An $O(1)$ RMRs Leader Election Algorithm

[Extended Abstract]

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ABSTRACT

The *leader election* problem is a fundamental distributed coordination problem. We present leader election algorithms for the cache-coherent (CC) and distributed shared memory (DSM) models using reads and writes only, for which the number of remote memory references (RMRs) is constant in the worst case.

The algorithms use splitter-like objects [6, 8] in a novel way for the efficient partitioning of processes into disjoint sets that share work. As there is an $\Omega(\log n/\log\log n)$ lower bound on the RMR complexity of mutual exclusion for n processes using reads and writes only [4], our result separates the mutual exclusion and leader election problems in terms of RMR complexity in both the CC and DSM models.

Our result also implies that any algorithm using reads, writes and one-time *test-and-set* objects can be simulated by an algorithm using reads and writes with only a constant blowup of the RMR complexity. Anderson, Herman and Kim raise the question of whether conditional primitives such as test-and-set and *compare-and-swap* are stronger than read and write for the implementation of local-spin mutual exclusion [3]. We provide a negative answer to this question, at least for one-time test-and-set.

Categories and Subject Descriptors

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General Terms

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Keywords

Leader election, mutual exclusion, shared memory, remote memory references, test-and-set

1. INTRODUCTION

The leader election problem is a fundamental distributed coordination problem. In the leader election problem, exactly one process, the *leader*, should be distinguished from all other processes. Processes must output either a *win* or a *lose* value: the process elected as leader must output *win*, and all other processes must output *lose*.

We consider the time complexity of shared memory algorithms based on reads and writes under the *remote memory references* (RMR) complexity measure. The main contributions of this paper are leader election algorithms with $O(1)$ RMR complexity for the *cache-coherent* (CC) model and for the *distributed shared memory* (DSM) model. To the best of our knowledge, these are the first leader election algorithms using only reads and writes that have a sublogarithmic RMR complexity.

Our algorithms are based on a novel use of splitter-like objects for the efficient partitioning of processes into disjoint sets such that all processes in one set share work. Based on these algorithms, we are also able to prove that any algorithm for the CC or DSM model using read, write and one-time *test-and-set* can be simulated by an algorithm using read and write with only a constant blowup of the RMR complexity. Thus, one-time test-and-set is no stronger than read and write in terms of RMR complexity in the CC or DSM model.

The leader election problem is closely related to the mutual exclusion problem [11], and leader election may be regarded as "one-shot" mutual exclusion [12]. In particular, any algorithm that solves mutual exclusion also solves leader election.

Alur and Taubenfeld proved that for any mutual exclusion algorithm for two or more processes using reads and writes only, the first process to enter its critical section may have to perform an unbounded number of accesses to shared variables [1]. For leader election, this result implies that the process eventually elected as a leader may have to perform an unbounded number of shared variable accesses. As observed by Anderson, Herman and Kim [3], this result indicates that a time complexity measure that counts all shared memory accesses is meaningless for mutual exclusion; the same holds for leader election. Largely because of that, recent work on mutual exclusion uses the RMR complexity measure, which counts only remote memory references. These references cannot be resolved by a process locally and cause interconnect traffic. Recent mutual exclusion work also focuses on *local-spin* algorithms, for which all busy-waiting is done by means of read-only loops that repeatedly test locally accessible variables (see, e.g., [4, 5, 15, 16, 17]).

Anderson was the first to present a local-spin mutual exclusion algorithm using only reads and writes with bounded RMR complexity [2]. In his algorithm, a process incurs $O(n)$ RMRs to enter and exit its critical section, where n is the maximum number of processes participating in the algorithm. Yang and Anderson improved on that, and presented an $O(\log n)$ RMRs mutual exclusion algorithm based on reads and writes [7]. This is the most efficient known algorithm under the worst-case RMR complexity measure for both mutual exclusion and leader election using reads and writes only in both the CC and DSM models. A prior algorithm by Choy and Singh (with minor modifications to ensure termination) surpasses Yang and Anderson's algorithm in the context of leader election in the CC model by achieving an amortized complexity of $O(1)$ RMRs, while retaining $O(\log n)$ worst-case RMR complexity [9]. This algorithm is based on a cascade of splitter-like *filter* objects, and was originally proposed as a building block for adaptive mutual exclusion. Our algorithm improves on the above results by establishing a tight bound of $\Theta(1)$ RMRs in the worst case on leader election in both the CC and DSM models.

Anderson and Kim [4] proved a lower bound of $\Omega(\log n / \log\log n)$ on the RMR complexity of n-process mutual exclusion algorithms that use reads and writes only. This result improves on a previous lower bound of $\Omega(\log\log n / \log\log\log n)$ obtained by Cypher [10]. Both lower bounds hold also for algorithms that in addition use *conditional primitives*, such as test-and-set and *compare-and-swap*; lower RMR complexity can be attained with the help of non-conditional primitives such as *swap* [3]. This is somewhat surprising, as compare-and-swap is stronger than swap in Herlihy's wait-free hierarchy [13].

Anderson, Herman and Kim raise the question of whether conditional primitives are stronger than reads and writes in the context of mutual exclusion RMR complexity [3]. The known lower bounds provide no relevant information here as they are insensitive to the availability of conditional primitives. For one-time test-and-set, we provide a negative answer to this question by showing that, in both the CC and DSM models, it is no stronger than reads and writes in terms of RMR complexity for implementing *any* algorithm. [1]

1.1 Model Definitions and Assumptions

In this paper we consider both the cache-coherent (CC) and distributed shared memory (DSM) multiprocessor architectures. Each processor in a CC machine maintains *local* copies of shared variables inside a cache, whose consistency is ensured by a coherence protocol. At any given time a variable is *remote* to a processor if the corresponding cache does not contain an up-to-date copy of the variable. In a DSM machine, each processor instead owns a segment of shared memory that can be locally accessed without traversing the processor-to-memory interconnect. Thus, every variable is *local* to a single processor and *remote* to all others.

In the presentation of our algorithm we assume that there is a unique process executing the algorithm on each processor. (Clearly, the RMR complexity of the algorithm can only improve if multiple processes execute on some or all of the processors.) An instruction of the algorithm causes a *remote memory reference* if it accesses a variable that is remote to the process that executes it. In DSM local-spin algorithms, each process has its own dedicated spin variables, stored in its local segment of shared memory. In contrast, in a CC machine it is possible for multiple processes to locally spin on the same shared variable. We assess the RMR complexity of a leader election algorithm by counting the worst-case total number of remote memory references required by a process to execute the algorithm.

In the model we consider processes are asynchronous but do not fail. (In fact, it follows from [1] that no fault-tolerant leader election algorithm that uses solely reads and writes exists.) Every process is *live*, meaning that once it begins executing an algorithm, it continues to take steps until its algorithm terminates.

The remainder of the paper is organized as follows. An overview of our leader election algorithms is provided in Section 2. In Section 3, we give a detailed description of the DSM algorithm. We then present a CC variant in Section 4 as an extension of the DSM algorithm. Section 5 discusses the RMR complexity of the one-time test-and-set primitive. Algorithm correctness proofs are provided in the full version of this paper, available through CiteSeer. [2]

2. OVERVIEW OF THE ALGORITHMS

The algorithms proceed in asynchronous *merging phases* (described in more detail in Section 3.3). At the end of each merging phase, the set of processes is partitioned into *losers* and *contenders*. As the name suggests, a loser will not be elected leader, while a contender has a chance of being elected leader. Initially, all processes are contenders. Once a process has become a loser, it remains a loser thereafter.

The set of contenders is further partitioned into *teams*. Each team has a unique *head*; all its other members are called *idle*. Only the head of a team performs RMRs. The goal that each process performs only a constant number of RMRs is met by ensuring that each process can be a team head for only a constant number of phases, in each of which it may perform only a constant number of RMRs. After performing this predetermined number of RMRs, the team head selects an idle team member to be the new head, and loses.

An idle member merely waits (in a local-spin loop) until it is informed either that it has become a loser, or that it has become the head of a team. In fact, idle members are not even aware of the team to which they belong; only the head of the team knows its members.

Each team of contender processes is further classified either as *hopeful* or as a *playoff contender*. When a team is first formed (more about team formation shortly), it is hopeful; it will become a playoff contender in phase i if it does not "encounter" any other team in phase i. In each phase i, at most one team becomes a playoff contender; and if one does, it is called the *level-i* playoff contender.

The set of teams evolves from phase to phase as follows. Initially, in phase 0, every process is the head of a hopeful team that has no other members. For any positive integer i, suppose that at the end of phase $i-1$, the contenders are partitioned into a set of teams. We now explain how the set of teams evolves during phase i. There are three possible outcomes for each hopeful team:

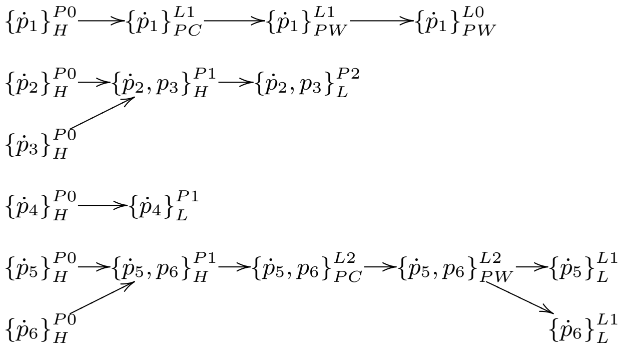
1. All members of the team become losers. The algorithm ensures that this does not happen to all hopeful teams.
2. The team becomes a level-i playoff contender. This happens for at most one hopeful team.
3. The team merges with other phase-i teams, forming a new, larger, phase-$(i+1)$ hopeful team. This new team proceeds to participate in phase $i+1$. The head of the original phase-i team may leave the new team and lose.

We prove that any hopeful team formed in phase i has at least $i+1$ members. Thus, the level-i playoff contender team (if one exists) has at least i members. The number of hopeful teams decreases in each phase, and eventually only playoff contender teams remain, say at the end of some phase $\ell \le n$ (in fact it can be shown that $\ell \in O(\log n)$). Furthermore, for each $i \in \{1, \ldots, \ell\}$, there is at most one level-i playoff contender team. All such teams compete to select an *overall playoff winner* team, one of whose members is finally elected to be the overall leader.[3]

The overall playoff winner team is selected as follows. Clearly there is a level-ℓ playoff contender team, where phase ℓ is the phase in which the last remaining hopeful team became a playoff contender. That team also becomes the level ℓ playoff winner. For each level i from $\ell-1$ down to 1, a level-i playoff winner team is determined as follows. The head of the level-$(i+1)$ playoff winner team and the level-i playoff contender team, if it exists, enter a two-process competition (leader election). The winner's team becomes the level-i playoff winner team. If there is no level-i playoff contender team, then the head of the level-$(i+1)$ playoff winner team will certainly win the competition, since there is no opponent.

