsensusNum := cn_infinity. (* CN(CAS) = inf *)

```

RDMA consensus number assignments:  $\text{CN}(\text{Read}) = \text{CN}(\text{Write}) = 1$ ,  $\text{CN}(\text{FADD}) = 2$ ,  $\text{CN}(\text{CAS}) = \infty$ .

#### #rocq\_name

ConsensusNumber.v:681-684

Constraint on read/write observations.

```

Definition valid_rw_observation (obs : list nat -> nat -> nat) : Prop :=
  forall exec1 exec2 i j,
    writers_before exec1 i = writers_before exec2 j ->
      obs exec1 i = obs exec2 j.

```

*Read/Write Observation Constraint*: Observation depends only on memory state (prior writes). If two executions have the same prior write history at positions  $i, j$ , observations must be equal. This captures: reads see memory values, writes return only acknowledgment.

#### #rocq\_name

ConsensusNumber.v:214-217

Constraint on FADD observations.

```

Definition valid_fadd_observation (obs : list nat -> nat -> nat) : Prop :=
  forall exec1 exec2 i,
    same_elements (procs_before_as_set exec1 i) (procs_before_as_set exec2 i) ->
      obs exec1 i = obs exec2 i.

```

*FADD Observation Constraint*: Observation depends only on the **set** of prior processes (not order). This captures: FADD returns sum, and addition is commutative ( $\delta_0 + \delta_1 = \delta_1 + \delta_0$ ).

#### #rocq\_name

ConsensusNumber.v:202-210

Prior processes as a multiset.

```

Definition procs_before_as_set (exec : list nat) (i : nat) : list nat :=
  before_process exec i.

Definition same_elements (l1 l2 : list nat) : Prop :=
  forall x, count_occ Nat.eq_dec l1 x = count_occ Nat.eq_dec l2 x.

```

$\text{procs\_before\_as\_set exec i}$  returns the multiset of processes before  $i$ .  $\text{same\_elements}$  holds when two lists have identical element counts — i.e., they are permutations of each other.

#### #rocq\_name

ConsensusNumber.v:221-222

Critical executions for FADD CN=2 proof.

```

Definition exec_012 : list nat := [0; 1; 2].
Definition exec_102 : list nat := [1; 0; 2].

```

Two 3-process executions that differ only in the order of P0 and P1. Process P2 executes last in both. Since  $\text{procs\_before\_as\_set exec\_012 } 2 = \{0,1\} = \text{procs\_before\_as\_set exec\_102 } 2$ , P2 sees the same FADD observation in both (commutativity of addition).

#rocq\_name

ConsensusNumber.v:238

Identity input function.

```

Definition inp (i : nat) : nat := i.

```

Each process  $i$ 's input is  $i$  itself. So the validity requirement is: the decision must equal the winner's ID.

#rocq\_name

ConsensusNumber.v:225-235

P2 sees same prior process set in both executions.

```

Lemma p2_same_prior_set :
  same_elements (procs_before_as_set exec_012 2) (procs_before_as_set exec_102 2).

```

**Lemma:**  $\text{procs\_before\_as\_set exec\_012 } 2 = \{0,1\}$  and  $\text{procs\_before\_as\_set exec\_102 } 2 = \{1,0\}$ . These are the same multiset (just reordered), so `same_elements` holds. This is the key commutativity fact.

#rocq\_name

ConsensusNumber.v:249-258

P2 sees same observation in both FADD executions.

```

Theorem fadd_p2_indistinguishable_general :
  forall obs : list nat -> nat -> nat,
    valid_fadd_observation obs ->
      obs exec_012 2 = obs exec_102 2.

```

**Lemma:** For any valid FADD observation function, process 2 sees the same value in `exec_012` and `exec_102`. This follows from `valid_fadd_observation` and `p2_same_prior_set`.

#rocq\_name

ConsensusNumber.v:1073-1076

Constraint on CAS observations.

```

Definition valid_cas_observation (obs : list nat -> nat -> nat) : Prop :=
  forall exec i, exec <> [] -> obs exec i = winner exec.

```

*CAS Observation Constraint:* Observation equals the winner (first process to execute). This is **derived** from CAS semantics: first CAS to sentinel wins, all later fail, all read the winner's value.

#rocq\_name

ConsensusNumber.v:761-778

CN(Register) = 1: Cannot solve 2-consensus.

