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# Implementing Snapshot Objects on Top of Crash-Prone Asynchronous Message-Passing Systems

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## Abstract

Distributed snapshots, as introduced by Chandy and Lamport in the context of asynchronous failure-free message-passing distributed systems, are consistent global states in which the observed distributed application might have passed through. It appears that two such distributed snapshots cannot necessarily be compared (in the sense of determining which one of them is the “first”). Differently, snapshots introduced in asynchronous crash-prone read/write distributed systems are totally ordered, which greatly simplify their use by upper layer applications.

In order to benefit from shared memory snapshot objects, it is possible to simulate a read/write shared memory on top of an asynchronous crash-prone message-passing system, and build then snapshot objects on top of it. This algorithm stacking is costly in both time and messages. To circumvent this drawback, this paper presents algorithms building snapshot objects *directly* on top of asynchronous crash-prone message-passing system. “Directly” means here “without building an intermediate layer such as a read/write shared memory”. To the authors knowledge, the proposed algorithms are the first providing such constructions. Interestingly enough, these algorithms are efficient and relatively simple.

**Keywords:** Asynchronous message-passing system, Atomic read/write register, Linearizability, Process crash failure, Snapshot object.

# 1 Introduction

**Snapshots in message-passing systems** Being able to compute global states of message-passing distributed applications is a central issue of distributed computing. This is because many problems can be stated as properties on global states. One of the most famous example is the detection of stable properties of distributed computations, such as termination detection [10] or deadlock detection (once true, a stable property remains true forever).

One of the very first algorithms computing consistent global states of a distributed computation is due to Chandy and Lamport [8]. This simple and elegant algorithm introduced the term *snapshot* to denote a computed global state. It assumes FIFO channels, and uses additional control messages called *markers*. Later, snapshot algorithms, which require neither FIFO channels nor additional control messages, have been introduced (e.g., [12, 17]).

It was shown in [8] that, while the snapshot returned by a snapshot algorithm is consistent, it is impossible to prove that the computation passed through it. It is only possible to claim a very weak property, namely that the computation could have passed through it. This has sometimes been called the relativistic nature of distributed computing. More generally, it was shown in [9] that the set of consistent global states that can be computed has a lattice structure. This means that if two processes launch concurrently two independent snapshot computations, each process obtain a consistent snapshot, but the snapshots they obtain, not only can be different, but can be incomparable in the sense that it is impossible to show that one of them occurred before the other one (the interested reader will find a pedagogical presentation of these issues in Chapter 6 of [25]). As far as fault-tolerance is concerned, the message-passing snapshot algorithms described in [8, 12, 17] assume failure-free systems (no process crash).

**Snapshots in shared memory read/write systems** Considering crash-prone asynchronous systems where the processes communicate by accessing Single-Writer/Multi-Reader (SWMR) atomic read/write registers, the notion of a *snapshot object* was introduced in [1, 2]. *Crash-prone* means here that any number of processes may unexpectedly stop progressing. *Atomic registers* means that each read or write operation appears as if it has been executed instantaneously at some point between its start and its end, and each read of a register returns the value written by the closest preceding write on this register [19, 21]. The term *Linearizability* introduced in [14] is synonym of atomicity. A correct sequence of read and write operations is called a *linearization* of these operations, and the time at which an operation appear to be instantaneously executed (linearized) is called its *linearization point*.

In this context a snapshot object is composed of  $n$  SWMR atomic registers, where  $n$  is the number of processes, which means that, while each process can read all registers, it can write only “its” register. The snapshot object offers to the processes a higher abstraction level, defined by two operations, denoted `write()` and `snapshot()`. A process invokes `write()` to define the value of its atomic register. When it invokes `snapshot()`, a process obtains the whole array of registers as if it read them simultaneously. Said differently, a snapshot object is atomic (linearizable): the operations `write()` and `snapshot()` appear as if they have been executed one after the other.

In a very interesting way, it is possible to build a snapshot object on top of SWMR atomic registers in a system of  $n$  asynchronous processes where up to  $t = n - 1$  of them may crash [1]. This progress condition, which tolerates any number of process crashes, is called the *wait-freedom* [13]. More precisely, any process that executes an operation and does not crash, terminates it whatever the behavior of the other processes.

Snapshot objects have a lot of applications in crash-prone asynchronous systems where processes communicate through a read/write shared memory (examples of algorithms based on snapshot objects can be found in several following textbooks (e.g. [7, 20, 26, 28])). This comes from the fact that a snapshot object allows processes to define and use consistent global states of a read/write-based com-

putation: each process deposits the relevant part of its local state in the snapshot object, and can then obtain consistent global states by invoking the operation `snapshot()`.

The previous snapshot object considers that each process has its “own” underlying atomic register. Hence, they are called SWMR snapshot objects. Snapshot objects where the underlying atomic registers are MWMR (Multi-Writer/Multi-Reader) have also been studied (e.g., [5, 15, 16]).

**Construction of read/write registers in message-passing systems** Read/write registers are the most basic objects of computing science, and consequently, a fundamental problem of asynchronous message-passing distributed systems consists in building an SWMR or MWMR atomic register providing the processes with a higher abstraction level than message-passing. This allows to use read/write-based algorithms on top of message-passing systems. Moreover, as in distributed systems “failures are not an option but are blundered with software”, such constructions must tolerate as many process failures as possible.

One of the most celebrated algorithms implementing an atomic read/write register on top of an asynchronous message-passing system is the algorithm due to Attiya, Bar-Noy, and Dolev [4], called ABD in the literature. This construction copes with up to  $t < n/2$  process crashes, which has been shown (in the same paper) to be an upper bound on the number of process crashes that can be tolerated. The algorithms, which implement the read and write operations, are particularly simple. They use a simple broadcast facility, sequence numbers, and majority quorums. The fact that (a) any quorum contains at least one process that never crashes, and (b) any two majority quorums have a non-empty intersection, are key elements of this construction.

Many constructions of atomic read/write registers on top of message-passing systems have been proposed (e.g., [3, 7, 11, 20, 22, 23, 24, 25] to cite a few). They differ in the type and the number of failures they tolerate, the number of messages they need to implement a read or a write operation, the size of control information carried by these implementation messages, and the time complexity of each operation [27].