In order to ensure that every process performs at most a constant number of RMRs during playoffs, the head of the level-$(i+1)$ playoff winner team for $i \ge 1$ selects a new team head to compete in level i, and then leaves the team. Since a level-j playoff contender team has at least j members, it follows that the resulting level-i playoff winner team is not empty. In particular, the level-1 playoff winner is not empty and becomes the level-0 playoff winner.

Finally, the algorithm elects a member of the level-0 playoff winner team (which, by the above argument, has at least one member). All other members of that team become losers. So, at the end of the algorithm, exactly one of the participating processes is elected as the leader, and all others become losers. An example execution of the algorithm is illustrated in Figure 1.


$$\begin{tikzcd}
\{\dot p_1\}^{P0}_{H} \arrow[r] & \{\dot p_1\}^{L1}_{PC} \arrow[r] & \{\dot p_1\}^{L1}_{PW} \arrow[r] & \{\dot p_1\}^{L0}_{PW} & \\
\{\dot p_2\}^{P0}_{H} \arrow[r] & \{\dot p_2, p_3\}^{P1}_{H} \arrow[r] & \{\dot p_2, p_3\}^{P2}_{L} & & \\
\{\dot p_3\}^{P0}_{H} \arrow[ru] & & & & \\
\{\dot p_4\}^{P0}_{H} \arrow[r] & \{\dot p_4\}^{P1}_{L} & & & \\
\{\dot p_5\}^{P0}_{H} \arrow[r] & \{\dot p_5, p_6\}^{P1}_{H} \arrow[r] & \{\dot p_5, p_6\}^{L2}_{PC} \arrow[r] & \{\dot p_5, p_6\}^{L2}_{PW} \arrow[r] \arrow[rd] & \{\dot p_5\}^{L1}_{L} \\
\{\dot p_6\}^{P0}_{H} \arrow[ru] & & & & \{\dot p_6\}^{L1}_{L}
\end{tikzcd}$$

Notation: $\{p_1, \ldots, p_k\}^N_T$ represents a team consisting of $p_1, \ldots, p_k$ where T indicates the team type (H = hopeful, L = loser, PC = playoff contender, PW = playoff winner) and N denotes the corresponding team-building phase number (Pi for phase i) or playoff level (Li for level i). Dotted process IDs denote team heads.

Figure 1: Example of team evolution over time ($\rightarrow$ direction) leading to election of p_1.

To simplify presentation as much as possible, the algorithm presented in Sections 3.2 and 3.3 uses a single variable for representing a set of idle team members, which requires $\Theta(n)$-bit words; in Section 3.4 we describe a variant of the algorithm that works with $\Theta(\log n)$-bit words.

3. DETAILED DESCRIPTION OF THE ALGORITHM FOR THE DSM MODEL

This section is organized as follows. In Section 3.1 we describe the notation that we use in the pseudo-code of the algorithm. In Section 3.2 we describe `LeaderElect`, the algorithm's main function. Section 3.3 gives a detailed description of the procedure for merging teams.

3.1 Notational Conventions

In the algorithm pseudo-code provided in this section, we use the following notational conventions. Shared variables that exist over the entire duration of the algorithm are denoted by uppercase names; short-lived variables with function scope are denoted by lowercase names. Suppose that each process has its own local instance of variable V. We write V_p whenever we need to indicate that a pseudo-code line references the instance of V local to process p. We simply write V to indicate that the variable being referenced is the instance of V that is local to the process that executes the pseudo-code.

The algorithm proceeds in merging phases. Different merging phases use different "copies" of helper functions that operate on distinct sets of shared variables. One possible way of reflecting that in the code is to explicitly pass a *phase number* parameter to each function and then to index an array with this parameter whenever a "per-phase" variable is accessed. This, however, has the undesirable effect of cluttering the code and correctness proofs.

Instead, we use the following notational convention. In function calls made from `LeaderElect`, which is the main function of the algorithm, the name of the called function is indexed with the phase number. This signifies that the called function, and all the subfunctions it calls (either directly or indirectly) access the copy of the data structure corresponding to this phase. As an example, in line **5** of `LeaderElect` the following call is made: $\texttt{MergeTeam}_Z(T)$. When this call to `MergeTeam` executes, any reference to a shared variable done by it (or by the functions it calls) accesses the Z'th copy of that variable. An exception to this rule is the variable `PID` that stores a process identifier: every process has a single copy of `PID`.

Algorithm 1: LeaderElect

```
   Output: A value in $\{\texttt{win}, \texttt{lose}\}$.
1  $T \leftarrow \emptyset$, $Z \leftarrow 0$, $S \leftarrow \texttt{success}$, $work \leftarrow 0$
2  while $work < 3 \ \wedge \ S = \texttt{success}$ do
3      $work \leftarrow work + 1$
4      $Z \leftarrow Z + 1$
5      $(S, T) \leftarrow \texttt{MergeTeam}_Z(T)$
6      if $T = \perp$ then
7          wait until $T \neq \perp$
8      end
9  end
10 if $S = \texttt{playoff} \wedge Z \geq 1$ then
11     $s \leftarrow \texttt{2PLeaderElect}_Z()$
12     if $s = \texttt{lose}$ then
13         $S \leftarrow \texttt{lose}$
14     else
15         $Z \leftarrow Z - 1$
16     end
17 end
18 if $S = \texttt{playoff} \ \wedge \ Z = 0 \ \wedge \ T = \emptyset$ then
19     return win
20 end
21 if $T \neq \emptyset$ then
22     $q \leftarrow$ arbitrary process in $T$
23     write $Z \rightarrow Z_q$
24     write $S \rightarrow S_q$
25     write $T - \{q\} \rightarrow T_q$
26 end
27 return lose
```

3.2 The Function LeaderElect

The `LeaderElect` function is the main function of the algorithm. Let q be a process that executes it. `LeaderElect` uses the variables T, Z, S, and *work*, all local to q. Whenever q is a team head, the variable T stores the identifiers of all the idle members in q's team. Whenever q is an idle member, T is $\emptyset$. T is initialized to $\emptyset$, because when the algorithm starts, q is the head and single member of its team. The other variables, described in the following, are meaningful only when q is a team head. When q's team is hopeful, Z stores the number of the phase in which q's team is participating. [4] If q's team becomes a playoff contender, then Z stores the playoff level in which q's team will compete next.

The status variable S has a value in {`lose`, `playoff`, `success`}. When q's team is hopeful, S equals `success`. When q's team is a playoff contender, S equals `playoff`. If $S =$ `lose`, then q's team has lost and all its team members are bound to lose, too. The variable *work* counts the number of merging phases that are performed by q as a team head.

Variable initialization is done in line **1**. In the while loop of lines lines **2**–**8**, q participates in at most three merging phases. As we prove, participating in three phases is enough to guarantee that the team size strictly increases from phase to phase. Before each phase, q increments *work* (line **3**) and Z (line **4**) to indicate its participation in another merging phase. Process q then calls the `MergeTeam` function. `MergeTeam`, described in detail in Section 3.3, is the heart of our algorithm. It implements the merging algorithm and returns a pair of values that are stored to q's S and T variables (line **5**). If the second value returned by `MergeTeam` (and stored to T) is $\perp$, then q is now an idle member of a new team. In this case, q spins on variable T until it becomes a team head again (line **7**). If q is the head of a team that competes in playoff level Z, for $Z \geq 1$ (line **10**), then q invokes the `2PLeaderElect` function, a constant-RMR two-process leader election algorithm whose details are presented in the full version of this paper. This step is skipped when q competes in playoff level 0 since there is no level 0 playoff contender team and q wins by default.

If q wins the level-i playoff competition, then it decrements Z (line **15**), as its team will next compete on level $i - 1$. If the current level is 0 and q's team contains no idle team members (line **18**), then q is the single leader elected by the algorithm (line **19**). Otherwise, either q's team needs to participate in additional playoff competitions, or a process from q's team will eventually win. In either case, q arbitrarily selects an idle team member to be the new head (line **22**), copies its state to the local memory of the new head (lines **23**–**25**) and then loses (line **27**).

If q loses the level-i playoff competition, it sets S to `lose` (line **13**). Then, if its team is non-empty, q copies its state to a new head chosen from its team, making sure that all other team members eventually lose also (lines **21**–**25**). In either case, q loses (line **27**).

3.3 The Merging Algorithm

The merging algorithm is employed in every merging phase in order to coalesce phase-i teams into larger teams that proceed to participate in subsequent phases. The processes that participate in the merging algorithm of phase i are the heads of phase-i teams.

Each merging phase consists of several stages. As the algorithm is asynchronous, teams participating in different phases and stages may co-exist at any point of time. A merging phase consists of the following stages.

- **Finding other processes** — Every phase-i process that completes this stage, except for possibly one (subsequently called the *special process*), becomes aware of another phase-i process. In other words, it reads the `PID` of another phase-i process.

- **Handshaking** — Every non-special process q tries to establish a virtual *communication link* with the process it is aware of, p. If a link from p to q is successfully established, then p eventually becomes aware of q. This implies that p can write a message to q's local memory and spin on its local memory until q responds (and vice versa). Thus, after the establishment of the link, p and q can efficiently execute a reliable two-way communication protocol.

- **Symmetry breaking** — The output of the handshaking protocol is a directed graph over the set of participating processes, whose edges are the virtual communication links. This graph may contain cycles. In the symmetry-breaking phase, these cycles are broken by deleting some of these links and maintaining others. The output of this stage is a directed forest whose nodes are the heads of phase-i teams.

- **Team merging** — Each tree of size two or more in the resulting forest is now coalesced into a single, larger, phase-$(i + 1)$ team. The head of the new team is a process from the phase-i team that was headed by the tree's root. The identifiers of all processes in the tree are collected and eventually reported to the new head.

The output of the merging phase is a set of new hopeful teams that proceed to participate in phase $i+1$ and, possibly, a single level-i playoff contender team. We now describe the algorithms that implement the above four stages in more detail.

3.3.1 Finding Other Processes

This stage is implemented by the `Find` function. It employs a splitter-like algorithm. In our implementation, the splitter consists of shared variables F and G. (Note that different instances of F and G are used by `Find` in different merging phases. See Section 3.1.) When process p executes `Find`, it first writes its identifier to F. It then reads G. If the value read is not $\perp$, then p has read from G the identifier of another process and `Find` returns that value. Otherwise, p writes its identifier to G and reads F. If the value read is the identifier of a process other than p, then it is returned by `Find`. Otherwise, `Find` returns $\perp$. Clearly a process incurs a constant number of RMRs as it executes the `Find` function. The proof of the following lemma is provided in the full version of the paper.