```

Theorem readwrite_2consensus_impossible_same_protocol :
  forall obs : list nat -> nat -> nat,
    valid_rw_observation obs ->
      ~ exists (decide : nat -> nat),
        decide (obs solo_0 0) = 0 /\
        decide (obs solo_1 1) = 1.
Proof.
  intros obs Hvalid [decide [Hval0 Hval1]].
  assert (Hsame : obs solo_0 0 = obs solo_1 1).

```



```

{ unfold valid_rw_observation in Hvalid. apply Hvalid. reflexivity. }
rewrite Hsame in Hval0.
rewrite Hval0 in Hval1.
discriminate.
Qed.

```

**Theorem (Register CN = 1):** No read/write protocol can solve 2-consensus.

Line-by-line proof annotation:

intros obs Hvalid [decide [Hval0 Hval1]].	<b>Initial state</b> — <i>Goal:</i> forall obs, valid_rw_observation obs -> ~ exists decide, decide (obs solo_0 0) = 0 /\ decide (obs solo_1 1) = 1. The ~ unfolds to ... -> False. Introduce obs, Hvalid, then destruct the existential and conjunction. <i>Context:</i> obs : list nat -> nat -> nat, Hvalid : valid_rw_observation obs, decide : nat -> nat, Hval0 : decide (obs solo_0 0) = 0, Hval1 : decide (obs solo_1 1) = 1. <i>Goal:</i> False.
assert (Hsame : obs solo_0 0 = obs solo_1 1).	Begin sub-proof for the claim that both solo executions produce the same observation. <i>Sub-goal:</i> obs solo_0 0 = obs solo_1 1.
{ unfold valid_rw_observation in Hvalid.	Expand valid_rw_observation in Hvalid. <i>Hvalid becomes:</i> forall exec1 exec2 i j, writers_before exec1 i = writers_before exec2 j -> obs exec1 i = obs exec2 j. <i>Sub-goal:</i> obs solo_0 0 = obs solo_1 1 (unchanged).
apply Hvalid.	Apply Hvalid with exec1 := solo_0, i := 0, exec2 := solo_1, j := 1. <i>Sub-goal becomes:</i> writers_before solo_0 0 = writers_before solo_1 1.
reflexivity. }	writers_before solo_0 0 computes to before_process [0] 0 = [] (no writers precede P0 in [0]). writers_before solo_1 1 computes to before_process [1] 1 = [] (no writers precede P1 in [1]). Both are [], so reflexivity closes the sub-goal. <i>This is the fundamental insight: both solo processes see identical (empty) memory.</i> <i>Context adds:</i> Hsame : obs solo_0 0 = obs solo_1 1. <i>Goal:</i> False.
rewrite Hsame in Hval0.	Rewrite obs solo_0 0 to obs solo_1 1 in Hval0 using Hsame. <i>Hval0 becomes:</i> decide (obs solo_1 1) = 0. <i>Goal:</i> False.
rewrite Hval0 in Hval1.	Both Hval0 and Hval1 now refer to decide (obs solo_1 1). Substitute the value from Hval0. <i>Hval1 becomes:</i> 0 = 1. <i>Goal:</i> False.
discriminate.	0 and 1 are distinct constructors (0 vs S 0). discriminate derives False. <i>No goals remaining.</i>

#rocq\_name

ConsensusNumber.v:261-278

CN(FADD) = 2: Cannot solve 3-consensus.