**Content of the paper** This paper is on the construction of a (high level)  $t$ -tolerant SWMR snapshot object on top of an underlying (low level) asynchronous message-passing system where up to  $t$  processes may crash. As  $t < n/2$  is an upper bound on the number of process crashes to build an read/write atomic register on top of a crash-prone message-passing system, it follows that  $t < n/2$  remains an upper bound when one wants to build a snapshot object.

A simple way to obtain such a construction consists first in using an algorithm (such as one of the previously mentioned ones) to build  $n$  SWMR atomic registers on top of the crash-prone asynchronous message-passing system, and then use any algorithm building an SWMR snapshot object (e.g., [1, 6, 15]) on top of the read/write shared memory build previously. This construction consists of a simple stacking of existing algorithms: the first layer going from message-passing to  $n$  SWMR atomic registers, the second layer going from  $n$  SWMR atomic registers to a snapshot object.

While it obeys basic structuring principles, this solution is not satisfactory for the following reason. The stacking-based construction is not genuine. More precisely, building intermediate SWMR atomic registers is a way to build a snapshot object, but is not a problem requirement. Maybe there are simpler and more efficient constructions, which build directly a snapshot object on top of a message-passing system, without requiring this intermediate level. Moreover, being not genuine, the stacking-based construction can be more costly and its engineering more difficult than an ad hoc construction.

The paper presents a genuine construction of an SWMR snapshot object on top of a message-passing system in which, in any run, any minority of processes may crash. From a number of messages point of view, a write operation requires  $O(n)$  messages, while a snapshot operation requires between  $O(n)$  and  $O(n^2)$  messages (this depends on the concurrency pattern involving the snapshot operation and the number of concurrent write operations). From a time complexity point of view, a write operation

requires a round-trip delay, while a snapshot operation requires between one and  $(n - 1)$  round-trip delays (as before this depends on the concurrency pattern occurring during the snapshot).

**Roadmap** The paper is made up of 6 sections. Section 2 presents the basic definitions: system model, one-shot and multi-shot snapshot objects. Section 3 presents a genuine algorithm constructing a one-shot snapshot object. Section 4 proves its correctness. Section 5 shows how to modify the previous algorithm to go from a one-shot to a multi-shot snapshot object. Finally, Section 6 concludes the paper.

## 2 System Model, and Snapshot Objects

### 2.1 System model

**Processes** The computing model is composed of a set of  $n$  sequential processes denoted  $p_1, \dots, p_n$ . Each process is asynchronous which means that it proceeds at its own speed, which can be arbitrary and remains always unknown to the other processes.

A process may halt prematurely (crash failure), but executes correctly its local algorithm until it possibly crashes. The model parameter  $t$  denotes the maximal number of processes that may crash in a run. A process that crashes in a run is said to be *faulty*. Otherwise, it is *correct* or *non-faulty*. Let us notice that, as a faulty process behaves correctly until it crashes, no process knows if it is correct or faulty.

**Communication** The processes cooperate by sending and receiving messages through bi-directional channels. The communication network is a complete network, which means that any process  $p_i$  can directly send a message to any process  $p_j$  (including itself). Each channel is reliable (no loss, corruption, nor creation of messages), not necessarily first-in/first-out, and asynchronous (while the transit time of each message is finite, there is no upper bound on message transit times).

A process  $p_i$  invokes the operation “send TAG( $m$ ) to  $p_j$ ” to send to  $p_j$  the message tagged TAG which carries the value  $m$ . It receives a message tagged TAG by invoking the operation “receive TAG()”. The macro-operation “broadcast TAG( $m$ )” is a shortcut for “**for each**  $j \in \{1, \dots, n\}$  send TAG( $m$ ) to  $p_j$  **end for**”. (The sending order is arbitrary, which means that, if the sender crashes while executing this macro-operation, an arbitrary – possibly empty– subset of processes will receive the message.)

Let us notice that, due to process and message asynchrony, no process can know if an other process crashed or is only very slow.

**Notation** In the following, the previous computation model, restricted by the feasibility predicate  $t < n/2$ , is denoted  $\mathcal{CAMP}_{n,t,n,t}[t < n/2]$  (“Crash Asynchronous Message-Passing” model in which any minority of processes may crash).

It is important to notice that, in this model, all processes are a priori “equal”. This allows each process to be at the same time a “client” (it invokes high level operations) and a “server” (it locally participates in the implementation of the object that is built).

Message types are denoted with small capital letters, while local variables are denoted with small italics letters, indexed by a process index.

### 2.2 Snapshot object

**Definition** The SWMR snapshot object has been informally presented in the Introduction. It is made up of  $n$  components (one per process), and provides the processes with two operations denoted `write()` and `snapshot()`.

Let  $SNAP$  be such an object. When a process  $p_i$  invokes  $write(v)$ , it stores the value  $v$  in its component  $SNAP[i]$ . When a process  $p_i$  invokes  $snapshot()$ , it obtains the value of all the components  $SNAP[1..n]$ . A snapshot object is atomic (or linearizable), which means that the operations  $write()$  and  $snapshot()$  issued by the processes appear as if each of them had been executed instantaneously, at a single point of the time line between its start and its end. Moreover, no two operations appear at the same point of the time line, and the array  $reg[1..n]$  returned by a process, when it terminates an invocation of  $snapshot()$ , is such that  $reg[k] = v$  if the closest preceding write operation issued by  $p_k$  is  $write(v)$ . If there is no such write by  $p_k$ ,  $reg[k] = \perp$  (a default value that, at the application level, no process can write).

**One-shot vs multi-shot** In the context of snapshot objects, we distinguish one and multi-shot objects. In both cases, a process can issue as many operations  $snapshot()$  as it wants.

- One-shot. No process invokes  $write(v)$  more than once.
- Multi-shot. There is no restriction on the number of times a process can invoke  $write()$ .

In the following we consider first the implementation of a one-shot snapshot object. This construction is then generalized to the case of a multi-shot snapshot object in Section 5.

### 3 Implementing a One-shot Snapshot Object

Algorithm 1 implements a one-shot snapshot object.

**Local representation of the snapshot object** Each process  $p_i$  manages a local array  $reg_i[1..n]$ , which contains its current view of the snapshot object. This array is initialized to  $[\perp, \dots, \perp]$ .

