This is the PlusCal specification of the deconstructed bakery algorithm in the paper

Deconstructing the Bakery to Build a Distributed State Machine

There is one simplification that has been made in the PlusCal version: the registers localCh[i][j] have been made atomic, a read or write being a single atomic action. This doesn't affect the derivation of the distributed bakery algorithm from the deconstructed algorithm, which also makes the simplifying assumption that those registers are atomic because they disappear from the final algorithm

Here are some of the changes made to the paper's notation to conform to PlusCal/TLA+. Tuples are enclosed in  $\langle \rangle$ , so we write  $\langle i,j \rangle$  instead of (i,j). There's no upside down "?" symbol in TLA+, so that's replaced by the identifier qm.

The pseudo-code for main process i has two places in which subprocesses (i, j) are forked and process i resumes execution when they complete. PlusCal doesn't have subprocesses. This is represented in PlusCal by having a single process  $\langle i, j \rangle$  executing concurrently with process i, synchronizing appropriately using the variable pc.

Here is the basic idea:

```
This pseudo-code for process i:

main code;
process j # i \in S
s1: subprocess code
end process
p2: more main code

is expressed in PlusCal as follows:

In process i
main code;
p2: await \A j # i : pc[<<ii,j>>] = "s2"
more main code

In process \langle i, j \rangle
s1: await pc[i] = "p2"
subprocess code;
s2: ...
```

Also, processes have identifiers and, for reasons that are not important here, we can't use i as the identifier for process i, so we use  $\langle i \rangle$ . So, pc[i] in the example above should be  $pc[\langle i \rangle]$ . In the pseudo-code, process i also launches asynchronous processes (i, j) to set localNum[j][i] to 0. In the code, these are another set of processes with ids  $\langle i, j, \text{"wr"} \rangle$ .

Stephan Merz has written a machine-checked TLA+ proof of the invariance of the formula I and that the algorithm satisfies mutual exclusion. In the course of that, he made two small changes to the definition of the invariant I. His proof is in the module DeconProof.

 ${\tt EXTENDS}\ \mathit{Integers}$ 

The following defines  $\ll$  to be the lexicographical ordering of pairs of integers.

```
\begin{split} q \ll r & \triangleq & \forall \ q[1] < r[1] \\ & \forall \land q[1] = r[1] \\ & \land q[2] < r[2] \\ \\ \mathit{Max}(i,j) & \triangleq \text{ if } i \geq j \text{ Then } i \text{ else } j \end{split}
```

```
Assume NAssump \stackrel{\triangle}{=} N \in Nat \setminus \{0\}
We define Procs to equal the set of integers from 1 through N and define some sets of process ids.
Procs \triangleq 1 \dots N
OtherProcs(i) \stackrel{\Delta}{=} Procs \setminus \{i\}
Cotter Trocs(i) = Trocs \setminus \{i\}
ProcIds \triangleq \{\langle i \rangle : i \in Procs\}
SubProcs \triangleq \{p \in Procs \times Procs : p[1] \neq p[2]\}
SubProcsOf(i) \triangleq \{p \in SubProcs : p[1] = i\}
WrProcs \triangleq \{w \in Procs \times Procs \times \{\text{"wr"}\} : w[1] \neq w[2]\}
qm \stackrel{\triangle}{=} \text{CHOOSE } v : v \notin Nat
 **************************
--algorithm Decon{
  variables number = [p \in Procs \mapsto 0],
                 localNum = [p \in Procs \mapsto [q \in OtherProcs(p) \mapsto 0]],
                 localCh = [p \in Procs \mapsto [q \in OtherProcs(p) \mapsto 0]];
  fair process ( main \in ProcIds )
     variable unRead = \{\}, v = 0;
    ncs:- while (TRUE) {
                skip; noncritical section
           M: await \forall p \in SubProcsOf(self[1]) : pc[p] = "test";
                unRead := OtherProcs(self[1]);
          M0: while ( unRead \neq \{\} ) {
                   with (j \in unRead) {
                     if (localNum[self[1]][j] \neq qm) {
                        v := Max(v, localNum[self[1]][j])  ;
                      unRead := unRead \setminus \{j\}
                    }
                with (n \in \{m \in Nat : m > v\})
                    number[self[1]] := n;
                    localNum := [j \in Procs \mapsto
                                        [i \in OtherProcs(j) \mapsto
                                          If i = self[1] then qm
                                                            ELSE localNum[j][i]];
                 };
                v := 0;
           L: await \forall p \in SubProcsOf(self[1]) : pc[p] = \text{"ch"};
          cs: skip; critical section
           P: number[self[1]] := 0;
                localNum := [j \in Procs \mapsto
                                    [i \in OtherProcs(j) \mapsto
```