```

Theorem fadd_cannot_solve_3consensus :
  forall obs : list nat -> nat -> nat,
    valid_fadd_observation obs ->
      ~ exists (decide : nat -> nat),
        decide (obs exec_012 2) = inp (winner exec_012) /\
        decide (obs exec_102 2) = inp (winner exec_102).
Proof.
  intros obs Hvalid [decide [Hval012 Hval102]].
  assert (Hsame : obs exec_012 2 = obs exec_102 2).
  { exact (fadd_p2_indistinguishable_general obs Hvalid). }
  rewrite Hsame in Hval012.
  simpl in Hval012, Hval102.
  rewrite Hval012 in Hval102.
  discriminate.
Qed.

```

**Theorem (FADD CN = 2):** FADD cannot solve 3-consensus.

Line-by-line proof annotation:

intros obs Hvalid [decide [Hval012 Hval102]].	<b>Initial state</b> — <i>Goal:</i> forall obs, valid_fadd_observation obs -> ~ exists decide, decide (obs exec_012 2) = inp (winner exec_012) /\ decide (obs exec_102 2) = inp (winner
---	---

	<code>exec_102).</code> Introduce and destruct. <i>Context:</i> <code>obs : list nat -&gt; nat -&gt; nat,</code> <code>Hvalid : valid_fadd_observation obs, decide : nat -&gt; nat,</code> <code>Hval012 : decide (obs exec_012 2) = inp (winner exec_012),</code> <code>Hval102 : decide (obs exec_102 2) = inp (winner exec_102).</code> <i>Goal:</i> <code>False.</code>
<code>assert (Hsame : obs exec_012 2 = obs exec_102 2).</code>	Claim: process 2 sees the same observation in both executions. <i>Sub-goal:</i> <code>obs exec_012 2 = obs exec_102 2.</code>
<code>{ exact (fadd_p2_indistinguishable_general obs Hvalid). }</code>	Apply the indistinguishability lemma directly. It uses <code>valid_fadd_observation</code> and the fact that <code>procs_before_as_set exec_012 2 = {0,1} = procs_before_as_set exec_102 2</code> (same set, just reordered). Since FADD addition is commutative ( $\delta_0 + \delta_1 = \delta_1 + \delta_0$ ), observations must be equal. <i>Context adds:</i> <code>Hsame : obs exec_012 2 = obs exec_102 2.</code> <i>Goal:</i> <code>False.</code>
<code>rewrite Hsame in Hval012.</code>	Rewrite using <code>Hsame</code> . <i>Hval012 becomes:</i> <code>decide (obs exec_102 2) = inp (winner exec_012).</code> <i>Goal:</i> <code>False.</code>
<code>simpl in Hval012, Hval102.</code>	Compute <code>winner exec_012 = hd 0 [0;1;2] = 0</code> , <code>inp 0 = 0</code> ; <code>winner exec_102 = hd 0 [1;0;2] = 1</code> , <code>inp 1 = 1</code> . <i>Hval012 becomes:</i> <code>decide (obs exec_102 2) = 0</code> . <i>Hval102 becomes:</i> <code>decide (obs exec_102 2) = 1</code> . <i>Goal:</i> <code>False.</code>
<code>rewrite Hval012 in Hval102.</code>	Both hypotheses refer to <code>decide (obs exec_102 2)</code> . Substitute. <i>Hval102 becomes:</i> <code>0 = 1</code> . <i>Goal:</i> <code>False.</code>
<code>discriminate.</code>	<code>0 ≠ 1</code> . <code>discriminate</code> derives <code>False</code> . <i>No goals remaining.</i>

#rocq\_name

ConsensusNumber.v:1092-1104

CN(CAS) =  $\infty$ : Can solve any  $n$ -consensus.

```
Theorem valid_cas_no_ambiguity :
  forall obs : list nat -> nat -> nat,
    valid_cas_observation obs ->
      forall exec1 exec2,
        exec1 <> [] -> exec2 <> [] ->
          winner exec1 <> winner exec2 ->
            forall i, obs exec1 i <> obs exec2 i.
```

**Theorem (CAS CN =  $\infty$ ):** Any valid CAS observation allows solving  $n$ -consensus for all  $n$ .

**Proof:** CAS observations directly reveal the winner. Different winners  $\rightarrow$  different observations  $\rightarrow$  always distinguishable.  $\square$

## 5.2 Failover as 2-Consensus (Theorem3/FailoverConsensus.v)

#rocq\_name

FailoverConsensus.v:38-40

Failover decision space.

```
Inductive FailoverDecision :=
| Commit (* Original CAS was executed; do NOT retry *)
| Abort. (* Original CAS was NOT executed; retry is SAFE *)
```

A *failover decision* is either **Commit** (operation executed, skip retry) or **Abort** (operation not executed, do retry).

#rocq\_name

FailoverConsensus.v:45-47

What actually happened.

```
Inductive PastKnowledge :=
| PastExecuted (* CAS was executed at receiver *)
| PastNotExecuted. (* CAS was not executed *)
```

The *past process* knows the ground truth: was the CAS executed or not?

#rocq\_name

FailoverConsensus.v:50-52

What the future process can see.

```
Inductive FutureObservation :=
| FutureSeesTimeout      (* Sender observed timeout *)
| FutureSeesCompletion.  (* Sender received completion ACK *)
```

The *future process* observes only transport-level signals. Critically, `FutureSeesTimeout` occurs in both the packet-loss and ACK-loss scenarios.

#rocq\_name

FailoverConsensus.v:206-213

The two failover scenarios.