Each process  $p_i$  manages also a sequence number  $ssn_i$ . Initialized to 0, this local variable is used to identify the successive requests generated by the invocations of the operation  $snapshot()$  issued by  $p_i$ .

**Algorithm implementing the operation  $write(v)$ : client side** This algorithm is described at lines 1-6, executed by the invoking process  $p_i$  (client), and lines 14-15, executed by all processes (in their server role).

When  $p_i$  invokes  $write(v)$ , it assigns the value  $v$  to its local register  $reg_i[i]$  and broadcasts the message  $WRITE(reg_i)$  to inform the other processes of its write (lines 1-2). Then,  $p_i$  waits for acknowledgments (line 3). Each message  $WRITE\_ACK(reg)$  carries the current value of  $reg_j[1..n]$  of the sender  $p_j$ . After  $p_i$  received acknowledgments from a majority of processes, it updates its local view of the snapshot object, namely  $reg_i[1..n]$ , to have it as recent as possible (line 5). This is done, for each local register  $reg_i[k]$ , by taking the maximum on the value it received and its current value. As we consider here a one-shot snapshot object, a process invokes  $write()$  at most once, and consequently, the values in  $reg_i[k], reg(1)[k], \dots, reg(m)[k]$  are all equal to  $\perp$  if  $p_k$  has not yet invoked  $write()$ , or belong to the set  $\{\perp, v\}$  if  $p_k$  invoked  $write(v)$ . After the update of  $reg_i[1..n]$  is done,  $p_i$  returns from the operation.

**Algorithm implementing the operation  $write(v)$ : server side** On the server side, when  $p_i$  receives a message  $WRITE(reg)$  from a process  $p_j$ , it updates its local array  $reg_i[1..n]$  to have it as up to date as possible (line 14). It then sends back to  $p_j$  the acknowledgment message  $WRITE\_ACK(reg_i)$  (line 15). As seen above, if  $p_i$  knows writes not yet known by  $p_j$ , this message allows  $p_j$  to know them.

```

local variables initialization:
 $ssn_i \leftarrow 0$ ;  $reg_i \leftarrow [\perp, \dots, \perp]$  ( $\perp$  is smaller than any value that can be written by a process).
%-----

operation write( $v$ ) is
(1)  $reg_i[i] \leftarrow v$ ;
(2) broadcast WRITE( $reg_i$ );
(3) wait (WRITE_ACK( $reg$ ) received from a majority of processes);
(4) let  $reg(1), \dots, reg(m)$  be the arrays received at the previous line;
(5) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max(reg_i[k], reg(1)[k], \dots, reg(m)[k])$  end for;
(6) return()
end operation.

operation snapshot() is
(7) repeat  $prev \leftarrow reg_i$ ;
(8)  $ssn_i \leftarrow ssn_i + 1$ ; broadcast SNAPSHOT( $reg_i, ssn_i$ );
(9) wait (SNAPSHOT_ACK( $reg, ssn_i$ ) received from a majority of processes);
(10) let  $reg(1), \dots, reg(m)$  be the arrays received at the previous line;
(11) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max(reg_i[k], reg(1)[k], \dots, reg(m)[k])$  end for
(12) until  $prev = reg_i$  end repeat;
(13) return( $reg_i$ )
end operation.
%-----

when a message WRITE( $reg$ ) is received from  $p_j$  do
(14) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max(reg_i[k], reg[k])$  end for;
(15) send WRITE_ACK( $reg_i$ ) to  $p_j$ .

when a message SNAPSHOT( $reg, ssn$ ) is received from  $p_j$  do
(16) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max(reg_i[k], reg[k])$  end for;
(17) send SNAPSHOT_ACK( $reg_i, ssn$ ) to  $p_j$ .

```

Figure 1: One-shot snapshot object in  $\mathcal{CAMP}_{n,t}[t < n/2]$

**Algorithm implementing the operation snapshot(): client side** As previously, this algorithm is decomposed in two parts. The part described at lines 7-13 is executed by the invoking process  $p_i$  (client), while lines 16-17 are executed by all processes (in their server role).

The invoking process enters a repeat loop that it will exit when, from its point of view, its local array  $reg_i[1..n]$  can no longer be enriched with new values. To this end it uses a local array variable  $prev[1..n]$  (whose scope is restricted to the operation snapshot()). After it assigned  $reg_i$  to  $prev$ ,  $p_i$  broadcasts an inquiry message SNAPSHOT( $reg_i, ssn_i$ ), in which the sequence number  $ssn_i$  is used to identify the different inquiries broadcast by  $p_i$ .

Then,  $p_i$  has exactly the same behavior as the one described at lines 3-5 of the write operation. Namely,  $p_i$  waits for acknowledgment messages from a majority of processes (those are messages SNAPSHOT\_ACK( $reg, ssn_i$ ) carrying the appropriate sequence number). Hence, after it has executed lines 9-11,  $p_i$  possibly updated its local representation  $reg_i[1..n]$  of the snapshot object. Then, if  $reg_i$  has been updated (we have then  $reg_i \neq prev$  at line 12),  $p_i$  re-enters the repeat loop. If  $reg_i$  has not been enriched with new values during the last iteration,  $p_i$  returns it as result of its snapshot invocation.

**Algorithm implementing the operation snapshot( $v$ ): server side** This part (reception of a message SNAPSHOT( $reg, ssn$ ) from a process  $p_j$ , lines 16-17) is the same as the reception of a message WRITE( $reg, ssn$ ). Namely,  $p_i$  updates  $reg_i[1..n]$  and sends back to  $p_j$  an acknowledgment message SNAPSHOT\_ACK( $reg_i, ssn$ ).

## 4 Proof of the One-shot Snapshot Algorithm

### 4.1 Termination

**Lemma 1** *If a correct process  $p_i$  invokes `write()`, it terminates. Any invocation of `snapshot()` by a correct process terminate.*

**Proof** Let us first consider the case where a correct process  $p_i$  invokes `write()`. It broadcasts a message `WRITE()` (line 2). As  $t < n/2$ , a majority of processes receive this message and send back an acknowledgment (line 15). Hence,  $p_i$  receives a message `WRITE_ACK()` from a majority of processes. It consequently cannot block forever at line 3, which proves the termination property for the write operation.