Constant N

```
If i = self[1] then qm
                                                  ELSE localNum[j][i]];
            }
   }
  fair process ( sub \in SubProcs ) {
    ch: while (TRUE) {
            await pc[\langle self[1] \rangle] = \text{"M"};
            localCh[self[2]][self[1]] := 1;
    test: await pc[\langle self[1] \rangle] = \text{``L''};
            localNum[self[2]][self[1]] := number[self[1]];
       Lb: localCh[self[2]][self[1]] := 0;
      L2: await localCh[self[1]][self[2]] = 0;
      L3:- See below for an explanation of why there is no fairness here.
            await (localNum[self[1]][self[2]] \notin \{0, qm\}) \Rightarrow
                     (\langle number[self[1]], self[1] \rangle \ll
                         \langle localNum[self[1]][self[2]], self[2] \rangle)
              The await condition is written in the form A \Rightarrow B rather than A \lor B because
              when TLC is finding new states, when evaluating A \vee B it evaluates B even when
              A is true, and in this case that would produce an error if localNum[self[1]][self[2]]
              equals qm.
          }
   }
   We allow process (i, j, \text{"wr"}) to set localNum[j][i] to 0 only if it has not already been set to
   qm by process \langle i \rangle in action M0.
  fair process (wrp \in WrProcs) {
    wr: while ( TRUE ) {
           await \land localNum[self[2]][self[1]] = qm
                    \land pc[\langle self[1] \rangle] \in \{ \text{"ncs"}, \text{"M"}, \text{"M0"} \};
           localNum[self[2]][self[1]] := 0;
   }
  ************************
 BEGIN TRANSLATION (chksum(pcal) = "4c176712" \land chksum(tla) = "814037c2")
VARIABLES number, localNum, localCh, pc, unRead, v
vars \triangleq \langle number, localNum, localCh, pc, unRead, v \rangle
ProcSet \triangleq (ProcIds) \cup (SubProcs) \cup (WrProcs)
Init \stackrel{\triangle}{=} Global variables
          \land number = [p \in Procs \mapsto 0]
          \land localNum = [p \in Procs \mapsto [q \in OtherProcs(p) \mapsto 0]]
          \land localCh = [p \in Procs \mapsto [q \in OtherProcs(p) \mapsto 0]]
```

```
Process main
            \land unRead = [self \in ProcIds \mapsto \{\}]
            \land v = [self \in ProcIds \mapsto 0]
            \land pc = [self \in ProcSet \mapsto CASE \ self \in ProcIds \rightarrow "ncs"]
                                                  \square self \in SubProcs \rightarrow "ch"
                                                   \square self \in WrProcs \rightarrow "wr"]
ncs(self) \stackrel{\Delta}{=} \wedge pc[self] = "ncs"
                   \land TRUE
                   \land pc' = [pc \text{ EXCEPT } ![self] = \text{``M''}]
                   \land UNCHANGED \langle number, localNum, localCh, unRead, v \rangle
M(self) \stackrel{\triangle}{=} \wedge pc[self] = \text{"M"}
                 \land \forall p \in SubProcsOf(self[1]) : pc[p] = "test"
                 \land unRead' = [unRead \ Except \ ![self] = OtherProcs(self[1])]
                 \land pc' = [pc \text{ EXCEPT } ![self] = \text{``MO''}]
                 \land UNCHANGED \langle number, localNum, localCh, v \rangle
M0(self) \stackrel{\triangle}{=} \wedge pc[self] = \text{``M0''}
                   \land IF unRead[self] \neq \{\}
                           THEN \wedge \exists j \in unRead[self]:
                                           \land IF localNum[self[1]][j] \neq qm
                                                  THEN \wedge v' = [v \text{ EXCEPT } ! [self] = Max(v[self], localNum[self[1]][j])]
                                                  ELSE ∧ TRUE
                                                            \wedge v' = v
                                           \land unRead' = [unRead \ EXCEPT \ ![self] = unRead[self] \setminus \{j\}]
                                     \land pc' = [pc \text{ EXCEPT } ! [self] = \text{``MO''}]
                                    \land UNCHANGED \langle number, localNum \rangle