```
Definition scenario1_future : FutureObservation := FutureSeesTimeout.
Definition scenario1_correct : FailoverDecision := Abort.
Definition scenario2_future : FutureObservation := FutureSeesTimeout.
Definition scenario2_correct : FailoverDecision := Commit.
```

Scenario 1 (packet lost): future sees timeout, correct decision is Abort (retry). Scenario 2 (ACK lost): future sees timeout, correct decision is Commit (don't retry). **Same observation, different correct decisions.**

#rocq\_name

FailoverConsensus.v:257

A function from memory to decision.

```
Definition VerificationMechanism := Memory -> bool.
(* Encoding: true = Commit, false = Abort *)
```

A *verification mechanism* is any function  $V : \text{Memory} \rightarrow \text{bool}$  that inspects remote memory and returns a failover decision. Under transparency,  $V$  is limited to using reads.

#rocq\_name

FailoverConsensus.v:261-263

What actually happened to the CAS.

```
Inductive History :=
| HistExecuted : Memory -> History      (* CAS was executed *)
| HistNotExecuted : Memory -> History.  (* CAS was not executed *)
```

A *history* records whether the CAS was executed, along with the memory state. Both variants carry a memory parameter because ABA can reset memory to any state.

#rocq\_name

FailoverConsensus.v:265-269

Was the CAS executed?

```
Definition history_executed (h : History) : bool :=
match h with
| HistExecuted _ => true
| HistNotExecuted _ => false
end.
```

Extracts the execution status as a boolean: `true` for executed, `false` for not executed.

#rocq\_name

FailoverConsensus.v:271-275

Memory state at end of history.

```

Definition final_memory (h : History) : Memory :=
  match h with
  | HistExecuted m => m
  | HistNotExecuted m => m
  end.

```

The final memory state. **Key ABA property:** both `HistExecuted m` and `HistNotExecuted m` yield the same memory  $m$ . This is the formal encoding of the ABA problem.

#rocq\_name

FailoverConsensus.v:278-279

The correct failover decision for a history.

```

Definition correct_decision_for (h : History) : bool :=
  history_executed h.

```

The correct decision equals the execution status: `true` (Commit) if executed, `false` (Abort) if not. A correct verification mechanism must satisfy  $V(m_{\text{final}}) = \text{correct}_{\text{decision\_for}(h)}$  for all histories.

#rocq\_name

FailoverConsensus.v:289-292

The two ABA-indistinguishable histories.

```

Definition H1 : History := HistExecuted init_mem. (* CAS executed, ABA reset *)
Definition H0 : History := HistNotExecuted init_mem. (* CAS not executed *)

```

$H_1$  (executed) and  $H_0$  (not executed) both have `final_memory = init_mem` due to ABA. But `correct_decision_for H1 = true` while `correct_decision_for H0 = false`.

#rocq\_name

FailoverConsensus.v:230-243

No correct decision function exists.

```

Theorem no_correct_future_decision :
  ~ exists f : FutureObservation -> FailoverDecision,
    f scenario1_future = scenario1_correct /\
    f scenario2_future = scenario2_correct.
Proof.
  intros [f [H1 H2]].
  unfold scenario1_future, scenario2_future in *.
  unfold scenario1_correct, scenario2_correct in *.
  rewrite H1 in H2.
  discriminate.
Qed.

```

**Theorem:** No deterministic function from sender observation to failover decision is correct.

Line-by-line proof annotation:

```
intros [f [H1 H2]].
```

**Initial state** — *Goal:*  $\sim \text{exists } f, f \text{ scenario1\_future} = \text{scenario1\_correct} \wedge f \text{ scenario2\_future} = \text{scenario2\_correct}$ .  
The  $\sim$  unfolds to  $\dots \rightarrow \text{False}$ . Destruct the existential and conjunction.  
*Context:*  $f : \text{FutureObservation} \rightarrow \text{FailoverDecision}, H1 : f \text{ scenario1\_future} = \text{scenario1\_correct}, H2 : f \text{ scenario2\_future} = \text{scenario2\_correct}$ . *Goal:*  $\text{False}$ .