Let us now consider an invocation of `snapshot()` by a correct process  $p_i$ . Moreover, let  $\tau$  be a time instant after which (a) no correct process invokes `write()`, (b) the messages generated by all the previous write operations and their acknowledgments have been received and processed, and (c) the faulty processes have crashed.

Hence, when after  $\tau$ ,  $p_i$  broadcasts a message `SNAPSHOT(-, sn)`, it eventually receives a message `SNAPSHOT_ACK(-, sn)` from each correct process. It follows that  $reg_i[1..n]$  eventually contains all the values known by all correct process. Let  $\tau' \geq \tau$  be this time instant. After  $\tau'$ ,  $reg_i$  can no longer be enriched with new values. It then follows that the predicate  $prev = reg_i$  (line 12) becomes true (and remains true forever). When this occurs,  $p_i$  exits the repeat loop (if not already done).  $\square_{Lemma 1}$

### 4.2 Definitions and notations

The following definitions are from [14]. For simplicity, and as they are sufficient for the understanding, we consider here only the failure-free case.

**Events** Let `op` be an operation `write()` or `snapshot()`. The execution of an operation `op` by a process  $p_i$  is modeled by two events: an *invocation event*, denoted  $invoc(op)$ , which occurs when  $p_i$  invokes the operation, and a *response event*, denoted  $resp(op)$ , which occurs when  $p_i$  terminates the operation. The event  $invoc(op)$  of an operation `op` occurs when it executes its first statement (line 1 or line 7), and its event  $resp(op)$  (termination) occurs when it executes its `return()` statement (line 6 or line 13).

In addition to these events, sending and reception of messages create corresponding communication events [18]. Without loss of generality, it is assumed that no two events occur at the same time.

**Histories** A *history* models a run. It is a total order on the events produced by the processes. Given any two events  $e$  and  $f$ ,  $e < f$  if  $e$  occurs before  $f$  in the corresponding history. Let us notice that we always have  $e < f$  or  $f < e$ . A history is denoted  $\widehat{H} = \langle E, < \rangle$ , where  $E$  is the set of events.

A history is *sequential* if (a) its first event is an invocation; (b) each invocation is followed by the matching response event; and (c) each response event -except the last one if the computation is finite- is followed by an invocation event.

$\widehat{H}|i$  is called a *local history*; it is the sub-sequence of  $\widehat{H}$  made up of the events generated by process  $p_i$ . Two histories are equivalent if no process can distinguish them, i.e.,  $\forall i, j : \widehat{H}|i = \widehat{H}|j$ .

**Linearizable snapshot history** A snapshot-based history  $\widehat{H} = \langle E, < \rangle$  is *correct* (or *linearizable*) if there is an equivalent sequential history  $\widehat{H}_{seq} = \langle E, <_{seq} \rangle$  in which the sequence of `write()` or `snapshot()` operations issued by the processes is such that (a) each operation appears as if it has been executed at a single point of the time line between its invocation and response events, and (b) each



snapshot() operation returns an array  $reg$  such that  $reg[i] = v$  if the invocation of  $write(v)$  by  $p_i$  appears previously in the sequence, and  $reg[i] = \perp$  if it does not.

When considering a sequential history it is possible to associate a time instant of the time line with each operation. As, in such a history, all operations are ordered, no two operations are associated with the same time instant.

Given two arrays  $reg1$  and  $reg2$  returned by two snapshot operations,  $reg1 \leq reg2$  is a shortcut for  $\forall x \in [1..n]: (reg1[x] \neq \perp) \Rightarrow (reg2[x] = reg1[x])$ , and  $reg1 < reg2$  is a shortcut for  $(reg1 \leq reg2) \wedge (reg1 \neq reg2)$ .

**Concurrent operations** Let  $op_1$  and  $op_2$  be two operations. We say “ $op_1$  precedes  $op_2$ ” (denoted  $op_1 \rightarrow op_2$ ) if  $resp(op_1) < invoc(op_2)$ . If  $\neg(op_1 \rightarrow op_2)$  and  $\neg(op_2 \rightarrow op_1)$ , we say “ $op_1$  and  $op_2$  are concurrent”, which is denoted  $op_1 || op_2$ . It follows that the relation “ $\rightarrow_{op}$ ” defined on operations is an irreflexive partial order.

### 4.3 Basic lemmas

The next three Lemmas follow directly from the algorithm.

**Lemma 2** Let  $ww = write(v)$  a write operation issued by a process  $p_i$  and  $snap$  a snapshot operation returning the array  $reg$ .  $(ww \rightarrow snap) \Rightarrow (reg[i] = v)$ .

**Lemma 3** Let  $ww = write(v)$  a write operation issued by a process  $p_i$  and  $snap$  a snapshot operation returning the array  $reg$ .  $(snap \rightarrow ww) \Rightarrow (reg[i] = \perp)$ .

The following corollary is an immediate consequence of Lemma 2 and Lemma 3.

**Corollary 1** Let  $snap$  be a snapshot operation returning the array  $reg$ , such that  $reg[i] = v$ . There is an operation  $write(v)$  issued by process  $p_i$ , and it is such that  $write(v) \rightarrow snap$  or  $write(v) || snap$ .

**Lemma 4** Let  $snap_1$  and  $snap_2$  be two snapshot operations, returning  $reg1$  and  $reg2$ , respectively.  $(snap_1 \rightarrow snap_2) \Rightarrow (reg1 \leq reg2)$ .

### 4.4 A linearization of the write and snapshot operations

**Lemma 5** Let  $snap_1$  and  $snap_2$  be two snapshots operations, returning  $reg1$  and  $reg2$ , respectively. We have  $(reg1 \leq reg2) \vee (reg2 \leq reg1)$ .

**Proof** Let  $Q1$  (resp.  $Q2$ ) be the majority quorum (set of processes) from which  $snap_1$  (resp.  $snap_2$ ) received messages  $SNAPSHOT\_ACK()$  during its last execution of the “repeat” loop body (lines 8-11). As both  $Q1$  and  $Q2$  are majority quorums, there exists a process  $p_i \in Q1 \cap Q2$ . Let us consider the four following communication events.