Lemma 1. *The following claims hold.*

(a) A call of `Find` *by process p returns $\perp$ or the ID of some process $q \neq p$ that has called* `Find` *before p's call of* `Find` *terminated.*

(b) At most one of the processes calling `Find` *receives response $\perp$.*

3.3.2 Handshaking

Except for at most a single *special* process, which receives $\perp$ in response to a `Find` call, every process that calls `Find` becomes aware of one other process. Because of the asynchrony of the system, however, this information is not necessarily useful. E.g., it might be that p becomes aware of q but then p is delayed for a long period of time and q proceeds further in the computation or even terminates without being aware of p. Thus, if p waits for q, it might wait forever. The handshaking stage consists of a protocol between processes, through which they efficiently agree on whether or not they can communicate. The output of this stage for each process p is a list of outgoing links to processes that became aware of p (by calling `Find`) and, possibly, also a link to p from the single process it became aware of. If p and q share a link, then, eventually, both of them are aware of each other and of the existence of the virtual link between them.

The handshaking stage is implemented by the functions `LinkRequest` and `LinkReceive`. If q is aware of p, then q calls `LinkRequest(`p`)` to try to establish a link with p. Thus, a process calls `LinkRequest` at most once. We say that a *link from p to q is established*, if q's call to `LinkRequest(`p`)` returns 1.[5]

A process p calls `LinkReceive` to discover its set of outgoing links. Technically, p and q perform a two-process leader election protocol to determine whether or not a link from p to q is established. This protocol is *asymmetric*, because it ensures that p (the recipient of link establishment requests) incurs no RMRs, whereas q (the requesting process) incurs only a constant number of RMRs.

Function `LinkRequest(`p`)`

```
  Input: Process ID $p$
  Output: a value in $\{0,1\}$ indicating failure or success,
          respectively
1 write $1 \rightarrow A_p$[PID]
2 $s \leftarrow$ read($B_p$)
3 if $s = \perp$ then
4     $link \leftarrow 1$
5 else
6     $link \leftarrow 0$
7 end
8 write $link \rightarrow \mathrm{LINK}_p$[PID]
9 return $link$
```

Function `LinkReceive`

```
  Output: set of processes to which link was established
1 $B \leftarrow 1$
2 forall process IDs $q \neq$ PID do
3     if $A[q] = \perp$ then
4         $\mathrm{LINK}[q] \leftarrow 0$
5     else
6         wait until $\mathrm{LINK}[q] \neq \perp$
7     end
8 end
9 return $\{q \mid \mathrm{LINK}[q] = 1\}$
```

The handshaking protocol to establish links with p uses the array $A_p[]$ and the variable B_p. (Note that different instances of these variables are used in different merging phases. See Section 3.1.) Processes p and q use B_p and entry q of A_p to agree on whether or not q succeeds in establishing a link with p. The output of this protocol is recorded in the LINK_p array: entry q of LINK_p is set if a link from p to q was established and reset otherwise.

To try and establish a link with p, `LinkRequest(`p`)` first sets the flag corresponding to q in the array A_p (line **1**). It then reads B_p to a local variable (line **2**). The link from p to q is established if and only if the value read in line **2** is $\perp$. If the link is established, q sets the bit corresponding to it in the array LINK_p, otherwise it resets this bit (lines **3**–**8**).

The execution of `LinkRequest` costs exactly three RMRs (on account of lines **1**, **2** and **8**). Each process calls function `LinkRequest` at most once because no process becomes aware of more than a single other process. On the other hand, it may be the case that many processes are aware of the same process p. Thus, multiple processes may request a link with p. Here we exploit the properties of the DSM model: when p executes `LinkReceive` it incurs no RMRs because it only accesses variables in its local memory segment, possibly waiting by spinning on some of them until a value is written.

When p executes `LinkReceive`, it first writes 1 to B_p (line **1**). Any process q that has not yet read B_p will fail in establishing a link with p. Process p proceeds to scan the array A_p. For each entry $q \neq p$, if q has not written yet to $A_p[q]$ then p resets $\mathrm{LINK}_p[q]$ as the link from p to q will not be established (lines **3**–**4**). Otherwise, p locally spins on $\mathrm{LINK}_p[q]$ (line **6**) waiting for q to either set or reset this entry (indicating whether a link was established or not, respectively). Finally, the set of processes that succeeded in establishing a link with p is returned (line **9**). The key properties of the handshaking functions are captured by the following lemma.

LEMMA 2.

(a) Each call to `LinkReceive` *terminates.*

(b) Let L be the set returned by p's call to `LinkReceive`*. Then $q \in L$ if and only if a link from p to q is eventually established.*

(c) If q's call to `LinkRequest(`p`)` *terminates before p starts executing* `LinkReceive`*, then a link from p to q is established.*

PROOF.
Part (a): Consider a call to `LinkReceive` by process p. Assume by contradiction that the call does not terminate. This can only happen if a local spin in line **6** on the entry $\mathrm{LINK}_p[q]$ for some process q does not terminate. It follows that $A_p[q] \neq \bot$ since otherwise line **6** is not reached for that q. It also follows that $\mathrm{LINK}_p[q]$ remains $\bot$ forever. This is a contradiction because $A_p[q]$ can only be set to a non-$\bot$ value if q executes line **1** of `LinkRequest(`p`)` and in this case q eventually writes (in line **8** of `LinkRequest(`p`)`) a non-$\bot$ value to $\mathrm{LINK}_p[q]$.

Part (b): We consider three cases.
Case 1: q executes line **2** of `LinkRequest(`p`)` *after* p executes line **1** of `LinkReceive`. In this case q reads a non-$\bot$ value in line **2** of `LinkRequest(`p`)` and eventually writes 0 to $\mathrm{LINK}_p[q]$ in line **8**. Moreover, no process writes a different value to $\mathrm{LINK}_p[q]$. Thus, the call to `LinkRequest(`p`)` made by q returns 0 (i.e. a link from p to q is not established) and $q \notin L$ holds.
Case 2: q executes line **2** of `LinkRequest(`p`)` *before* p executes line **1** of `LinkReceive`. In this case s becomes $\bot$ in line **2** of `LinkRequest(`p`)` and q eventually writes 1 to $\mathrm{LINK}_p[q]$ in line **8** and returns 1. Since q writes to $A_p[q]$ before executing line **2**, it follows that $A_p[q] \neq \bot$ when p executes line **3** of `LinkReceive`. Consequently, no process other than q modifies the value of $\mathrm{LINK}_p[q]$ and so $q \in L$ holds.
Case 3: q does not call `LinkRequest(`p`)` at all. Since $\mathrm{LINK}_p[q]$ is set to 1 only when q executes `LinkRequest(`p`)`, it follows that $q \notin L$.

Part (c): If a call to `LinkRequest(`p`)` by process q terminates before p calls `LinkReceive` then we are under the conditions of Case 2 of the proof of Part (b). Hence $q \in L$ holds, and q's call to `LinkRequest(`p`)` returns 1. □

3.3.3 Symmetry Breaking

The functions `LinkRequest` and `LinkReceive` allow processes to establish communication links between them so that, eventually, both endpoints of each such link are aware of each other. However, the graph that is induced by these communication links may contain cycles. The `Forest` function calls the functions `Find`, `LinkRequest` and `LinkReceive` in order to establish communication links and then deletes some of these links in order to ensure that all cycles (if any) are broken. The deletion of these links may cause some processes to remain without any links. Each team head without links must lose (unless it is special) and, as a consequence, all the processes in its team also lose. It is guaranteed, however, that at least one team continues, either as a playoff contender or as a hopeful team that succeeded in establishing and maintaining a link.

Function `Forest`

```
Output: A success value in $\{0,1\}$, a process ID (or $\bot$)
        and a set of processes
1  $p \leftarrow Find$
2  if $p \neq \bot$ then
3      $link \leftarrow$ LinkRequest($p$)
4  else
5      $special \leftarrow 1$
6      $link \leftarrow 0$
7  end
8  $\mathcal{L} \leftarrow$ LinkReceive()
9  if $link = 1$ then
10     if $\mathcal{L} \neq \emptyset \ \wedge$ PID $> p$ then
11         write $1 \rightarrow \mathrm{CUT}_p$[PID]
12         $p \leftarrow \bot$
13     else
14         write $0 \rightarrow \mathrm{CUT}_p$[PID]
15     end
16 else
17     $p \leftarrow \bot$
18 end
19 forall $q \in \mathcal{L}$ do
20     wait until $\mathrm{CUT}[q] \neq \bot$
21     if $\mathrm{CUT}[q] = 1$ then
22         $\mathcal{L} \leftarrow \mathcal{L} - \{q\}$
23     end
24 end
25 if $p = \bot \ \wedge \ \mathcal{L} = \emptyset \ \wedge \ special \neq 1$ then
26     return $(0, \bot, \emptyset)$
27 end
28 return $(1, p, \mathcal{L})$ ;
```

A call to `Forest` made by team head q returns a triplet of values: $(s_q, p_q, \mathcal{L}_q)$. The value of s_q indicates whether q is poised to fail ($s_q = 0$) or not ($s_q = 1$). If $s_q = 1$, then p_q and $\mathcal{L}_q$ specify q's neighbors in the graph of communication links: either p_q stores the identifier of q's parent if a link from p to q remains after cycles are broken, or $p_q = \bot$ if no incoming link to q remains; $\mathcal{L}_q$ is the (possibly empty) set of the identifiers of q's children, namely processes to which links from q remain.

We prove that the parent-child relation induced by these return values is consistent, and that the directed graph induced by that relation (with the edges directed from a node to its children) is indeed a forest: it is acyclic and the in-degree of every node is at most 1. We also prove that this forest contains at most one isolated node, and that at least one process r calling `Forest` does not fail. It follows that all trees in the forest (except for, possibly, one) contain two nodes or more. The teams whose heads are in the same such tree now constitute a new, larger, team that proceeds to the next phase.

A process q executing the `Forest` function first calls the `Find` function and stores the returned value in the local variable p (line **1**). If `Find` returns $\bot$, then q sets the *special* local flag to indicate that it is the single process that is unaware of others after calling `Find` (line **5**). It also resets the *link* local variable to indicate that it has no parent link (line **6**). Otherwise, q requests a link from p and stores the outcome in *link* (line **3**). Regardless of whether q is special or not, it calls `LinkReceive` to obtain the set of links from it that are established (line **8**).