```
unfold scenario1_future, scenario2_future in *.
```

Inline definitions:  $\text{scenario1\_future} := \text{FutureSeesTimeout}$ ,  $\text{scenario2\_future} := \text{FutureSeesTimeout}$ . *H1 becomes:*  $f \text{ FutureSeesTimeout} = \text{scenario1\_correct}$ . *H2 becomes:*  $f \text{ FutureSeesTimeout} = \text{scenario2\_correct}$ . *Goal:*  $\text{False}$ .

unfold scenario1_correct, scenario2_correct in *.	Inline: scenario1_correct := Abort, scenario2_correct := Commit. <i>H1 becomes: f FutureSeesTimeout = Abort. H2 becomes: f FutureSeesTimeout = Commit. Goal: False.</i>
rewrite H1 in H2.	Since f FutureSeesTimeout appears in both, substitute using H1. <i>H2 becomes: Abort = Commit. Goal: False.</i>
discriminate.	Abort and Commit are distinct constructors of FailoverDecision. discriminate derives False. <i>No goals remaining.</i>

#rocq\_name

FailoverConsensus.v:282-283

Definition of solving failover.

```
Definition solves_failover (V : VerificationMechanism) : Prop :=
  forall h : History, V (final_memory h) = correct_decision_for h.
```

A verification mechanism  $V$  *solves failover* if for every possible history  $h$ ,  $V(m_{\text{final}}) = \text{correct decision for } h$ .

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FailoverConsensus.v:295-296

ABA: both histories have same memory.

```
Lemma H0_H1_same_memory : final_memory H0 = final_memory H1.
```

**Lemma (ABA Problem):** History  $H_0$  (not executed) and  $H_1$  (executed then reset) have **identical** final memory.

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FailoverConsensus.v:304-331

**Direct ABA Argument:** No verification mechanism solves failover.

```
Theorem failover_unsolvable :
  forall V : VerificationMechanism, ~ solves_failover V.
Proof.
  intros V Hsolves.
  unfold solves_failover in Hsolves.
  specialize (Hsolves H0) as HV0.
  specialize (Hsolves H1) as HV1.
  assert (Hmem_eq : final_memory H0 = final_memory H1).
  { apply H0_H1_same_memory. }
  rewrite Hmem_eq in HV0.
  rewrite HV0 in HV1.
  discriminate.
Qed.
```

**Theorem (Failover Unsolvable, direct):** No verification mechanism can solve failover.

Line-by-line proof annotation:

intros V Hsolves.	<b>Initial state</b> — <i>Context:</i> init_mem : Memory (section variable). <i>Goal:</i> forall V : VerificationMechanism, ~ solves_failover V. The ~ unfolds to solves_failover V -> False. <i>Context adds:</i> V : VerificationMechanism (i.e., Memory -> bool), Hsolves : solves_failover V. <i>Goal:</i> False.
unfold solves_failover in Hsolves.	Expand definition. <i>Hsolves becomes:</i> forall h : History, V (final_memory h) = correct_decision_for h. <i>Goal:</i> False.
specialize (Hsolves H0) as HV0.	Instantiate Hsolves with H0 := HistNotExecuted init_mem. <i>Context adds:</i> HV0 : V (final_memory H0) = correct_decision_for H0. Computationally: final_memory (HistNotExecuted init_mem) = init_mem and correct_decision_for (HistNotExecuted _) = false, so this represents V init_mem = false. <i>Goal:</i> False.
specialize (Hsolves H1) as HV1.	Instantiate with H1 := HistExecuted init_mem. <i>Context adds:</i> HV1 : V (final_memory H1) = correct_decision_for H1. Computationally:

	final_memory (HistExecuted init_mem) = init_mem and correct_decision_for (HistExecuted _) = true, so this represents V init_mem = true. <i>Goal: False.</i>
assert (Hmem_eq : final_memory H0 = final_memory H1). { apply H0_H1_same_memory. }	<i>Sub-goal: final_memory H0 = final_memory H1.</i> Both final_memory (HistNotExecuted init_mem) and final_memory (HistExecuted init_mem) compute to init_mem. The lemma holds by reflexivity. <i>Context adds: Hmem_eq : final_memory H0 =</i> <i>final_memory H1. Goal: False.</i>
rewrite Hmem_eq in HV0.	Rewrite final_memory H0 to final_memory H1 in HV0. <i>HV0 becomes: V</i> <i>(final_memory H1) = correct_decision_for H0 (i.e., V (final_memory</i> <i>H1) = false). Goal: False.</i>
rewrite HV0 in HV1.	Both HV0 and HV1 now refer to V (final_memory H1). Substitute. <i>HV1</i> <i>becomes: correct_decision_for H0 = correct_decision_for H1, which</i> <i>computes to false = true. Goal: False.</i>
discriminate.	false and true are distinct constructors of bool. discriminate derives False. <i>No goals remaining.</i>

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FailoverConsensus.v:677-703

**Positive Reduction:** Failover solver yields read-based 2-consensus protocol.

