

# A Fault-Tolerant Token-Based Mutual Exclusion Algorithm Using a Dynamic Tree

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**Abstract.** This article presents a fault tolerant extension for the Naimi-Trehel token-based mutual exclusion algorithm. Contrary to the extension proposed by Naimi-Trehel, our approach minimizes the use of broadcast support by exploiting the distributed queue of token requests kept by the original algorithm. It also provides good fairness since, during failure recovery, it tries to preserve the order in which token requests would have been satisfied had the failure not occurred.

## 1 Introduction

Mutual exclusion is a fundamental concept in distributed systems. Several algorithms have been proposed to solve the problem of mutual exclusion, serializing concurrent accesses to a shared resource. They can essentially be divided into two groups: *permission-based* (e.g. Lamport [2], Ricart-Agrawala [8], Maekawa [3]) and *token-based* (e.g. Suzuki-Kazami [9], Raymond [7], Naimi-Trehel [5]). Algorithms of the first group are based on the principle that a node may enter critical section only after having received permission from all the other nodes (or a majority of them [3]). The drawback of these algorithms is the high communication overhead. In the second group of algorithms, a system-wide unique token is shared among all nodes, and its possession gives a node the exclusive right to enter into the critical section, thus ensuring the safety property.

Some token-based algorithms, such as Raymond [7] and Naimi-Trehel [5], consider that nodes are organized in a logical tree and that a node always sends a token request to its father in the tree. Tree-based algorithms have an average lower message cost, and many of them result in a logarithmic message complexity  $\mathcal{O}(\log N)$  with regard to the number of nodes. Presenting better scalability, they can be more easily adapted to large scale configurations like grid and peer-to-peer environments [1]. Another advantage of these algorithms is the simplicity of their local data structures. However, a tree-based algorithm is very sensitive to node failure since it cannot tolerate even a single failure of one of the nodes in a token request path.

In this paper we propose a fault tolerant extension for the Naimi-Trehel token-based mutual exclusion algorithm. Naimi-Trehel's algorithm maintains

two main data structures: a dynamic logical tree such that the root of the tree is always the last node that will have the token among the current requesting ones nodes, and a distributed queue that keeps token requests that have not been satisfied yet. The dynamic property of the request tree is strongly exploited in our solution. Let  $N$  be the number of nodes in the system. The new algorithm can tolerate at most  $N - 1$  node failures and the message overhead for failure recovery is relatively low.

Naimi and Trehel have proposed a fault tolerant extension of their own algorithm in [6]. In the absence of failure, the original algorithm is not modified. However, recovery from failure is very expensive in terms of messages since it requires multiple broadcasts, causing a high message overhead. Furthermore, the distributed queue of token requests has to be completely rebuilt.

We have modified the original Naimi-Trehel algorithm, introducing one additional message per token request. This modification has minimal impact on the original protocol in the absence of failures. On the other hand, our algorithm presents a lower cost in terms of messages in the presence of failures since it broadcasts at most one message when compared to the multiple broadcast messages of Naimi-Trehel's algorithm [6]. In contrast to the latter, the basic idea of our algorithm, in case of failure recovery, is to reconstruct the distributed queue of token requests by assembling disconnected portions of the previous queue. In addition to the low recovery cost, this approach exhibits the fairness property since it preserves the order in which token requests were previously queued.

We should mention that Mueller also presents in [4] a fault-tolerant extension of the Naimi-Trehel algorithm without broadcast support. However in his solution a ring communication structure, which includes all nodes of the system, is used for detecting a node failure as a message circulates constantly on it. Even if his solution does not use broadcast support, it also presents a lack of scalability, since the ring exhibits a message overhead that grows linearly with the number of nodes. Furthermore, his approach tolerates only one node failure.

The organization of this paper is as follows. Section 2 presents our considered system model. Section 3 briefly describes Naimi-Trehel's algorithm and outlines the problems for making it fault tolerant. Their fault tolerant version of this algorithm is described in section 4. In Section 5, we describe our fault-tolerant extension for the original Naimi-Trehel algorithm. A performance comparison of both fault-tolerant algorithms is presented in section 6, whilst the last section concludes our work.

## 2 General Model

We consider a distributed system consisting of a finite set of  $N$  sites  $\Pi = \{S_1, S_2, \dots, S_N\}$  that are spread throughout a network. Sites communicate only by sending and receiving messages. Every pair of sites is assumed to be connected by means of a reliable communication channel. However, messages may be delivered in a different order than the one they were sent in. The words site and node are interchangeable.

We consider a synchronous fully-connected network where process speeds and message transmission times are bounded.  $T_{msg}$  is the maximum latency for sending a message between two sites. Contrary to Naimi-Trehel, which considers that a critical section execution takes  $T_{cs}$  in average, our algorithm makes no assumption on the time for executing critical sections.

Sites can fail by crashing only, and this crash is permanent.  $N - 1$  node failures are tolerated.