Lines **9**–**24** ensure that all cycles resulting from the calls to `LinkRequest` and `LinkReceive` (if any) are broken. Process q first tests if a link from its parent was established (line **9**) and if its set of outgoing links is non-empty (line **10**). If both tests succeed, then q may be on a cycle. In that case q deletes the link from its parent if and only if its identifier is larger than its parent's (line **10**). As we prove, this guarantees that all cycles (if any) are broken. To delete its link from p, process q writes 1 to the entry of the CUT_p array that corresponds to it (line **11**). Otherwise, q writes 0 to that entry so that p would know that this link is maintained (line **14**).

After dealing with the link from its parent, q waits (by spinning on the entries of its local CUT array) until all the processes that initially succeeded in establishing links from q indicate whether they wish to delete these links or to maintain them (lines **19**–**24**). If q is not special and was made isolated after the deletion of links, then the `Forest` function returns a code indicating that q should lose (line **26**). Otherwise, `Forest` returns $(1, p_q, \mathcal{L}_q)$ (line **28**), indicating that q should continue participating in the algorithm, as well as identifying q's parent and children in the resulting forest.

It is easily verified that a process executing `Forest` incurs a constant number of RMRs. Consider a set P of $m \geq 1$ processes, each calling `Forest` exactly once. Let $G = (V, E)$ be the directed graph where $V \subseteq P$ is the set of processes q with $s_q = 1$ and E is the set of edges (u, v) with $p_v = u$. The following lemma describes the correctness properties of `Forest`.

LEMMA 3.

(a) Every call to `Forest` *terminates.*

(b) If $p_v = u$ and $u \neq \perp$ then $u, v \in V$. Moreover $(u, v) \in E$ if and only if $v \in \mathcal{L}_u$.

(c) G is a forest.

(d) $|V| \geq 1$ and there is at most one vertex in V with (both in- and out-) degree 0.

PROOF.

Part (a): To obtain a contradiction assume there is a process r whose call to `Forest` does not terminate. Since r may only wait in line **20**, there must be a process $q \in \mathcal{L}$ such that $\mathrm{CUT}_r[q]$ is never set to a non-$\perp$ value. Since $q \in \mathcal{L}$, it follows from Lemma 2 (b) that q calls `LinkRequest(`r`)` and that a link from r to q is eventually established. Consequently, q eventually executes either line **11** or line **14** of the `Forest` function, a contradiction.

Part (b): Let $p_v = u$. It follows trivially from the algorithm that if $p_v \neq \perp$ then $s_v = 1$. Since $p_v = u$ it follows that when v executes line **1** of `Forest`, the variable p obtains the value u. Since p is not set to $\perp$ in line **17**, *link* must be set to 1 in line **3** and thus the link from u to v is established. Moreover, since v does not execute line **12**, it writes 0 into $\mathrm{CUT}_u[v]$ in line **14** and does not delete the link from u. Now consider u's execution of `Forest`. Since the link from u to v is established, from Lemma 2 (b), the set $\mathcal{L}$ returned by the call made by u to `LinkReceive` in line **8** contains v. Since $\mathrm{CUT}_u[v]$ is eventually set to 0, $s_u = 1$ and $v \in \mathcal{L}_u$ hold. Hence we have shown that $p_v = u$ implies $s_v = s_u = 1$ and $v \in \mathcal{L}_u$. Hence u and v are nodes in V and the edge relation $(u, v) \in E$ is well-defined for these nodes. Moreover, this already shows the direction $(u, v) \in E \Rightarrow v \in \mathcal{L}_u$.

For the other direction assume that $v \in \mathcal{L}_u$ holds (note that this implies also $s_u = 1$). Then $v \in \mathcal{L}$ holds after u executes line **8**, and a link from u to v is established. Hence, u executes line **20** for $q = v$ and eventually reads $\mathrm{CUT}_u[v] = 0$ (otherwise v would be removed from $\mathcal{L}$). It follows that v writes 0 to $\mathrm{CUT}_u[v]$. This implies, in turn, that v executes line **14** of `Forest` and that v's local variable p is set to u. Since p cannot be changed after that, v's call to `Forest` returns the triplet $(1, u, \mathcal{L}_u)$ and by definition $(u, v) \in E$ holds.

Part (c): By definition, $(u, v) \in E$ implies $p_v = u$. Hence the in-degree of every node in V is at most 1 and it suffices to prove that G is acyclic. To obtain a contradiction, assume G contains a directed cycle. Let $v_0, v_1, \ldots, v_{k-1}$ be the nodes on the cycle, i.e. $(v_i, v_{(i+1) \bmod k}) \in E$. Let $v_i = \max\{v_0, \ldots, v_{k-1}\}$ and assume w.l.o.g. that $i = 1$. From assumptions, $p_{v_1} = v_0$. Thus, v_1 executes line **10** of `Forest` when the value of its local variable p equals v_0. Moreover, v_1's call of `LinkReceive` in line **8** must return a set that contains v_2 (otherwise, from Lemma 2(b) and part (b) of this lemma, the link from v_1 to v_2 would not have been established). Hence, immediately after v_1 executes line **10**, $|\mathcal{L}| \geq 1$ holds. From the choice of v_1, we have $v_1 > p = v_0$. It follows that v_1 writes 1 to $\mathrm{CUT}_{v_0}[v_1]$ in line **11**. Now consider the execution of `Forest` by v_0. It is easily verified that v_0 removes v_1 from its set $\mathcal{L}$ by executing line **22** (for $q = v_0$). From part (b) of this lemma, $(v_0, v_1) \notin E$ holds. This is a contradiction.

Part (d): We say that a process $q \in P$ *loses* if $q \notin V$, i.e. $s_q = 0$ holds. From line **25**, a process with no children and no parent loses iff its local variable *special* does not equal 1. From Lemma 1 (b), the call to `Find` (in line **1**) returns $\perp$ for at most one process. Hence, there is at most one process for which the variable *special* is set to 1. It follows that at most a single node in G has no parent and no children.

It remains to show that V is not empty. If there is a process v^* for which the variable *special* is set to 1 in line **5**, then this process does not lose and so $v^* \in V$ holds. Assume otherwise. Then, for every process in P, the call to `Find` (in line **1**) returns a non-$\perp$ value. Let G' be the directed graph (P, E'), where $(u, v) \in E'$ iff v's call of `Find` in line **1** returns u. From assumptions, every node in P has an in-edge in G' and so G' contains a directed cycle. Let $(v_0, v_1, \ldots, v_{k-1}, v_0)$ be one such cycle, i.e. $(v_i, v_{(i+1) \bmod k}) \in E'$. The existence of this cycle implies that each process v_i, $0 \leq i < k$, calls `LinkRequest(`$v_{(i-1) \bmod k}$`)` in line **3** of `Forest`. Let j, $0 \leq j < k$, be an index such that no process v_i, $0 \leq i < k$, $i \neq j$, finishes its execution of line **3** *before* process v_j does so. Hence, v_j finishes its call of `LinkRequest(`$v_{(j-1) \bmod k}$`)` in line **3** before $v_{(j-1) \bmod k}$ calls `LinkReceive` and, according to Lemma 2 (c), a link from $v_{(j-1) \bmod k}$ to v_j is established.

Now let $E'' \subseteq E'$ be the set of established links, let $U \subseteq P$ be the set of processes that are an endpoint of at least one of these links, and let $G'' = (U, E'')$. We have already shown that $U \neq \emptyset$ and $E'' \neq \emptyset$ hold. Let $v := \max U$. We finish the proof by showing that $v \in V$, i.e. that v does not lose.

To obtain a contradiction, assume that v loses. It follows that when v executes line **25** of `Forest`, $p = \perp$ and $\mathcal{L} = \emptyset$ hold. Since $v \in U$, there must be another process u such that either $(u, v) \in E''$ or $(v, u) \in E''$ holds.

Case 1, $(v, u) \in E''$: Since a link from v to u was established, $u \in \mathcal{L}$ after v has finished line **8**. Process u can be removed from $\mathcal{L}$ only if v executes line **22**. As our assumptions imply that $\mathcal{L} = \emptyset$ holds when v executes line **25**, it must be that $\text{CUT}_v[u]$ is set by u to 1 when it executes `Forest`. This can only happen if u executes line **11** with $p = v$. However, from our choice of v, $v > u$ holds and so the test of line **10** performed by u fails. Consequently u does not execute line **11**. This is a contradiction.

Case 2, $(u, v) \in E''$: In this case a link from u to v is established. It follows that when v executes line **1** of `Forest`, p gets value u. It also follows that v's call to `LinkRequest(`u`)` in line **3** returns 1. This implies, in turn, that p can be set to $\perp$ only in line **12**. However, because of the test in line **10**, this is only possible if $\mathcal{L} \neq \emptyset$ when v executes line **10**. Hence, there must be a process $u' \in P$ such that a link from v to u' has been established. Thus $(v, u') \in E''$ holds and we are under the conditions of Case 1 with $u = u'$. □

Function `MergeTeam(`$\mathcal{T}$`)`

```
Input: A set $\mathcal{T}$ of process IDs
Output: A status in {lose, playoff, success} and
        either a set of process IDs or $\perp$
1  $(s, p, \mathcal{L}) \leftarrow$ Forest()
2  if $s = 0$ then
3      return (lose, $\mathcal{T}$)
4  end
5  if $p = \perp \wedge \mathcal{L} = \emptyset$ then
6      return (playoff, $\mathcal{T}$)
7  end
8  $\mathcal{T} \leftarrow \mathcal{T} \cup \mathcal{L}$
9  for $r \in \mathcal{L}$ do
10     wait until $S[r] \neq \perp$
11     $\mathcal{T} \leftarrow \mathcal{T} \cup S[r]$
12 end
13 if $p = \perp$ then
14     return (success, $\mathcal{T}$)
15 else
16     write $\mathcal{T} \rightarrow S_p$[PID]
17     return (success, $\perp$)
18 end
```

3.3.4 Putting it All Together: Team Merging

Merging phases are implemented by the `MergeTeam` function. It is called by a head of a phase-i hopeful team, q, and receives the set of q's (phase-i) idle team members as a parameter. Process q first calls `Forest` to try and merge its team with other phase-i teams (line **1**). As a response, it receives from `Forest` a triplet of values: $(s, p, \mathcal{L})$. Process q then tests whether it lost by checking whether $s = 0$ holds (line **2**), in which case it returns a `lose` response, along with its set of idle members, $\mathcal{T}$ (line **3**). In the main algorithm this will trigger a process in which all the idle members in q's team eventually lose also. If q did not lose, it checks whether it is the single isolated node of the graph induced by the return values of `Forest` (line **5**), in which case it returns the `playoff` status along with its unchanged set of idle members (line **6**). Process q's team is now the level-i playoff contender. Otherwise, q proceeds to perform the team-merging stage as follows. First, q adds its new children (whose identifiers are in $\mathcal{L}$) to the set $\mathcal{T}$ (line **8**). Next, it waits until each new child $r \in \mathcal{L}$ writes its set of idle members into entry $S_q[r]$. Then, q adds all these members to $\mathcal{T}$ (lines **9**–**12**). If q is the head of the new phase-$(i+1)$ team (line **13**), it returns a `success` status along with its new set of idle members (line **14**). Otherwise, q is an idle member of the new team, so it writes its set of idle members to the local memory of its new parent (line **16**), returning a `success` status and an empty set to indicate that it is now an idle team member (line **17**).