```

Lemma failover_solver_yields_2consensus :
  forall V : VerificationMechanism,
    solves_failover V ->
      exists obs : list nat -> nat -> nat,
        valid_rw_observation obs /\
          exists decide : nat -> nat,
            decide (obs solo_0 0) = 0 /\
              decide (obs solo_1 1) = 1.
Proof.
  intros V Hsolves.
  exists (fun _ _ => if V init_memory then 0 else 1).
  split.
  - unfold valid_rw_observation. intros. reflexivity.
  - exists (fun x => if Nat.eqb x 0 then 0 else 1).
    pose proof (Hsolves (HistExecuted init_memory)) as Hexec.
    pose proof (Hsolves (HistNotExecuted init_memory)) as Hnot.
    unfold final_memory, correct_decision_for, history_executed in *.
    rewrite Hexec in Hnot. discriminate.
Qed.

```

**Lemma (Positive Reduction):** A correct failover solver yields a read-based observation function (satisfying valid\_rw\_observation) and decision function satisfying solo validity for 2-consensus.

Line-by-line proof annotation:

intros V Hsolves.	<b>Initial state</b> — <i>Goal:</i> forall V, solves_failover V -> exists obs, valid_rw_observation obs /\ exists decide, decide (obs solo_0 0) = 0 /\ decide (obs solo_1 1) = 1. <i>Context:</i> V : VerificationMechanism (i.e., Memory -> bool), Hsolves : solves_failover V. <i>Goal:</i> exists obs, valid_rw_observation obs /\ exists decide, decide (obs solo_0 0) = 0 /\ decide (obs solo_1 1) = 1.
exists (fun _ _ => if V init_memory then 0 else 1).	Provide the observation function witness: a <b>constant</b> function (ignores execution and process ID), returning 0 if V init_memory = true, else 1. This models the ABA constraint: a read-based mechanism can only observe init_memory regardless of history. <i>Goal:</i> valid_rw_observation (fun _ _ => ...) /\ exists decide, decide (if V init_memory then 0 else 1) = 0 /\ decide (if V init_memory then 0 else 1) = 1.

split.	Split the conjunction. <i>Subgoal 1:</i> $\text{valid\_rw\_observation } (\text{fun } \_ \Rightarrow \text{if } V \text{ init\_memory then } 0 \text{ else } 1)$ . <i>Subgoal 2:</i> exists decide, decide (if $V \text{ init\_memory}$ then 0 else 1) = 0 /\ decide (if $V \text{ init\_memory}$ then 0 else 1) = 1.
- unfold valid_rw_observation. intros. reflexivity.	<i>Subgoal 1.</i> Unfold: goal becomes forall exec1 exec2 i j, writers_before exec1 i = writers_before exec2 j -> (if $V \text{ init\_memory}$ then 0 else 1) = (if $V \text{ init\_memory}$ then 0 else 1). After intros, both sides are identical regardless of the hypothesis. reflexivity closes it. <i>Subgoal 1 done.</i>
- exists (fun x => if Nat.eqb x 0 then 0 else 1).	<i>Subgoal 2.</i> Provide the decision function: maps 0 → 0, anything else → 1. <i>Goal:</i> (if $\text{Nat.eqb } (\text{if } V \text{ init\_memory then } 0 \text{ else } 1) \text{ } 0 \text{ then } 0 \text{ else } 1) = 0 /\ (\text{if } \text{Nat.eqb } (\text{if } V \text{ init\_memory then } 0 \text{ else } 1) \text{ } 0 \text{ then } 0 \text{ else } 1) = 1$ .
pose proof (Hsolves (HistExecuted init_memory)) as Hexec.	<i>Context adds:</i> Hexec : V (final_memory (HistExecuted init_memory)) = correct_decision_for (HistExecuted init_memory). <i>Goal:</i> unchanged.
pose proof (Hsolves (HistNotExecuted init_memory)) as Hnot.	<i>Context adds:</i> Hnot : V (final_memory (HistNotExecuted init_memory)) = correct_decision_for (HistNotExecuted init_memory). <i>Goal:</i> unchanged.
unfold final_memory, correct_decision_for, history_executed in *.	Compute all definitions in context and goal. $\text{final\_memory } (\text{HistExecuted } m) = m$ , $\text{final\_memory } (\text{HistNotExecuted } m) = m$ , $\text{correct\_decision\_for } h = \text{history\_executed } h$ , $\text{history\_executed } (\text{HistExecuted } \_) = \text{true}$ , $\text{history\_executed } (\text{HistNotExecuted } \_) = \text{false}$ . <i>Hexec becomes:</i> $V \text{ init\_memory} = \text{true}$ . <i>Hnot becomes:</i> $V \text{ init\_memory} = \text{false}$ . The goal's if expressions also simplify according to $V \text{ init\_memory}$ .
rewrite Hexec in Hnot.	Substitute $V \text{ init\_memory}$ with true (from Hexec) in Hnot. <i>Hnot becomes:</i> $\text{true} = \text{false}$ . <i>Goal:</i> unchanged.
discriminate.	$\text{true} = \text{false}$ in context is a contradiction. Since the context is inconsistent, Rocq can prove any goal — including the remaining conjunction. <i>No goals remaining.</i> <i>Key insight:</i> solves_failover V is itself contradictory (V cannot return both true and false on the same input init_memory), so the existential witnesses need not “really” work. The proof constructs them purely to trigger the CN=1 impossibility.

#rocq\_name

FailoverConsensus.v:715-726

**THEOREM 3 Core:** Failover impossible via Register CN=1.