                           ELSE \land \exists n \in \{m \in Nat : m > v[self]\}:
                                           \land number' = [number \ EXCEPT \ ![self[1]] = n]
                                           \land localNum' = [j \in Procs \mapsto
                                                                  [i \in OtherProcs(j) \mapsto
                                                                    If i = self[1] then qm
                                                                                       ELSE localNum[j][i]]
                                    \wedge v' = [v \text{ EXCEPT } ![self] = 0]
                                    \land pc' = [pc \text{ EXCEPT } ! [self] = \text{``L''}]
                                     \land UNCHANGED unRead
                   ∧ UNCHANGED localCh
L(self) \stackrel{\Delta}{=} \wedge pc[self] = \text{``L''}
                \land \forall p \in SubProcsOf(self[1]) : pc[p] = \text{``ch''}
                \land pc' = [pc \text{ EXCEPT } ![self] = \text{``cs''}]
                \land UNCHANGED \langle number, localNum, localCh, unRead, v \rangle
cs(self) \stackrel{\triangle}{=} \wedge pc[self] = \text{"cs"}
                 \land TRUE
```

```
\land pc' = [pc \text{ EXCEPT } ![self] = "P"]
                  \land UNCHANGED \langle number, localNum, localCh, unRead, v \rangle
P(self) \stackrel{\triangle}{=} \wedge pc[self] = "P"
                 \land number' = [number \ EXCEPT \ ![self[1]] = 0]
                 \land localNum' = [j \in Procs \mapsto
                                          [i \in OtherProcs(j) \mapsto
                                           If i = self[1] then qm
                                                                ELSE localNum[j][i]]
                 \land pc' = [pc \text{ EXCEPT } ! [self] = "ncs"]
                 \land UNCHANGED \langle localCh, unRead, v \rangle
main(self) \stackrel{\Delta}{=} ncs(self) \vee M(self) \vee M0(self) \vee L(self) \vee cs(self)
                           \vee P(self)
ch(self) \stackrel{\Delta}{=} \wedge pc[self] = \text{``ch''}
                  \wedge pc[\langle self[1] \rangle] = \text{``M''}
                  \land localCh' = [localCh \ EXCEPT \ ![self[2]][self[1]] = 1]
                  \land pc' = [pc \text{ EXCEPT } ! [self] = \text{"test"}]
                  \land UNCHANGED \langle number, localNum, unRead, v \rangle
test(self) \stackrel{\Delta}{=} \land pc[self] = "test"
                    \wedge pc[\langle self[1] \rangle] = \text{``L''}
                    \land localNum' = [localNum \ EXCEPT \ ![self[2]][self[1]] = number[self[1]]]
                    \land pc' = [pc \text{ EXCEPT } ![self] = \text{``Lb''}]
                    \land UNCHANGED \langle number, localCh, unRead, v \rangle
Lb(self) \stackrel{\triangle}{=} \wedge pc[self] = \text{``Lb''}
                   \land localCh' = [localCh \ EXCEPT \ ![self[2]][self[1]] = 0]
                   \wedge pc' = [pc \text{ EXCEPT } ![self] = \text{``L2''}]
                   \land UNCHANGED \langle number, localNum, unRead, v \rangle
L2(self) \stackrel{\triangle}{=} \wedge pc[self] = \text{``L2''}
                   \wedge localCh[self[1]][self[2]] = 0
                   \wedge pc' = [pc \text{ EXCEPT } ![self] = \text{``L3''}]
                   \land UNCHANGED \langle number, localNum, localCh, unRead, v \rangle
L3(self) \stackrel{\triangle}{=} \wedge pc[self] = \text{``L3''}
                   \land (localNum[self[1]][self[2]] \notin \{0, qm\}) \Rightarrow
                       (\langle number[self[1]], self[1] \rangle \ll
                           \langle localNum[self[1]][self[2]], self[2] \rangle)
                   \wedge pc' = [pc \text{ EXCEPT } ![self] = \text{``ch''}]
                   \land UNCHANGED \langle number, localNum, localCh, unRead, v \rangle
sub(self) \stackrel{\triangle}{=} ch(self) \lor test(self) \lor Lb(self) \lor L2(self) \lor L3(self)
wr(self) \stackrel{\Delta}{=} \wedge pc[self] = "wr"
                   \land \land localNum[self[2]][self[1]] = qm
```