Let P be the set of team heads calling `MergeTeam`. Also, for $a \in P$, let $\mathcal{T}_a$ denote the set of p's idle team members. Thus a's team is the set $\{a\} \cup \mathcal{T}_a$. Now let all team heads $a \in P$ call `MergeTeam(`$\mathcal{T}_a$`)` and let $(ret_a, \mathcal{T}'_a)$ be the corresponding return values (we prove that all these function calls terminate). A team head a can either *lose*, *succeed* or its team becomes a playoff contender, as indicated by the return value ret_a. Let $P' \subseteq P$ be the set of processes that succeed and remain team heads after their call to `MergeTeam` returns (i.e. the heads of the remaining hopeful teams). We denote by $\mathcal{T}^*$ the team that becomes playoff contender, i.e. the set consisting of that team's head and idle team members. If no team becomes a playoff contender during the call to `MergeTeam`, then $\mathcal{T}^* = \emptyset$.

The proof of the following lemma is provided in the full version of the paper. Part (d) implies that the size of hopeful teams increases from phase to phase. This is required, together with parts (b) and (c), in order to ensure the progress of the leader election algorithm. Part (e) ensures that we maintain the semantic correctness of our notion of a team, i.e. that each process is member of exactly one team and that every team has exactly one team head.

LEMMA 4. *The following claims hold.*

(a) Each call to the function `MergeTeam` *terminates.*

(b) At most one team becomes a level-i playoff contender.

(c) At least one team does not lose.

(d) For every process $a \in P'$ there is a different process $b \in P$ such that $\mathcal{T}_a \cup \mathcal{T}_b \cup \{b\} \subseteq \mathcal{T}'_a$.

(e) The following sets partition $\bigcup_{a \in P} \mathcal{T}_a \cup P$: $\mathcal{T}^*$, P', $\mathcal{T}'_b$ for $b \in P'$, and the set of processes in teams whose head $a \in P$ loses.

Based on the above lemma, the following theorem establishes the correctness of the algorithm. The proof is provided in the full version of the paper and relies on the observation that every team in phase k or level k, for $k \geq 1$, has at least k team members.

THEOREM 5. *Let P be a non-empty set of processes executing the algorithm* `LeaderElect`*. Then each process in P performs a constant number of RMRs, exactly one process returns* `win` *and all other processes return* `lose`*.*

It is easy to see that the space complexity of the algorithm is $O(n^2 \log n)$. It can also be shown that the response time (as defined in [9]) is $O(n \log n)$, despite the fact that the algorithm has constant RMR complexity. [6] [7] [8]

3.4 Reducing Word Size Requirements

As mentioned earlier, the algorithm presented above requires a word size of $\Theta(n)$ for storing a team set in a single word. We now describe a simple modification that makes the algorithm work with realistic $O(\log n)$-bit variables. The key idea is that we represent a team set as a linked list of process identifiers.

The only functions that are modified are `LeaderElect` and `MergeTeam`, since all other functions operate on processes and do not manipulate teams at all. In the following description of the required changes, p is the process that executes the code.

3.4.1 MergeTeam

Let $p \to a_1 \to a_2 \ldots \to a_l$ be the linked list representing p's team set when p starts executing `MergeTeam`. In lines **8**–**12** of the pseudo-code of `MergeTeam`, presented in Section 3.3, p merges its team with the teams headed by all the processes in the set $\mathcal{L}$, the set of its children in the forest.

The new algorithm only merges p's team with some processes from the team of a *single* child $q \in \mathcal{L}$. In phase one and two, q's team has a size of one and two, respectively, and q's complete team is merged into p's team. Now assume that `MergeTeam` is called in phase three or higher and let $q \to b_1 \to b_2 \ldots \to b_m$ be the linked list representing q's team set. In this case p adds only b_1 and b_2 to its team set (it is easy to see that $m \geq 2$). Thus, the new team is now represented by the list $p \to b_1 \to b_2 \to a_1 \to a_2 \ldots \to a_l$. It can easily be verified that this can be done by p in a constant number of RMRs. This is enough to guarantee that team size strictly increases from phase to phase, as needed to establish Theorem 5. Thus, the correctness of the algorithm and the constant RMR complexity are maintained. [9]

As we only add some of the processes from q's team to p's team, the teams headed by all the other processes in $\mathcal{L}$, as well as the remaining members of q's team, must lose. This is easily accomplished by starting a "lose process" along the linked lists of these processes, in which each of them notifies the next process that the team must fail, and then itself fails.

3.4.2 LeaderElect

Wherever in the original `LeaderElect` algorithm a process p checks whether p's team set equals $\perp$ (lines **6**, **7**, **18**, **21**), in the new `LeaderElect` algorithm p checks whether it is the last element of the linked list. Additionally, instead of selecting an arbitrary process to be the new head in line **22**, in the new algorithm p simply assigns the next process in the linked list to be the new head. Line **25** is no longer required since the next process in the list has a linked list of the remaining idle team members.

4. EXTENSION TO THE CC MODEL

The algorithm presented in Section 3 has an RMR complexity of $\Theta(n)$ in the CC model due to the loops on lines **2**–**8** of `LinkReceive`, lines **19**–**24** of `Forest`, and lines **9**–**12** of `MergeTeam`. Constant RMR complexity can be achieved by modifying the `LinkRequest` and `LinkReceive` functions so that the set of children returned by `LinkReceive` has size at most one. We denote by `LinkReceive-CC` the modified `LinkReceive` function. We also divide `LinkRequest` into two functions, `LinkRequestA-CC` and `LinkRequestB-CC`, which must be called in that order. In particular, every process that calls `LinkRequestA-CC(`p`)` must eventually also call `LinkRequestB-CC(`p`)`. Extending the definition from Section 3.3.2, we say that a *link from p to q is established*, if q's call to `LinkRequestB-CC(`p`)` returns 1.

The DSM version of the leader election algorithm is modified by replacing the function `Forest` with `Forest-CC`, shown below, which incorporates the new calling sequence of the handshaking functions.

Function `Forest-CC`

```
1 $p \leftarrow Find$
2 if $p \neq \perp$ then LinkRequestA-CC($p$)
3 $\mathcal{L} \leftarrow$ LinkReceive-CC()
4 if $p \neq \perp$ then
5 |   $link \leftarrow$ LinkRequestB-CC($p$)
6 else
7 |   $special \leftarrow 1$
8 |   $link \leftarrow 0$
9 end
  /* resume from line 9 of Forest                */
```

The CC version of the handshaking functions where processes request links from p uses the following shared variables: A_p and B_p – integers, initially $\perp$. To perform a call to `LinkRequestA-CC(`p`)`, a process q simply writes its `PID` to A_p. To perform `LinkReceive-CC`, p first saves A_p into a temporary variable, say a. If $a = \perp$, then p writes its own `PID` to B_p and returns $\emptyset$. Otherwise, a is the identifier of some $q \neq p$ that invoked `LinkRequestA-CC(`p`)`, so p acknowledges having seen a by writing a to B_p, and returns $\{a\}$. Finally, to perform `LinkRequestB-CC(`p`)`, q waits until $B_p \neq \perp$, and returns 1 if and only if $B_p = q$.

The modified handshaking functions satisfy the following properties, analogous to Lemma 2. The proof is provided in the full version of the paper.

LEMMA 6.

(a) Each call made to `LinkRequestB-CC(`p`)` *terminates, provided that p calls* `LinkReceive-CC`.

(b) Let L be the set returned by p's call to `LinkReceive-CC`. *Then $q \in L$ if and only if a link from p to q is eventually established.*

(c) If q's call to `LinkRequestA-CC(`p`)` *terminates before p starts executing* `LinkReceive-CC`*, then a link from p to* some *process (not necessarily q) is eventually established.*

Straight-forward extensions of the proofs of Lemma 3 and Theorem 5 yield analogous results for the CC variant of the leader election algorithm, where `Forest` is replaced by `Forest-CC`.

5. THE RMR COMPLEXITY OF ONE-TIME TEST-AND-SET

In this section we describe a *linearizable* [14] simulation of an n-process one-time test-and-set object by our leader election algorithm. A one-time test-and-set object assumes values from $\{0, 1\}$ and is initialized to 0. It supports a single operation, *test-and-set*. The test-and-set operation atomically writes 1 to the test-and-set object and returns the previous value.

Consider first the DSM model. Suppose that an algorithm A uses a one-time test-and-set object T that is local to some process p. Our goal is to be able to "plug" our simulation of all such objects T into A with only a constant blowup in the RMR complexity. Thus, as T resides in the local memory segment of process p, our simulation should allow p to apply operations to T without incurring RMRs at all. Any process $q \neq p$ should incur $O(1)$ RMRs when it applies an operation to T.

Our simulation uses three objects: an $(n-1)$-process constant-RMR leader election object LE_p (that can be implemented by using our leader election algorithm), a two-process constant-RMR leader election object $2LE_p$ (the implementation, discussed in the full version of the paper, must be asymmetric so that p incurs no RMRs), [10] and a read-write register R_p initialized to $\perp$. As indicated by the subscript p, all these objects reside in p's local memory segment.

To apply the test-and-set operation on T, a process $q \neq p$ first reads R_p. If the result is not $\perp$, then q loses (i.e. returns 1). Otherwise, q writes its ID to R_p and then executes the $(n-1)$-process leader election algorithm of LE_p. If it is elected, q proceeds to compete against p on $2LE_p$. Only if it is also elected here does q win (i.e. return 0), otherwise it loses.

To apply the test-and-set operation on T, process p (to which T is local) first reads R_p. If it is not $\perp$, then q loses. Otherwise, p writes its ID to R_p and then competes on $2LE_p$ against the leader elected on LE_p (if any). Finally, q returns 0 if and only if it wins $2LE_p$.

It is easily verified that the RMR complexity of the simulation is as required and that the test-and-set operation of exactly one process returns response 0. As for linearizability, note that once an operation on T is completed, every subsequent operation returns 1 after reading a non-$\perp$ value from R_p. Thus, the single operation that returns 0 either completes before or executes concurrently with every other operation, and can always be placed first in the linearization order. The simulation works also in the CC model if `LeaderElect` is modified as per Section 4, though a slightly simpler simulation is possible using a single n-process leader election object. Thus, we get the following result.