- Events  $rec1$  and  $send1$ :  $p_i$  receives  $reg_1$  (event  $rec1$ ) which was sent by  $snap_1$  at line 8 of its last loop iteration. From then on, we have  $reg_i \geq reg1$  (because  $p_i$  receives  $WRITE(reg1, -)$  from  $snap1$ ). Then  $p_i$  sends (event  $send1$ ) the corresponding  $SNAPSHOT\_ACK(reg_i, -)$  message (which –by assumption– is received by  $snap_1$  as it makes  $p_i$  participate in the majority quorum  $Q1$ ). Let us notice that  $rec1 < send1$ .
- Events  $rec2$  and  $send2$  are the similar events as far as  $snap_2$  is concerned. We have then  $reg2 \leq reg_i$  when  $p_i$  sends to  $snap2$  the corresponding message  $SNAPSHOT\_ACK(reg_i, -)$  (which makes makes  $p_i$  participate in the majority quorum  $Q2$ ). Moreover we also have  $rec2 < send2$ .

As  $p_i$  belongs to  $Q1 \cap Q2$  and is sequential, we have  $rec1 < rec2$  or  $rec2 < rec1$ . Without loss of generality, let us assume  $rec1 < rec2$ . It follows that  $p_i$  executed first  $reg_i \leftarrow \max(reg_i, reg1)$  (event  $rec1$ ), later executed  $reg_i \leftarrow \max(reg_i, reg2)$  (event  $rec2$ ), and finally sent  $SNAPSHOT\_ACK(reg_i, -)$  to  $snap2$ . The message  $SNAPSHOT\_ACK(reg_i, -)$  sent by  $p_i$  to  $snap2$  is consequently such that  $prev = reg_i \geq reg1$  (where  $prev$  is the last value sent by  $snap2$  to  $p_i$ ). Hence, as  $prev = reg2$ , we have  $reg1 \leq reg2$ , which concludes the proof of the lemma.  $\square_{Lemma 5}$

**Lemma 6** *Let  $ww1 = write(v1)$  a write operation issued by a process  $p_i$ ,  $ww2 = write(v2)$  a write operation issued by a process  $p_j$ , and  $snap$  a snapshot operation returning the array  $reg$ .  $((ww1 \rightarrow ww2) \wedge (reg[j] = v2)) \Rightarrow (reg[i] = v1)$ .*

**Proof** Let  $ww1 = write(v1)$  a write operation issued by a process  $p_i$ ,  $ww2 = write(v2)$  a write operation issued by a process  $p_j$ , such that  $ww1 \rightarrow ww2$ . Let  $snap$  be a snapshot operation returning  $reg$  such that  $reg[j] = v2$ , and  $p_k$  the process that issued this snapshot.

Let  $S$  (resp.  $W1$ ) be the majority quorum that allows  $snap$  (resp.  $ww1$ ) to terminate. As both  $S$  and  $W1$  are majority quorums, there is a process  $p_\ell \in S \cap W1$ . Let  $\tau$  be the time at which  $p_\ell$  receives the message  $WRITE(v1)$  from  $p_i$ . We have  $\tau < resp(ww1)$  (this is because  $ww1$  terminates when  $p_i$  received a message  $ACK\_WRITE()$  (line 3) from all the processes in  $W1$ , which includes  $p_\ell$ ). There are two cases.

- Case 1:  $p_k$  sends its last message  $SNAPSHOT()$  (line 3) to  $p_\ell$  after time  $\tau$ . In this case,  $reg_\ell$  is such that  $reg_\ell[i] = v1$ , and consequently the message  $SNAPSHOT\_ACK()$  sent by  $p_\ell$  to  $p_k$  carries  $reg_\ell[i] = v1$ . It follows that  $reg_k[i]$  is set to  $v1$  when  $p_k$  receives this message (and it processes it as  $p_\ell \in S$ ).
- Case 2:  $p_k$  sends its last message  $SNAPSHOT()$  (line 3) to  $p_\ell$  before time  $\tau$ . As  $reg_k[j] = v2$  when  $p_k$  broadcasts  $SNAPSHOT(reg_k, -)$ , we necessarily have  $invoc(ww2) < \tau$ . As  $\tau < resp(ww1)$ , it follows that  $invoc(ww2) < resp(ww1)$ , which contradicts the initial assumption ( $ww1 \rightarrow ww2$ ), and concludes the proof of the lemma.

$\square_{Lemma 6}$

**Lemma 7** *Given a history  $\widehat{H}$  produced by Algorithm 1, there is an equivalent sequential history  $\widehat{H}'$  which respects the sequential specification of the one-shot snapshot object.*

**Proof**  $\widehat{H}$  being a history, let  $\mathcal{S}$  be the set of its operations  $snapshot()$ . It follows from Lemma 5, that there are at most  $(n + 1)$  different outputs for these snapshot operations. Let us extract  $\ell$  sets from  $\mathcal{S}$  ( $1 \leq \ell \leq n + 1$ ), denoted  $\mathcal{S}_i$ , partition of  $\mathcal{S}$  and defined as follows: (1) for all  $i \in [1..\ell]$ : the snapshots of  $\mathcal{S}_i$  have the same output denoted  $reg(\mathcal{S}_i)$ , and (2) if  $i < j$ :  $reg(\mathcal{S}_i) < reg(\mathcal{S}_j)$ . The proof is by induction.

Base case:  $\mathcal{S}_1$ . There are two sub-cases.

- If  $reg(\mathcal{S}_1) = [\perp, \dots, \perp]$ , the snapshot operations of  $\mathcal{S}_1$  are linearized in  $\widehat{H}'$  in their invocation order. Moreover, in this case, let  $\mu_1 = \max(\{invoc(snap) \mid snap \in \mathcal{S}_1\})$ .
- Let us assume now that  $reg(\mathcal{S}_1) \neq [\perp, \dots, \perp]$ . Hence there is at least one entry such that  $reg(\mathcal{S}_1)[i] = v$ . By Corollary 1, there is at least one process  $p_i$  that issued  $write(v)$  (concurrently or before any snapshot operation in  $\mathcal{S}_1$ ). Let  $\mathcal{W}_1$  be the set of the write operations such that  $reg(\mathcal{S}_1)[x] \neq \perp$ . These write operations are linearized in  $\widehat{H}'$  at the time of their invocation events. Let  $\tau_1$  be the time at which occurs the last of them, i.e.  $\tau_1 = \max(\{invoc(ww) \mid ww \in \mathcal{W}_1\})$ .