## END TRANSLATION

In statement L3, the await condition is satisfied if process  $\langle i,j \rangle$  reads localNum[self[1]][self[2]] equal to qm. This is because that's a possible execution, since the process could "interpret" the qm as 0. For checking safety (namely, mutual exclusion), we want to allow that because it's a possibility that must be taken into account. However, for checking liveness, we don't want to require that the statement must be executed when localNum[self[1]][self[2]] equals qm, since that value could also be interpreted as localNum[self[1]][self[2]] equal to 1, which could prevent the wait condition from being true. So we omit that fairness condition from the formula Spec produced by translating the algorithm, and we add weak fairness of the action when localNum[self[1]][self[2]] does not equal qm. This produces the TLA+ specification FSpec defined here.

```
FSpec \triangleq \land Spec \\ \land \forall \ q \in SubProcs : WF_{vars}(L3(q) \land (localNum[q[1])[q[2]] \neq qm))
```

From laziness, I didn't bother adding the condition for pc in the following type-coreectness invariant.

```
TypeOK \triangleq \land number \in [Procs \rightarrow Nat] \\ \land \land DOMAIN \ localNum = Procs \\ \land \forall \ i \in Procs : localNum[i] \in [OtherProcs(i) \rightarrow Nat \cup \{qm\}] \\ \land \land DOMAIN \ localCh = Procs \\ \land \forall \ i \in Procs : localCh[i] \in [OtherProcs(i) \rightarrow \{0, 1\}]
```

That the algorithm satisfies mutual exclusion is expressed by the invariance of the following state predicate.

$$MutualExclusion \stackrel{\triangle}{=} \forall p, q \in ProcIds : (p \neq q) \Rightarrow (\{pc[p], pc[q]\} \neq \{\text{"cs"}\})$$

The following is the TLA formula that provides a precise definition definition of starvation freedom.  $StarvationFree \triangleq \forall p \in ProcIds : (pc[p] = \text{``M''}) \leadsto (pc[p] = \text{``cs''})$ 

Definition of the invariant in the appendix of the expanded version of the paper.

$$inBakery(i, j) \stackrel{\triangle}{=} \lor pc[\langle i, j \rangle] \in \{\text{"Lb"}, \text{"L2"}, \text{"L3"}\}$$

$$\begin{array}{c} \vee \ \wedge \ pc[\langle i,j\rangle] = \text{``ch''} \\ \wedge \ pc[\langle i\rangle] \in \{\text{``L''},\text{``cs''}\} \\ inCS(i) \ \stackrel{\triangle}{=} \ pc[\langle i\rangle] = \text{``cs''} \end{array}$$

In TLA+, we can't write both inDoorway(i, j, w) and inDoorway(i, j), so we change the first to inDoorwayVal. Its definition differs from the definition of inDoorway(i, j, w) in the paper to avoid having to add a history variable to remember the value of localNum[self[1]][j] read in statement M0. It's a nicer definition, but it would have required more explanation than the definition in the paper. This change of definition leaves I invariant and probably simplifies a formal proof a bit.