Theorem 7. *Any algorithm using one-time test-and-set objects, reads and writes can be simulated by an algorithm using only reads and writes with only a constant blowup in the RMR complexity in both the DSM and CC models.*

6. CONCLUSIONS AND FUTURE WORK

We have shown that one-time test-and-set can be implemented using atomic reads and writes in the CC and DSM models using $O(1)$ RMRs. It is interesting that our algorithm simultaneously achieves optimal RMR complexity and high response time. We do not currently know whether this is inherent in the leader election problem or merely a feature of our particular solution. In future work we plan to analyze our algorithms with respect to additional time complexity measures, and explore possible complexity trade-offs. [11] [12]

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APPENDIX

A. ALGORITHM CORRECTNESS PROOFS

A.1 Proofs of Lemmas 1 and Lemma 4

```
Function Find
  Output: Either ⊥ or the ID of another process that
          executes Find
1  write PID → $F$
2  $s \leftarrow$ read($G$)
3  if $s = \perp$ then
4      write PID → $G$
5      $s \leftarrow$ read($F$)
6      if $s =$ PID then
7          $s \leftarrow \perp$
8      end
9  end
10 return $s$
```

LEMMA 1. *The following claims hold.*

(a) *A call of* `Find` *by process p returns* $\perp$ *or the ID of some process* $q \neq p$ *that has called* `Find` *before p's call of* `Find` *terminated.*

(b) *At most one of the processes calling* `Find` *receives response* $\perp$*.*

PROOF.
Part (a): The only values that can be written to F or G are process IDs. Hence, the value returned by `Find` is either the ID of a process having called `Find` before p's call terminated or $\perp$. The conditional statement in line **6** ensures that no process returns its own ID.

Part (b): Assume the contrary. Then there are two distinct processes, p and q, that receive response $\perp$ from `Find`. From the code, `Find` returns $\perp$ only if the process that executes it reads its own ID from F in line **5** (the value read in line **5** cannot be $\perp$ because the process that executes `Find` has written its process ID to F before executing line **5**). Since a process calls `Find` at most once, it can get response $\perp$ only if it writes `PID` to F in line **1** and reads it back in line **5**. It follows that both p and q execute line **4**. Assume without loss of generality that p writes to F in line **1** before q does. If p writes to G in line **4** before q writes to F, then q must read a non-$\perp$ value in line **2**. This contradicts the fact that q executes line **4**. It follows that at the time p writes to G in line **4** q has already overwritten p's value in F. This implies, in turn, that p does not read its own ID in line **5** and receives response $\perp$, a contradiction. □

LEMMA 4. *The following claims hold.*

(a) *Each call to the function* `MergeTeam` *terminates.*

(b) *At most one team becomes a level-i playoff contender.*

(c) *At least one team does not lose.*

(d) *For every process* $a \in P'$ *there is a different process* $b \in P$ *such that* $\mathcal{T}_a \cup \mathcal{T}_b \cup \{b\} \subseteq \mathcal{T}'_a$*.*

(e) *The following sets partition* $\bigcup_{a \in P} \mathcal{T}_a \cup P$*:* $\mathcal{T}^*$*,* P'*,* $\mathcal{T}'_b$ *for* $b \in P'$*, and the set of processes in teams whose head* $a \in P$ *loses.*

For $a \in P$, let $(s_a, p_a, \mathcal{L}_a)$ be the return value of a's call to `Forest` in line **1**. Let $G = (P, E)$ be a graph over the nodes of P with E defined as follows: $(a, b) \in E$ if and only if $p_b = a$. We first prove parts (a)-(c) and then prove a claim from which parts (d)-(e) follow directly. [14]

PROOF OF LEMMA 4 (A)-(C).
Part (a): The call of line **1** terminates by Lemma 3 (a). From definition, $s_a = 0$ for all processes $a \in P - P'$. These processes clearly exit `MergeTeam` in line **3**. It follows that if a call to `MergeTeam` does not terminate then the calling process is in P'.

We call a vertex $a \in P'$ *bad* if the call to `MergeTeam` by a does not terminate. From Lemma 3 (c), G is a forest. Assume there is a bad vertex in P' and let a be one such bad vertex for which there is no other bad vertex on the path from a to a leaf. Then a's execution waits indefinitely in line **10** for some $b \in P$. It follows that the set $\mathcal{L}_a$ returned by a's call to `Forest` in line **1** contains b. Hence b is a child of a in a tree of G and so $p_b = a$ and $s_b = 1$ after b's call to `Forest` in line **1** returns. Moreover, as we assume b is not bad, its call to `MergeTeam` terminates. It therefore eventually executes line **16** (since $s_b = 1$) and writes a non-$\perp$ value to $S_a[b]$. This contradicts our assumption that a waits for b indefinitely.

Part (b): A team becomes special only if its head, a, executes line **6**. This implies that the conditions of line **5** hold for a and so it is a root without children in G. From Lemma 3 (d), there is at most one such node in G.

Part (c): Follows directly from Lemma 3 (d). □

Recall that if a team head a loses during a call to function `MergeTeam`, or if its team becomes a playoff contender (i.e. a is the head of $\mathcal{T}^*$), then its team does not change, i.e. $\mathcal{T}'_a = \mathcal{T}_a$. Parts (d) and (e) of Lemma 4 follow right away from that fact and the following claim.

CLAIM 1.

1. *A process is in* P' *if and only if it is a root of a tree of* G *and has at least one child.*
2. *If* $a \in P'$ *holds then a's new team is the union of the sets* $\{b\} \cup \mathcal{T}_b$ *for all nodes b in the tree rooted at a.*

PROOF. From the definition of P', process a is in P' if and only if it returns from `MergeTeam` in line **14**. This happens if and only if $s_a = 1$ (and thus $a \in P'$), $p_a = \perp$ (and thus a is a root) and $\mathcal{L}_a \neq \emptyset$ (hence a has at least one child). This proves the first part of the claim.

Now let u be a node in a tree T with root a. Since $s_u = 1$ and u's call of `MergeTeam` terminates (from part (a) of Lemma 4), u executes line **13**. We use a simple structural induction to show that at the time such a process u executes this line, the set $\mathcal{T}\cup\{u\}$ contains exactly the nodes in $\{b\}\cup\mathcal{T}_b$ for all nodes b in the subtree rooted at u. For $u=a$ this proves the claim because a's execution returns this set $\mathcal{T}$ in line **14**.

If u is a leaf then $\mathcal{L}_u=\emptyset$. It is easy to see that in this case the variable $\mathcal{T}$ does not change during the execution of `MergeTeam` and thus retains its original value $\mathcal{T}_u$. If u is an inner node, then all of its children are added to $\mathcal{T}$ in line **8**. Moreover, for each of its children v line **11** is executed with $r=v$ after $S_u[v]$ becomes non-$\perp$. Since v is not a root, it writes in line **16** its local variable $\mathcal{T}$ to $S_u[v]$. From the induction hypothesis, this is the union of $\{b\}\cup\mathcal{T}_b$ for all nodes b on the path from v to a leaf, not including $\{v\}$. It follows easily that u's local variable $\mathcal{T}$ has the claimed value when u executes line **13**. $\square$

A.2 Proof of Theorem 5

In order to prove Theorem 5, we need to show a couple of lemmas. Let P be a set of processes, each of them calling `LeaderElect` exactly once. As before we partition the processes in *teams*, where each team consists of a *team leader* and *idle team members*. A process $a\in P$ is a team leader if $T_a\neq\perp$ and is an idle team member otherwise. A team is a set of processes $\{a\}\cup T_a$ where a is a team leader. There is one exception, however, which is needed to ensure that teams are disjoint at all times: As soon as a process has finished its write in line **25** its team consists of a only (although T_a might not be empty). A process that finishes its call of `LeaderElect` is still a team leader (of a team of size one).

Each team is in one of three states, as determined by the status S_a of its team leader a. It is in the *losing state* if $S_a=$ `lose`, it is in the *playoffs state* if $S_a=$ `playoff`, and otherwise it is in the *qualification state*. We say that the team is *in phase* k if it is in the qualification state and if the Z variable of its team leader equals k. A team member is in phase k if its team is in phase k. We say that the team is *in level* k if it is in the playoff state and if the Z variable of its team leader equals k. A team member is in level k if its team is in level k.

We first prove some claims about the semantical correctness of the team building process.

LEMMA 9.

(a) The phase of a team member never decreases.

(b) The teams partition P.

Part (a) of the lemma ensures that we can apply Lemma 4 for all `MergeTeam` calls: If process a calls `MergeTeam` then a is a team leader in phase Z_a. Since a increases this register before it calls $\texttt{MergeTeam}_{Z_a}$ part (a) of the Lemma 9 ensures that a has not called $\texttt{MergeTeam}_{Z_a}$ before. Part (b) shows that every process a is either a team leader or the idle team member of exactly one team, i.e. there is exactly one team leader b such that $a\in T_b$. This yields the following corollary.

COROLLARY 10.

1. *Every process calls an instance of* `MergeTeam` *at most once.*
2. *If a is an idle team member then there is a team leader b such that $a\in T_b$.*

PROOF OF LEMMA 9. We prove the lemma by an induction over time. Clearly every process calls `MergeTeam` at least once in line **5** (with $Z=1$) and the claim is true before any process has called `MergeTeam`. Now consider the first operation by one process such that the claim becomes false (we call this the *bad operation*). Before the bad operation has occurred, every process a has called an instance of `MergeTeam` at most once (according to Corollary 10).

Assume first that the bad operation decreases the phase of some team member. Let a be the team leader of that team. It follows from the induction hypothesis (part (b) of the lemma) that a is not in any set T_b of some process $b\in P$. Hence, the only way to change the value of Z_a is by increasing it in line **4** or by decreasing it in line **15**. But the latter is only possible if a's team is in the playoffs state.