Claim A: For each operation  $\text{snap} \in \mathcal{S}_1$  we have  $\tau_1 < \text{resp}(\text{snap})$ .

Proof of Claim A. By contradiction. If the claim is false, there is  $\text{ww} = \text{write}(v) \in \mathcal{W}_1$  such that  $\text{resp}(\text{snap}) < \text{invoc}(\text{ww})$ , from which we have  $\text{snap} \rightarrow \text{ww}$ . Let  $p_k$  the process that issued this write operation. By Lemma 3 we have then  $\text{reg}(\mathcal{S}_1)[k] = \perp$ , which contradicts the definition of  $\mathcal{W}_1$ . End of the proof of Claim A.

By Lemma 3 and Claim A, it follows that, for each write  $\text{ww} \in \mathcal{W}_1$ , and for each  $\text{snap} \in \mathcal{S}_1$ , we have  $\text{ww} < \text{snap}$  or  $\text{ww} \parallel \text{snap}$ , and  $\tau_1 < \text{resp}(\text{snap})$ .<sup>1</sup>

In this case, let  $\mu_1 = \max(\{\text{invoc}(\text{ww}) \mid \text{ww} \in \mathcal{W}_1\} \cup \{\text{invoc}(\text{snap}) \mid \text{snap} \in \mathcal{S}_1\})$ .

Second case: From  $\mathcal{S}_1$  to  $\mathcal{S}_2$ .

Let  $\text{snap}$  be a snapshot operation in  $\mathcal{S}_2$ . There is a set of entries equal to  $\perp$  in  $\text{reg}(\mathcal{S}_1)$ , which are no longer equal to  $\perp$  in  $\text{reg}(\mathcal{S}_2)$ . By Corollary 1, there is a corresponding write for each of these entries. Let  $\mathcal{W}_2$  be the set of these writes.

Claim B: For each write operation  $\text{ww} \in \mathcal{W}_2$  we have  $\mu_1 < \text{resp}(\text{ww})$ .

Proof of Claim B. By contradiction. If the claim is false, let  $\text{ww} \in \mathcal{W}_2$  such that  $\text{resp}(\text{snap}) < \text{invoc}(\text{ww})$  for some  $\text{snap} \in \mathcal{S}_1$ . We have then  $\text{ww} < \text{snap}$ . Let  $p_k$  the process that issued  $\text{ww}$ . By Lemma 2, we must have  $\text{reg}(\mathcal{S}_1)[k] \neq \perp$ , which contradicts the definition of  $\mathcal{W}_2$ . End of the proof of claim B.

Thanks to Claim B, the write operations in  $\mathcal{W}_2$  can be linearized in  $\widehat{H}'$  after  $\mu_1$  ordered by their invocation times. Let  $\tau_2$  be the time at which occurs the last of them, i.e.  $\tau_2 = \max(\mu_1, \max\{\text{invoc}(\text{ww}) \mid \text{ww} \in \mathcal{W}_2\})$ .

Claim C: For every  $\text{snap} \in \mathcal{S}_2$ , we have  $\tau_2 < \text{resp}(\text{snap})$ .

Proof of Claim C. Following a proof similar to the one of Claim A, we have for each  $\text{snap} \in \mathcal{S}_2$  :  $\max(\{\text{invoc}(\text{ww}) \mid \text{ww} \in \mathcal{W}_2\}) < \text{resp}(\text{snap})$ . It then remains to show that, for each  $\text{snap} \in \mathcal{S}_2$ , we have  $\mu_1 < \text{resp}(\text{snap})$ . Considering, this is false for some  $\text{snap}$ , there are two cases (due to the definition of  $\mu_1$ ).

- $\text{resp}(\text{snap})$  occurs before the invocation of some write. Let  $\text{ww} \in \mathcal{W}_1$  be a write such that  $\text{resp}(\text{snap}) < \text{invoc}(\text{ww})$ . Hence we have  $\text{snap} \rightarrow \text{ww}$ . Let  $p_k$  be the process that issued this write. By Lemma 3, we have  $\text{reg}(\mathcal{S}_2)[k] = \perp$ , which contradicts the definition of  $\mathcal{W}_1$ .
- $\text{resp}(\text{snap})$  occurs before the invocation of some snapshot  $\text{snap}_1 \in \mathcal{S}_1$ :  $\text{resp}(\text{snap}) < \text{invoc}(\text{snap}_1)$ . Hence,  $\text{snap} < \text{snap}_1$ . Due to Lemma 4  $\text{reg}(\mathcal{S}_2) \leq \text{reg}(\mathcal{S}_1)$ , which contradicts the definition of  $\mathcal{S}_2$ . End of the proof of Claim C.

Thanks to Claim C, the scan operations in  $\mathcal{S}_2$  can be linearized in  $\widehat{H}'$  after  $\tau_2$  ordered by their invocation times. Let  $\mu_2 = \max(\{\text{invoc}(\text{ww}) \mid \text{ww} \in \mathcal{W}_1 \cup \mathcal{W}_2\} \cup \{\text{invoc}(\text{snap}) \mid \text{snap} \in \mathcal{S}_1 \cup \mathcal{S}_2\})$ .

Next cases: from  $\mathcal{S}_3$  until  $\mathcal{S}_\ell$ . Their proof is the same as the one for the case  $\mathcal{S}_2$ .

Let  $\mu_\ell = \max(\{\text{invoc}(\text{ww}) \mid \text{ww} \in \mathcal{W}_1 \cup \dots \cup \mathcal{W}_\ell\} \cup \{\text{invoc}(\text{snap}) \mid \text{snap} \in \mathcal{S}_1 \cup \dots \cup \mathcal{S}_\ell\})$ .

Let us finally the operations that happen in the history  $\widehat{H}$  and are not yet linearized. As all the snapshot operations and the write operations from which the snapshot operations obtain their values, have been linearized, the not yet linearized operations (if any) are the write operations whose values are never output by a snapshot operation. Let  $\mathcal{W}$  the set of these write operations. There are two cases.