```

Theorem failover_impossible_by_read_cn :
  forall V : VerificationMechanism,
    ~ solves_failover V.
Proof.
  intros V Hsolves.
  destruct (failover_solver_yields_2consensus V Hsolves)
    as [obs [Hvalid [decide [Hval0 Hval1]]]].
  apply (readwrite_2consensus_impossible_same_protocol obs Hvalid).
  exists decide. exact (conj Hval0 Hval1).
Qed.

```

**Theorem 3 (Failover Impossible by Register CN=1):** No verification mechanism can solve failover. This derives the impossibility FROM the CN=1 theorem, not as a separate ABA argument.

Line-by-line proof annotation:

```
intros V Hsolves.
```

**Initial state** — *Goal*: forall V : VerificationMechanism, ~ solves\_failover V. The ~ unfolds to solves\_failover V -> False. *Context*: V : VerificationMechanism, Hsolves : solves\_failover V. *Goal*: False.

```
destruct (failover_solver_yields_2consensus V Hsolves)
```

Apply the positive reduction lemma to V and Hsolves. It returns a proof of exists obs, valid\_rw\_observation obs /\ exists decide, .... The destruct extracts the witnesses.

```
as [obs [Hvalid [decide [Hval0 Hval1]]]].
```

Destruct the nested existentials and conjunctions. *Context adds*: obs : list nat -> nat -> nat, Hvalid : valid\_rw\_observation obs, decide : nat -> nat, Hval0 : decide (obs solo\_0 0) = 0, Hval1 : decide (obs solo\_1 1) = 1. *Goal*: False.

```
apply (readwrite_2consensus_impossible_same_protocol obs Hvalid).
```

Apply the Register CN=1 impossibility theorem with obs and Hvalid. This theorem has conclusion ~ exists decide, decide (obs solo\_0 0) = 0 /\ decide (obs solo\_1 1) = 1, which unfolds to (exists decide, ...) -> False. Applying it to the goal False changes the goal to the premise. *Goal becomes*: exists decide, decide (obs solo\_0 0) = 0 /\ decide (obs solo\_1 1) = 1.

```
exists decide.
```

Provide the decide witness from the destructed positive reduction. *Goal becomes*: decide (obs solo\_0 0) = 0 /\ decide (obs solo\_1 1) = 1.

```
exact (conj Hval0 Hval1).
```

conj constructs A /\ B from proofs of A and B. Provide Hval0 and Hval1 as the two conjuncts. *No goals remaining*.

The full chain: Hsolves → positive reduction yields obs, decide, Hval0, Hval1 → CN=1 theorem demands they cannot exist → but they do → False.

### 5.3 Main Result (Theorem3/Hierarchy.v)

**#rocq\_name**

Hierarchy.v:31-40

Transparent failover mechanism record.

```
Record TransparentFailover := {
  can_read_remote : Addr -> Memory -> Val;
  no_metadata_writes : Prop;
  decision_from_reads : list (Addr * Val) -> bool;
}.
```

A *transparent failover* mechanism can only: (1) read remote memory, (2) cannot write additional metadata, (3) must decide based solely on read results. This captures the transparency constraint from SHIFT.

**#rocq\_name**

Hierarchy.v:46-48

Reads are genuine memory reads.