Finally, assume that the bad operation yields a violation of part (b) of the lemma. The teams can only be changed during a `MergeTeam` call or in line **25**. However, Lemma 4 (e) ensures that a call of `MergeTeam` only leads to a new partition of P into teams. Hence, assume that the bad operation is the execution of line **25** by process a and for $q=b$. Then after this write b is a new team leader of the team consisting of the idle team members $T_a-\{b\}$. On the other hand, according to our definition of teams, a's team consists of a only as soon as the write in line **25** has occurred. Hence, the team $\{a\}\cup T_a$ was partitioned into two teams $\{a\}$ and T_a and thus all teams still partition P. $\square$

FACT 1. *If a is an idle team member, then it is executing an operation between line* **5** *and line* **7** *of* `LeaderElect`*.*

PROOF. The only way that T_a can be set to $\perp$ is following a `MergeTeam` operation by process a on line **5**. As long as a is an idle team member it cannot finish line **7**. $\square$

LEMMA 11. *Any team in phase k or level k, $k\geq 1$, has at least k team members, unless it is a team formed when a process completes line* **25** *of* `LeaderElect`*.*

PROOF. We first prove the lemma for all teams in the qualification state. We denote by $work_c$ the value of process c's local variable $work$. For a set S of processes let $\Phi(S)=\sum_{c\in S}(3-work_c)$. We prove by induction on k that for any team leader a in phase $k\geq 0$ the equality

$$\Phi(\{a\}\cup T_a) \;=\; 2^k+2 \qquad (1)$$

holds as long as a's execution is not between line **3** and line **5** of `LeaderElect`. The lemma then follows from the fact that if a team with team leader a is in round $k\geq 1$ then each member of that team contributes at most 2 to the sum $\Phi(T_a\cup\{a\})$ (clearly every process $c\in T_a\cup\{a\}$ has called `MergeTeam` at least once and thus $work_c\geq 1$). Even if a is the team leader and its execution has just finished increasing the phase to $Z_a=k'+1$ in line **4**, there are still at least $(2^{k'}+2)/2\geq k'+1=Z_a$ processes in a's team.

If $k=0$ then no process has yet called `MergeTeam` and all teams consist of the team leaders only. Since $work_a=0$ for every team leader a it holds $\Phi(\{a\}\cup T_a)=3$ as claimed.

Now let $k>1$. It suffices to prove that equation (1) holds right after team leader a has finished executing $\texttt{MergeTeam}_k$. This is because then either a proceeds to the next $\texttt{MergeTeam}_{k+1}$ call in the while loop, in which case no parameters influencing the sum $\Phi(T_a\cup\{a\})$ change until a calls $\texttt{MergeTeam}_{k+1}$ (see Fact 1); or, team leader a proceeds to line **10**, in which case either its team is not in the qualification state anymore or a's contribution to $\Phi(T_a \cup \{a\})$ is 0 (because $work_a \geq 3$). In this case even if the team leader leaves the team (in line **25**), the value of $\Phi(T_a)$ for the remaining team still equals $2^k + 2$.

Consider all processes c executing $\texttt{MergeTeam}_k$ in line **5** and let $\mathcal{T}_c$ be their sets of idle team members before their call of $\texttt{MergeTeam}_k$. Let process a finish line **5** for $Z_a = k > 0$ as a team leader and let T_a be the resulting set of idle team members. Let b be some other process calling $\texttt{MergeTeam}_k$ such that $\{b\} \cup \mathcal{T}_b \cup \mathcal{T}_a \subseteq T_a$ (such a b exists according to Lemma 4 (d)). By the induction hypothesis it was $\Phi(\mathcal{T}_a \cup \{a\}), \Phi(\mathcal{T}_b \cup \{b\}) \geq 2^{k-1} + 2$ before a and b executed line **3** just before their $\texttt{MergeTeam}_k$ call. Since all processes in $\mathcal{T}_a$ and $\mathcal{T}_b$ were idle since then, the variables $work_c$ for $c \in \mathcal{T}_a \cup \mathcal{T}_b$ did not increase (see Fact 1) since then. Only the variables $work_a$ and $work_b$ did increase by 1 when a and b executed line **3**. It follows that $\Phi_k(a) = \Phi_{k-1}(a) + \Phi_{k-1}(b) - 2 = 2^k + 2$. This completes the proof of the lemma for all teams in the qualification state.

Now we turn to teams in the playoffs state. A team *enters the playoffs state* if the team leader a of that team calls `MergeTeam` in line **5** and the return value $S_a = \texttt{playoff}$. If a team led by a enters the playoffs state, then a leaves the while loop and executes line **11**. By the proof about the qualification state, at this time there are at least Z_a members in a's team. If a's call of `2PLeaderElect` in line **11** returns `lose`, then S_a is set to `lose` in line **13** and the team is not in the playoffs state anymore. Otherwise the value of Z_a decreases, and if $Z_a \geq 1$ after that decrease, then a leaves the team after electing a new team leader b from its team members in line **25**. This is possible because by the first part of the proof a's team had at least 2 team members before entering the playoffs (or Z_a would have been decreased to 0 in line **15**). Now it is easy to see that the new team led by b has at least Z_b team members because a has written the value Z_a into the register Z_b in line **23**. Since we have the same preconditions for b as for a when a entered the playoffs state, the statement follows by induction. □

COROLLARY 12. *If a team leader a is in the qualification state in phase $k \geq 1$ while it executes a line beyond line **5**, then one of a's team members will be in the qualification state in phase $k + 1$.*

PROOF. If a will not be in the qualification state in phase $k + 1$ itself, then it cannot execute line **4** again. Hence it eventually leaves its team and elects a new team leader $b \in T_a$ (note that T_a contains at least one idle team member due to Lemma 11) by executing line **25**. According to Fact 1, b executes a line between line **5** and line **7** at the time it is elected as a new team leader. Clearly, b is also in the qualification state at this time. Moreover according to Lemma 9 (a) the phase of b's team never decreases and thus b is in phase at least k when it is elected by a as the new team leader. However, b's team size is now smaller than that of a. Now the result follows by an induction over the size of the team with the base case being that the team size equals k and using the fact, from Lemma 11, that the team size cannot decrease below k. □

We say that a team *plays a playoffs game in level i*, if its team leader executes line **11** with $Z = i$. A team *loses* that playoffs game if the function call in that line returns `lose`, otherwise it wins the playoffs game.

LEMMA 13. *There is an integer m such that for all $1 \leq k \leq m$ there are at least one and at most two teams playing a playoffs game in level k.*

For the proof the following remark is helpful.

REMARK 1. *If a team T plays a playoffs game in phase i, then one of the following is true: Either the team leader has called $\texttt{MergeTeam}_i$ in line **5** before and this call returned $S_a = \texttt{playoff}$. According to Lemma 4 (b) this is possible for at most one team leader per phase i. Or the team $T \cup \{a\}$ led by some process a won a playoffs game in level $i + 1$.*

PROOF OF LEMMA 13. Since each team in the qualification state in phase i has at least i members (Lemma 11), there cannot be a team in the qualification state in a phase $i > |P|$ (P is the set of processes calling `LeaderElect`). Let $1 \leq m \leq |P|$ be the maximal integer such that a team leader a calls the function $\texttt{MergeTeam}_m$. Lemma 4 (c) guarantees that among all team leaders calling $\texttt{MergeTeam}_m$ there is at least one team leader a which is still a team leader after the $\texttt{MergeTeam}_m$ call and which does not enter the losing state. According to Corollary 12, $S_a = \texttt{playoff}$ after a's $\texttt{MergeTeam}_m$ call because otherwise at least one member of a's team would enter phase $m + 1$ in the qualification state and thus call $\texttt{MergeTeam}_{m+1}$. By Remark 1 at most one process a plays a playoffs game in level m after a call of $\texttt{MergeTeam}_m$ which returned $S_a = \texttt{playoff}$. Hence, a is the only process playing a playoffs game in level m. This already proves the lemma for $k = m$, which is the base case of the induction to follow.

Assume that at least one and at most two teams play a playoffs game in level $k + 1$, $1 \leq k \leq m - 1$. Exactly one of them wins the playoffs game according to the semantics of the two-process leader election algorithm. The winning team has at least one idle team member (Lemma 11), and the team leader will thus elect some new team leader for that team in line **25** just before leaving that team and losing. Clearly, the new team leader then enters the playoffs game in level k. Hence, at least one team enters the playoffs game in level k. From Remark 1 the only other possibility for playing a playoffs game in level k (besides winning the playoffs game in level $k + 1$) is entering the playoffs level as a result of a $\texttt{MergeTeam}_k$ call in line **5**. Since this can happen for at most one team in each level, at most two teams play the playoffs game in level k. □

THEOREM 5. *Let P be a non-empty set of processes executing the algorithm* `LeaderElect`*. Then each process in P performs a constant number of RMRs, exactly one process returns* `win` *and all other processes return* `lose`*.*

PROOF. The while loop starting in line **2** is executed at most three times. Since all subfunction calls require only a constant number of RMRs and the `LeaderElect`-algorithm itself consists only of a constant number of steps, the total number of RMRs is constant.

We now prove that every process in P finishes its execution of the `LeaderElect`-algorithm. Assume that there is a set of processes $P' \subseteq P$ not finishing the `LeaderElect`-algorithm. Then all processes in P' wait in line **7** even when all processes in $P - P'$ have already finished their execution. At this time, the processes in $P - P'$ are team leaders but their teams have no other team members. On the other hand, all processes $a \in P'$ are idle team members because

$T_a = \bot$. Since a team is by definition a set $\{b\} \cup T_b$, where b is a team leader, there is no team containing any idle team member. Hence, the processes in P' are in no team which contradicts Lemma 9 (b).

It remains to prove that exactly one process in P returns win. We call a team $W = T_a \cup \{a\}$ with team leader a an *overall winning team of size* s, if at the time a executes line **18** it holds $Z_a = 0$, $S_a =$ playoff, and $|W| = s$. If a is the leader of an overall winning team W_s of size $s \geq 2$, then a later (in line **25**) elects one of its idle team members $a' \in T_a$ as the new team leader of the team $T_a = W_s - \{a\}$ and then loses. Clearly, $Z_{a'} = 0$ and $S_{a'} =$ playoff when a' becomes the team leader of T_a and following Fact 1 it will proceed to line **18** afterward. Hence, $W_{s-1} := T_a$ is an overall winning team of size $s - 1$.

It is easy to see that there are only two ways in which a team W_s can become an overall winning team. Either there is an overall winning team $W_s \cup \{b\}$ with a team leader b which then leaves the team as just described; or, the team leader c of the team W_s executes line **15**, and this reduces the variable Z_c from 1 to 0. Since the latter requires that c wins the playoffs game in level 1, this is the case for exactly one team. Hence, there is a unique maximal overall winning team W_s. Let s be the size of W_s. It follows that for each $1 \leq i \leq s$, there is a unique overall winning team W_i, i.e. $W_1 \subseteq W_2 \subseteq \cdots \subseteq W_s$.

We are only interested in the unique overall winning team W_1 of size 1. By definition, if a^* is the leader of that team, then $Z_{a^*} = 0$, $S_{a^*} =$ playoff and $T_{a^*} = \emptyset$ when a^* executes line **18**. Since these conditions are necessary and sufficient for a process a^* to return win, a^* is the unique winner of the leader election algorithm. □

A.3 Two Process Leader Election

In order to make the paper self-contained, we now describe a very simple two process leader election algorithm, 2PLeaderElect, which can be used to implement line **11** of algorithm LeaderElect with a constant number of RMRs.