- $|\mathcal{S}_\ell|$  is infinite.  
Let  $\text{ww} \in \mathcal{W}$ . As  $|\mathcal{S}_\ell|$  is infinite, there exists a snapshot  $\text{snap}$  such that  $\text{ww} \rightarrow \text{snap}$ . By Lemma 2

<sup>1</sup>It is assumed that the time line is the line of real numbers, namely, between any two time instants, there is another time instant.

the value written by  $ww$  appears in  $reg(\mathcal{S}_\ell)$ . A contradiction, which proves that this case cannot occur.

- $|\mathcal{S}_\ell|$  is finite.

Claim D: For each write operation  $ww \in \mathcal{W}$ :  $\mu_\ell < resp(ww)$ .

Proof of Claim D. The proof is by contradiction. Let us assume that the claim is false. Let  $p_k$  be the process that issued  $ww$ . Then for all  $i$   $reg(\mathcal{S}_i)[k] = \perp$ . There are two cases.

- $ww$  terminates before the invocation of some write operation of  $\mathcal{W}_1 \cup \mathcal{W}_2 \cup \dots \cup \mathcal{W}_\ell$ . Let  $ww_1 \in \mathcal{W}_i$  such that  $resp(ww) < invoc(ww_1)$ . Hence,  $ww \rightarrow ww_1$ . By Lemma 6, we have  $reg(\mathcal{S}_i)[k] \neq \perp$ , a contradiction.
- $ww$  terminates before the invocation of some snapshot operation in  $\mathcal{S}_\ell$ . Let  $snap \in \mathcal{S}_\ell$  such that  $resp(ww) < invoc(snap)$ . Hence,  $ww \rightarrow snap$ . It then follows from Lemma 2 that  $reg(\mathcal{S}_\ell)[k] \neq \perp$ , a contradiction, which concludes the proof of Claim D.

The write operations of  $\mathcal{W}$  are linearized in  $\widehat{H}'$  after  $\tau_\ell$  in their invocation time order.

It follows from the previous construction rules of  $\widehat{H}'$  that this sequential history respects the sequential specification of the one-shot snapshot object.  $\square_{\text{Lemma 7}}$

**Theorem 1** *Algorithm 1 implements a one-shot snapshot object in the system model  $\mathcal{CAMP}_{n,t}[t < n/2]$ .*

**Proof** The proof follows from Lemma 1 (Termination), and Lemma 7 (Linearizability).  $\square_{\text{Theorem 1}}$

## 5 Implementing a Multi-shot Snapshot Object

This section extends the previous algorithm from a one-shot snapshot object (at most one write per process) to a multi-shot snapshot object (any number of writes per process).

### 5.1 A non-blocking algorithm

It is easy to extend the basic algorithm depicted in Figure 1, which assumes that each process invokes at most once the write operation, to obtain a multi-shot algorithm in which, despite  $t < n/2$  process crashes, at least once process can invoke any number of write operations without being blocked forever. This progress condition is called *non-blocking* (it can be seen as absence of deadlock in the presence of failures).

The extension is as follows. A sequence number is associated with each write or snapshot operation. They are then used to ensure that any snapshot returns an array containing values such that it is possible to build a sequence of all write and snapshot invocations where each snapshot returns the array defined by the most recent write that appear before it in the sequence. This implementation is *non blocking* because (a) it ensures that all write operations terminates, and (b) all snapshot operations which are not concurrent with a write operations terminate. A snapshot operation may not terminate if infinitely often write operations are concurrent with it.

### 5.2 An always terminating algorithm

**Underlying principles** An extension ensuring that any invocation of a write or snapshot operation, issued by a correct process, does terminate, is described in Figure 2. To ensure this strong termination property, two mechanisms are added to the basic algorithm.

```

local variables initialization:
   $snw_i \leftarrow 0; sns_i \leftarrow 0; reg_i \leftarrow [\perp, \dots, \perp];$  for each  $i, j : repSnap[i, j] = \perp.$ 


---


operation write( $v$ ) is
(1)  $snw_i \leftarrow snw_i + 1; write\_pending \leftarrow (v, snw_i);$ 
(2)  $wait(write\_pending = \perp); return()$ 
end operation.

operation snapshot() is
(3)  $sns_i \leftarrow sns_i + 1; Rbroadcast\ SNAP(p_i, sns_i);$ 
(4)  $wait(repSnap[i, sns_i] \neq \perp); return(repSnap[i, sns_i])$ 
end operation.


---


function base_write( $wp$ ) is
(5)  $reg_i[i] \leftarrow wp;$ 
(6) broadcast  $WRITE(reg_i, wp);$ 
(7)  $wait$  ( $WRITE\_ACK(reg, wp)$  received from a majority of processes);
(8) let  $R$  be the set of  $reg$  arrays received at the previous line;
(9) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max_{\prec_{sn}} \{r[k] \mid r \in R \cup reg_i\}$  end for;
(10)  $return()$ 
end function.

function base_snapshot( $s, t$ ) is
(11) while  $repSnap[s, t] = \perp$  do
(12)  $prev \leftarrow reg_i; ssn_i \leftarrow ssn_i + 1; broadcast\ SNAPSHOT(s, t, reg_i, ssn_i);$ 
(13) wait until ( $SNAPSHOT\_ACK(s, t, reg, ssn_i)$  received from a majority of processes);
(14) let  $R$  be the set of  $reg$  arrays received at the previous line;
(15) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max_{\prec_{sn}} \{r[k] \mid r \in R \cup reg_i\}$  end for;
(16) if  $prev = reg_i$  then  $Rbroadcast\ END(source, sn, repSnap[source, sn])$  end if
(17) end while;
(18)  $return()$ 
end function.


---


Background task: repeat forever
(19) if ( $write\_pending \neq \perp$ ) then  $base\_write(write\_pending); write\_pending \leftarrow \perp$  end if;
(20) if (there are messages  $SNAP()$  received and not yet processed);
(21) then let  $SNAP(source, sn)$  be the oldest of these messages;
(22)  $base\_snapshot(source, sn);$ 
(23)  $wait(readSnap[source, sn] \neq \perp)$ 
(24) end if
end repeat.

when a message  $WRITE(reg, w)$  is received from  $p_j$  do
(25) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max_{\prec_{sn}} (reg_i[k], reg[k])$  end for;
(26)  $send\ WRITE\_ACK(reg_i, w)$  to  $p_j.$ 

when a message  $SNAPSHOT(s, t, reg, ssn)$  is received from  $p_j$  do
(27) for  $k \in \{1, \dots, n\}$  do  $reg_i[k] \leftarrow \max_{\prec_{sn}} (reg_i[k], reg[k])$  end for;
(28)  $send\ SNAPSHOT\_ACK(s, t, reg_i, ssn)$  to  $p_j.$ 

when a message  $END(s, t, val)$  is received from  $p_j$  do
(29)  $repSnap[s, t] \leftarrow val.$ 