```
Definition verification_via_reads (tf : TransparentFailover) : Prop :=
  forall m addr,
    tf.(can_read_remote) addr m = mem_read m addr.
```

The mechanism's read operation is a genuine memory read: can\_read\_remote addr m = m(addr). No side channels or metadata.

**#rocq\_name**

Hierarchy.v:65-67

Reliable CAS via transparent failover.



```
Definition provides_reliable_cas (tf : TransparentFailover) : Prop :=
  exists V : VerificationMechanism, solves_failover V.
```

A transparent failover mechanism *provides reliable CAS* if there exists a `VerificationMechanism` that solves failover for all histories. The main theorem proves this is impossible.

#rocq\_name

Hierarchy.v:81-92

**THEOREM 3 Main:** Transparent failover impossible.

```
Theorem transparent_cas_failover_impossible :
  forall tf : TransparentFailover,
    verification_via_reads tf ->
      tf.(no_metadata_writes) ->
        ~ provides_reliable_cas tf.
Proof.
  intros tf Hreads Hno_meta.
  unfold provides_reliable_cas.
  intros [V Hsolves].
  exact (failover_impossible_by_read_cn V Hsolves).
Qed.
```

**Theorem 3 (Main Impossibility):** Transparent failover for CAS is impossible.

Line-by-line proof annotation:

intros tf Hreads Hno_meta.	<b>Initial state</b> — <i>Goal:</i> forall tf, verification_via_reads tf -> tf.(no_metadata_writes) -> ~ provides_reliable_cas tf. <i>Context:</i> tf : TransparentFailover, Hreads : verification_via_reads tf, Hno_meta : tf.(no_metadata_writes). <i>Goal:</i> ~ provides_reliable_cas tf.
unfold provides_reliable_cas.	Expand the definition. <i>Goal becomes:</i> ~ (exists V : VerificationMechanism, solves_failover V), i.e., (exists V, solves_failover V) -> False.
intros [V Hsolves].	Assume the existential for contradiction and destruct it. <i>Context adds:</i> V : VerificationMechanism (i.e., Memory -> bool), Hsolves : solves_failover V. <i>Goal:</i> False.
exact (failover_impossible_by_read_cn V Hsolves).	failover_impossible_by_read_cn has type forall V, solves_failover V -> False. Applying it to V and Hsolves yields a proof of False directly. <i>No goals remaining.</i> This single term encapsulates the full reduction chain: Hsolves → positive reduction → CN=1 barrier → contradiction. Note: Hreads and Hno_meta are not used in the proof term — they justify <b>why</b> the mechanism is limited to reads, but failover_impossible_by_read_cn holds for <b>any</b> VerificationMechanism. The transparency constraints narrow the interface; the CN theorem shows even that narrowed interface is insufficient.

#rocq\_name

Hierarchy.v:136-137

Reads have consensus number 1.

```
Theorem reads_have_cn_1_verified : rdma_read_cn = cn_one.
```

CN(Read) = 1, verified via valid\_rw\_observation.

#rocq\_name

FailoverConsensus.v:633-637

Failover needs CN ≥ 2.

```
Theorem failover_needs_cn_2 : cn_lt cn_one (Some 2).
```

Failover requires CN ≥ 2.

## 6 Summary Table

Rocq Theorem	File:Line	Paper Statement	Technique
impossibility_safe_retransmission	Impossibility.v:181	Thm 1: No overlay provides safety + liveness	Trace construction
fadd_non_idempotent	Atomics.v:33	Thm 2a: FADD retry yields $2\delta \neq \delta$	Arithmetic
cas_double_success	CAS.v:106	Thm 2b: CAS retry succeeds twice (ABA)	Interleaving
no_transparent_overlay_atomics	Atomics.v:355	Thm 2 Combined: No overlay for atomics	Thm 1 + 2
readwrite_2consensus_impossible...	ConsensusNumber.v:761	CN(Read) = 1: solo indistinguishable	Herlihy
failover_solver_yields_2consensus	FailoverConsensus.v:680	Solver $\rightarrow$ read-based 2-consensus	Reduction
failover_impossible_by_read_cn	FailoverConsensus.v:725	Thm 3 Core: No $V$ solves failover (via CN=1)	CN chain
transparent_cas_failover_impossible	Hierarchy.v:78	Thm 3 Main: Transparent failover impossible	CN hierarchy

Table 1: One-to-one mapping of key theorems