Assume that at most two processes call the 2PLeaderElect function. Each process calls Forest in order to obtain the triplet $(s, q, \mathcal{L})$. Then, it checks whether it becomes a root in the forest, i.e. whether $s = 1$ and $p = \bot$. If this is the case then the process wins, otherwise it loses. Lemma 3 (c)-(d) guarantee that the graph induced by the return values of Forest is a tree with either one or two nodes (due to part (d) of the lemma the forest may not consist of two roots). Hence, exactly one process calling Forest will become a root. This yields the following corollary.

```
Function 2PLeaderElect
  Output: A value in {win, lose}
1 $(s, p, \mathcal{L}) \leftarrow$ Forest
2 if $s = 1 \wedge p = \bot$ then
3     return win
4 else
5     return lose
6 end
```

COROLLARY 14. *If at least one and at most two processes call* 2PLeaderElect*, then exactly one of them wins.*

A.4 Asymmetric Two-Process Leader Election

In order to make the paper self-contained, we now present a two process leader election algorithm that can be used to implement the object *2LE*$_p$ discussed in Section 5.

Let l and r be distinct process IDs, where l is known a priori. To elect a leader, l and r respectively invoke the functions 2PLeaderElect-l and 2PLeaderElect-r shown below. The static shared variables are as follows: A_l – Boolean, initially 0; and B_l – integer 0..3, initially 0. We use the subscript l to indicate that both variables are local to l in the DSM model. In the CC model the variables can be allocated arbitrarily and the algorithm attains $O(1)$ RMR complexity per operation.

```
Function 2PLeaderElect-l
   Output: A value in {win, lose}
1  $A \leftarrow 1$
2  if $B = 0$ then
3      return win
4  else
5      wait until $B \neq 1$
6      if $B = 2$ then
7          return win
8      else
9          return lose
10     end
11 end
```

```
Function 2PLeaderElect-r
  Output: A value in {win, lose}
1 $B_l \leftarrow 1$
2 if $A_l = 1$ then
3     $B_l \leftarrow 2$
4     return lose
5 else
6     $B_l \leftarrow 3$
7     return win
8 end
```

LEMMA 15. *If at least one of* 2PLeaderElect-*l and* 2PLeaderElect-*r is called then each function call terminates and exactly one returns* win*. Moreover, each function performs $O(1)$ RMRs in both the CC and DSM models, and in particular* 2PLeaderElect-*l performs 0 RMRs in the DSM model.*

PROOF. First, consider termination. The only busy-wait loop occurs on line **5** of 2PLeaderElect-l. Suppose that l reaches this line. Then l read $B \neq 0$ on line **2**, so r must have completed line **1** of 2PLeaderElect-r. In that case r eventually executes line **3** or line **6**, allowing l to complete 2PLeaderElect-l. The claimed RMR complexity follows from the structure of the functions and the fact that all shared variables are local to l in the DSM model.

□

A.5 Simulating Linearizable One-Time Test-and-Set

Here we describe a *linearizable* [14] simulation of an n-process one-time *test-and-set* object using one-time leader election objects as black box components. A one-time test-and-set object assumes values from $\{0, 1\}$ and is initialized to 0. It supports a single operation, `test-and-set`, which atomically writes 1 to the object and returns the previous value. A one-time leader election object supports a single operation `isLeader`, which returns a Boolean value indicating whether the calling process is the leader.

To simulate a `test-and-set` operation on a test-and-set object local to process p in the DSM model we use the function `test-and-set-DSM` shown below. The simulation uses the following shared variables: R_p – an atomic read/write register local to p, taking on values in $\{0, 1, \perp\}$, initially $\perp$; $2LE_p$ – a two-process leader election object local to p, which can be implemented using the asymmetric algorithm from Appendix A.4; and LE_p – an $(n-1)$-process leader election object executed by processes other than p, which can be implemented using the DSM variant of `LeaderElect`.

Function `test-and-set-DSM`

```
   Output: value in $\{0, 1\}$
1  if read($R_p$) $\neq \perp$ then
2      return 1
3  else
4      write PID $\rightarrow R_p$
5  end
6  if PID $= p$ then
7      if $2LE_p$.isLeader() then return 0 else return 1
8  else if $LE_p$.isLeader() then
9      if $2LE_p$.isLeader() then return 0 else return 1
10 else
11     return 1
12 end
```

Lemma 16. *The function* `test-and-set-DSM` *simulates a linearizable one-time test-and-set object local to process p in the DSM model. Moreover, the cost of a* `test-and-set` *operation is $O(1)$ RMRs for any process $q \neq p$, provided that an* `isLeader` *operation on $2LE_p$ or LE_p costs $O(1)$ RMRs.*

Proof. First consider linearizability. Suppose that at least one process executes `test-and-set-DSM`. Note that at most one process $q \neq p$ competes for $2LE_p$, since such a process wins LE_p on line **8**, and that a process returns 0 if and only if it wins $2LE_p$ on line **7** or line **9**. It is easy to verify that exactly one process wins $2LE_p$ and returns 0, whereas all others return 1. Furthermore, from lines **1**–**4** it follows that once a `test-and-set` operation completes, every subsequently invoked operation returns 1. Thus, the single operation that returns 0 can always be placed first in the linearization order. Finally, termination and RMR complexity of the simulation follow from the structure of `test-and-set-DSM` and the properties of LE_p and $2LE_p$. ☐

To simulate a `test-and-set` operation in the CC model we use the function `test-and-set-CC` shown below. The simulation uses a shared register R analogous to R_p in `test-and-set-DSM`, as well as an n-process leader election object LE, which can be implemented using the CC variant of `LeaderElect`.

Function `test-and-set-CC`

```
  Output: value in $\{0, 1\}$
1 if read($R$) $\neq \perp$ then
2     return 1
3 else
4     write PID $\rightarrow R$
5 end
6 if $LE$.isLeader() then return 0 else return 1
```

Lemma 17. *The function* `test-and-set-CC` *simulates a linearizable one-time test-and-set object in the CC model. Moreover, the cost of a* `test-and-set` *operation is $O(1)$ RMRs provided that an* `isLeader` *operation on LE costs $O(1)$ RMRs.*

Proof. The result follows from an argument similar to the proof of Lemma 16. ☐

A.6 Proofs of Lemma 6 and Lemma 7

Function `LinkRequestA-CC(`p`)`

```
1 write PID $\rightarrow A_p$
```

Function `LinkRequestB-CC(`p`)`

```
  Output: a value in $\{0, 1\}$ indicating failure or success,
          respectively
1 wait until $B_p \neq \perp$
2 if read($B_p$) $=$ PID then
3     return 1
4 else
5     return 0
6 end
```

Function `LinkReceive-CC`

```
  Output: set of processes for which link was established
1 $a \leftarrow$ read($A$)
2 if $a = \perp$ then
3     write PID $\rightarrow B$
4     return $\emptyset$
5 else
6     write $a \rightarrow B$
7     return $\{a\}$
8 end
```

Lemma 6.

(a) Each call made to `LinkRequestB-CC(`p`)` *terminates, provided that p calls* `LinkReceive-CC`.

(b) Let L be the set returned by p's call to `LinkReceive-CC`. *Then $q \in L$ if and only if a link from p to q is eventually established.*

(c) If q's call to `LinkRequestA-CC(`p`)` *terminates before p starts executing* `LinkReceive-CC`, *then a link from p to some process (not necessarily q) is eventually established.*

Proof.

Part (a): Suppose that q executes `LinkRequestB-CC(`p`)` and p executes `LinkReceive-CC`. Then p eventually executes line **3** or line **6** of `LinkReceive-CC`, in either case causing $B_p \neq \perp$ to hold. It follows that B_p is not written again so q eventually completes line **1** of `LinkRequestB-CC`.

Part (b): Suppose that p's call to `LinkReceive-CC` returns a set L such that $q \in L$. It follows that p assigns $B_p \leftarrow q$ on line **6** during this call, and that B_p is never written again. By initialization of B_p to $\perp$ and by line **1** of `LinkRequestB-CC` it follows that q reads q from B_p on line **2** and returns 1. Similarly, if q's call to `LinkRequestB-CC(`p`)` returns 1 then it follows that p assigned $B_p \leftarrow q$ on line **6** of `LinkReceive-CC`, since $p \neq q$. In that case `LinkReceive-CC` returns $\{q\}$, as wanted.
Part (c): Suppose that q's call to `LinkRequestA-CC(`p`)` terminates before p starts executing `LinkReceive-CC`. Since q completed line **1** of `LinkRequestA-CC` and since no process assigns $\perp$ to A_p, it follows that $A_p \neq \perp$ when p reads A_p on line **1** of `LinkReceive-CC`. Thus, p returns a nonempty set, say $\{z\}$ where $z \neq \perp$. By part (b) it follows that a link from p to z is eventually established. $\square$

LEMMA 7. *The conclusions of Lemma 3 hold also if* `Forest` *is replaced by* `Forest-CC`.

PROOF. Parts (a) to (d) follow from straight-forward analogs of the original proofs. The most extensive changes occur in the proof of part (d), beginning with the second paragraph:
... The existence of this cycle implies that each process v_i, $0 \leq i < k$, calls `LinkRequestA-CC(`$v_{(i-1) \bmod k}$`)` in line **2** of `Forest-CC`. Let j, $0 \leq j < k$ be an index such that no process v_i, $0 \leq i < k, i \neq j$, finishes its execution of line **2** *before* process v_j does so. Hence, v_j finishes its call of `LinkRequestA-CC(`$v_{(j-1) \bmod k}$`)` on line **2** before $v_{(j-1) \bmod k}$ calls `LinkReceive-CC`, and according to Lemma 6 (c) a link from $v_{(j-1) \bmod k}$ to *some* process is eventually established. ...
The remainder of the proof of part (d) proceeds as before, except that we now refer to `Forest-CC` instead of `Forest`. In particular, in *Case 2* we conclude that v's call to function `LinkRequestB-CC(`u`)` on line **5** returns 1. $\square$

A.7 Additional Lemmas

LEMMA 21. *Suppose that k processes invoke* `LeaderElect`. *Let ℓ be the maximum team-building phase number. Then $\ell \leq \log_2 k$.*

PROOF. Let t_i be the number of hopeful teams after the i'th team building phase. It follows by initialization that $t_i = k$ and by Lemma 4 part (d) that $t_i \leq t_{i-1}/2$, hence $t_i \leq k/2^i$. Since $t_i \geq 1$ if team building phase i exists, it follows that $\ell \leq \log_2 k$, as wanted. $\square$