```

Figure 2: Multi-shot snapshot object in  $\mathcal{CAMP}_{n,t}[t < n/2]$  (code for  $p_i$ )

- (1) Every process helps perform all snapshot operations: when a process wants to perform a snapshot operation it broadcasts its query to every process, and, when receiving this query, each process issues a basic snapshot operation (essentially identical to the one-shot snapshot of the previous

section). In this way, each process participates to every snapshot operation and in particular every process is aware of all snapshots that are not currently terminated.

- (2) To ensure that the snapshot operations are not prevented from terminating by write operations, each process, when there are some snapshot operations currently not terminated, is required to wait for the termination of the oldest snapshot operation among them. In this way, eventually no write operation can be concurrent with a snapshot operation, thereby ensuring their termination.

The corresponding extended algorithm is detailed in Figure 2, where (as before)  $reg_i$  is the current view of the memory at process  $p_i$ . This view is updated when  $p_i$  receives a `WRITE()` or `SNAPSHOT()` message. The operator  $\prec_{sn}$  is on pairs (value, seq. number). It orders them according to their increasing sequence numbers:  $((v, a) \prec_{sn} (w, b)) \Leftrightarrow (a < b)$ .

**Algorithms implementing the write() and snapshot() operations** To perform a write operation,  $p_i$  does not immediately start to realize a write operation as in the one-shot algorithm. It records the value to be written into a variable *write\_pending* with an appropriate sequence number (line 1). The write operation terminates (line 2) when the write is made in the background task of the algorithm (lines 19-23).

To perform a snapshot operation, a process  $p_i$  broadcasts in a reliable way, with the help of the underlying operation `Rbroadcast()`,<sup>2</sup> the request (message `SNAP()`) and its associated a sequence number to all processes (including itself) (Line 3). This request is processed in the background task at lines 20 and 22. Function `base_snapshot()` implements a “basic” snapshot that is essentially the same as for one-shot snapshot (waiting until the process obtains two identical vectors of values for the requested snapshot). Here this basic snapshot is stopped when at least one process has terminated a basic snapshot for the requesting upper layer snapshot. More precisely, the variable *repSnap* is an array such that *repSnap*[ $j, m$ ] contains the result of the  $m$ -th snapshot initiated by process  $p_j$  (and  $\perp$  before). This variable is written at line 29 when process  $p_i$  is notified (by a message `END()`) that at least one of basic snapshots for the requested upper layer snapshot terminated. Then *repSnap*[ $j, m$ ] contains a snapshot value of the  $m$ -th snapshot initiated by process  $p_j$ <sup>3</sup>.

In its background task (lines 19-23), process  $p_i$  performs a write (function `base_write`) if there a pending write (line 19). It easy to check that the function `base_write` always terminates. Then, if there are some requests for upper layer snapshots (corresponding to the reception of message `SNAP()`), process  $p_i$  chooses the oldest request and runs a basic snapshot for this request (line 22).

Let us first notice that each process executes *sequentially* the base operations `base_write()` and `base_snapshot()`. Let us also notice that a upper layer snapshot terminates as soon as it is not concurrent with processes performing write operations. This follows from the following observation. Let us assume that an upper layer snapshot does not terminate. Then, all corresponding basic snapshots it generates are necessarily stuck in the execution of the underlying basic `base_snapshot()`. But, if this occurs, no non-crashed process is currently running a base write operation `base_write`, from which follows that the upper layer snapshot operation terminates.

<sup>2</sup>The main property of such a broadcast operation is that any message delivered by a (correct or faulty) process is delivered by all correct processes, and at least the messages broadcast by the correct processes are delivered. Hence all correct processes deliver the same set of messages  $S$ , and any faulty process delivers a subset of  $S$ . Algorithms implementing reliable broadcast in the presence of process crashes are described in many textbooks (e.g. [7, 20, 24]).

<sup>3</sup>Let us notice that it is possible that several processes wrote snapshot values in *repSnap*[ $j, m$ ] to help  $p_j$  terminate its snapshot invocation. Any of these values is a correct snapshot value.

	Stacking [1] on [4]	Our algorithm
messages per write	$2n$	$2n$
messages per snapshot	$8n$	$2n$
write duration	one round-trip	one round-trip
snapshot duration	4 round-trips	one round-trip

Table 1: Cost comparison in favorable cases

## 6 Conclusion

Since a long time, snapshot algorithms suited to asynchronous message-passing reliable systems have been proposed (e.g. in [8, 12, 17]). These algorithms, which consider process local states and channels states, do not cope with failures, and provides snapshots which cannot always be compared [9, 25].

Differently this paper has introduced the notion of a read/write snapshot object built on top of asynchronous message-passing systems in which any minority of processes may crash. A main property of these read/write snapshot lies in their Containment property (they can be totally ordered according to their occurrence order). The paper has considered two types of such snapshot objects: one-shot (in which a process may issue as many snapshot operations as it wants, but is restricted to issue only one write operation), and multi-shot (in which there is no restriction on the number of write operations issued by each process). The paper has also presented two algorithms, one for each type of snapshot object. The two main properties of these algorithms are their fault-tolerance and the total order on the snapshot values they return.

Table 1 compares the cost of the one-shot snapshot algorithm proposed in the paper with the stacking of the read/write snapshot algorithm described in [1], executed on the emulation of SWMR atomic registers in an asynchronous message-passing system described in [4]. This comparison considers the best cases, namely it assumes that each operation is invoked in a concurrency-free context (which is the most frequent case in practice).

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