The definition of inDoorway(i, j) is equivalent to the one in the paper. It is obviously implied by  $\exists w \in Nat : inDoorwayVal(i, j, w)$ , and type correctness implies the opposite implication.

```
inDoorwayVal(i, j, w) \stackrel{\Delta}{=} \lor \land pc[\langle i \rangle] = \text{``MO''}
                                                 \land number[i] > w
inDoorway(i, j) \stackrel{\Delta}{=} \lor \land pc[\langle i \rangle] = \text{"M0"}
                                     Outside(i, j) \triangleq \neg (inDoorway(i, j) \lor inBakery(i, j))
passed(i, j, LL) \triangleq \text{If } LL = \text{``L2''} \text{ THEN } \lor pc[\langle i, j \rangle] = \text{``L3''}
                                                              \begin{array}{c} \text{THEN} \ \lor \ pe[\langle i,j\rangle] = \text{"ch"} \\ \lor \land \ pe[\langle i,j\rangle] = \text{"ch"} \\ \land \ pe[\langle i\rangle] \in \{\text{"L"},\,\,\text{"cs"}\} \\ \text{ELSE} \ \land \ pe[\langle i,j\rangle] = \text{"ch"} \\ \land \ pe[\langle i\rangle] \in \{\text{"L"},\,\,\text{"cs"}\} \end{array}
Before(i, j) \triangleq \land inBakery(i, j)
                              \land \lor Outside(j, i)
                                   \vee inDoorwayVal(j, i, number[i])
                                   \vee \wedge inBakery(j, i)
                                       Inv(i, j) \stackrel{\Delta}{=} \land inBakery(i, j) \Rightarrow Before(i, j) \lor Before(j, i)
                                                                 \vee inDoorway(j, i)
                         \land passed(i, j, \text{"L2"}) \Rightarrow Before(i, j) \lor Before(j, i)
                         \land passed(i, j, \text{``L3''}) \Rightarrow Before(i, j)
I \stackrel{\Delta}{=} \forall i \in Procs : \forall j \in OtherProcs(i) : Inv(i, j)
```

## TESTING THE SPEC

The following definitions are for testing the specification with TLC. Since the spec allows the values of number[n] to get arbitrarily large, there are infinitely many states. The obvious solution to that is to use models with a state constraint that number[n] is at most some value TestMaxNum. However, TLC would still not be able to execute the spec because the with statement in action M allows an infinite number of possible values for number[n]. To solve that problem, we have the model redefine Nat to a finite set of numbers. The obvious set is 0. TestMaxNum. However, trying that reveals a subtle problem. Running the model produces a bogus counterexample to the StarvationFree property.

This is surprising, since constraints on the state space generally fail to find real counterexamples to a liveness property because the counterexamples require large (possibly infinite) traces that are ruled out by the state constraint. The remaining traces may not satisfy the liveness property, but they are ruled out because they fail to satisfy the algorithm's fairness requirements. In this case, a behavior that didn't satisfy the liveness property StarvationFree but shouldn't have satisfied the fairness requirements of the algorithm did satisfy the fairness requirement because of the substitution of a finite set of numbers for Nat.

Here's what happened: In the behavior, two nodes kept alternately entering the critical section in a way that kept increasing their values of num until one of those values reached <code>TestMaxNum</code>. That one entered its critical section while the other was in its noncritical section, re-entered its noncritical section, and then the two processes kept repeating this dance forever. Meanwhile, a third process's subprocess was trying to execute action <code>M</code>. Every time it tried to execute that action, it saw that another process's number equaled <code>TestMaxNum</code>. In a normal execution, it would just set its value of num larger than <code>TestMaxNum</code> and eventually enter its critical section. However, it couldn't do that because the substitution of <code>0</code> . . <code>TestMaxNum</code> for <code>Nat</code> meant that it couldn't set num to such a value, so the enter step was disabled. The fairness requirement on the enter action is weak fairness, which requires an action eventually to be taken only if it's continually enabled. Requiring strong fairness of the action would have solved this problem, because the enabled action kept being enabled and strong fairness would rule out a behavior in which that process's enter step never occurred. However, it's important that the algorithm satisfy staryation freedom without assuming strong fairness of any of its steps.

The solution to this problem is to substitute  $0 \dots (TestMax+1)$  for Nat. The state constraint will allow the enter step to be taken, but will allow no further steps from that state. The process still never enters its critical section, but now the behavior that keeps it from doing so will violate the weak fairness requirements on that process's steps.

 $TestMaxNum \triangleq 6$  $TestNat \triangleq 0 ... (TestMaxNum + 1)$ 

## TEST RESULTS

TLC has tested that TypeOK, MutualExclusion, and I are invariants of the algorithm, and that the algorithm satisfies the temporal property StarvationFree. As a sanity check, some smaller models were used to check that, if fairness is not disabled for the ncs action, then the algorithm satisfies the following property, which asserts that every process executes the critical section infinitely many times.

```
\forall i \in Procs : \Box \Diamond (pc[\langle i \rangle] = \text{``cs''})
```

The largest model that was tested was for N=3 and TestMaxNum=6; it had 7,842,672 reachable states.

- **\\*** Modification History
- \\* Last modified Thu Aug 26 12:33:09 PDT 2021 by lamport
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