### 3 Naimi-Trehel's Algorithm

Naimi-Trehel's algorithm [5] is a token-based algorithm. It keeps two data-structures:

1. A logical dynamic tree structure such that the root of the tree is always the last site that will get the token among the current requesting ones. Requesting sites then form a logical tree pointing by probable token owners towards the root. Initially, the root is the token holder, elected among all sites. We call this tree the *last tree*, since each site keeps a local variable called *last* that points to the probable owner of the token.

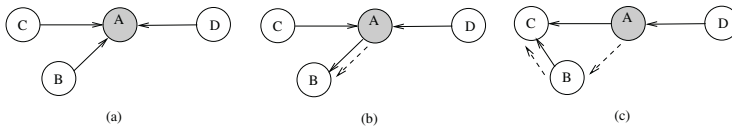
2. A distributed queue which keeps critical section (CS) requests that have not yet been satisfied. We call this queue the *next queue*, since each site  $S_i$  keeps a local variable called *next* that points to the next site to whom the token will be granted after  $S_i$  leaves the critical section.

One **invariant of Naimi-Trehel algorithm** is that the root node of the *last tree* is always the tail node of the *next queue*.

When a site  $S_i$  wants to enter the critical section, it sends a request to its *last*.  $S_i$  then sets its *last* variable to itself and waits for the token. Site  $S_i$  becomes the new root of the tree.

Receiving  $S_i$ 's token request message, site  $S_j$  can take one of the following actions: (1)  $S_j$  is not the root of the tree. It forwards the request to its *last* and then updates its *last* variable to  $S_i$ . Notice that the *last tree* is modified dynamically; (2)  $S_j$  is the root of the tree. If  $S_j$  is holding an idle token, it sends it back to  $S_i$  directly. On the other hand, if  $S_j$  holds the token but is in the critical section or is waiting for the token,  $S_j$  sets its *next* variable to  $S_i$ . At the end of the execution of critical section,  $S_j$  sends the token to its *next*.

An example of Naimi-Trehel's algorithm execution with four nodes is shown in Figure 1. Initially (a), site  $A$  is the root which holds the token. The local *last* variable of all nodes points to  $A$ . In (b), node  $B$  asks for the token by sending a request to its *last* ( $last_B = A$ ).  $B$  becomes the new root ( $last_B = B$ ). Then,  $A$  updates its *next* and *last* variables to point to  $B$ . In (c),  $C$  asks  $A$  for the token. The request is forwarded to  $B$  which updates its *next* to  $C$  ( $next_B = C$ ). Both  $A$  and  $B$  update their *last* to  $C$ , since the latter is the last requester of the token ( $C$  becomes the new root of the tree). When  $A$  releases the critical section, the token will be sent to  $B$  as  $next_A = B$ .



**Fig. 1.** Example of Naimi-Trehel's algorithm execution

The major challenges for making Naimi-Trehel algorithm fault-tolerant are:

1. *The faulty node is an intermediate node of the last tree.* In this case, if the faulty node were used for forwarding the token request before the failure, the request should be resent. Furthermore, we must be sure that the state of *last tree* is consistent before re-sending the request. However, in the Naimi-Trehel algorithm, while a request message is in transit, the tree is temporarily broken into several smaller rooted trees. Thus, finding a right path to the root may be impossible if the failure has occurred when the tree was in an unstable state.
2. *The faulty node belongs to the next queue.* In this case, it is not possible to know the path for token transmission anymore. Therefore, *next queue* must either be rebuilt from the beginning or by gathering disconnected portions of the queue which existed before the failure.
3. *The faulty node had the token.* In this case, the token must be regenerated and the uniqueness of the token must be guaranteed.

## 4 Naimi-Trehel Fault Tolerant Extension

In [6], Naimi and Trehel propose a fault-tolerant version of their algorithm. The original algorithm is not modified but some extensions are included in the algorithm to detect site failures, recover from failures, and regenerate the token.

To detect a site failure, site  $S_i$ , which requests the critical section, arms a timer  $T_{wait}$ . This timer depends on latency communication time ( $T_{msg}$ ) and the average time ( $T_{cs}$ ) for executing the critical section. If  $S_i$  does not receive the token after the expiration of  $T_{wait}$ , it suspects that a failure has occurred. Therefore,  $S_i$  broadcasts a *CONSULT* message to ask for the state of the other sites and arms a new timer,  $T_{elec}$ . When a site  $S_j$  receives this message, it answers to  $S_i$  only if the latter is its *next*. At the expiration of  $T_{elec}$ , if  $S_i$  does not receive any response, it is sure that a failure has occurred.  $S_i$  then broadcasts a *FAILURE* message to detect the presence of the token in one of the sites. A site replies to  $S_i$  if it owns the token.

If after a new  $T_{elec}$  delay,  $S_i$  has not received any answer to its failure message, it considers that the token is lost and it becomes a candidate to regenerate the token. It then broadcasts an *ELECTION* message. In case of concurrent election messages, the site with the smallest identifier is chosen. At the end, an *ELECTED* message is broadcasted to inform all sites of the new token owner. Finally, the identification of the *last* of each site is set to the new token owner. Notice that each node having requested the token before the failure has to resend its token request.

## 5 Our Fault-Tolerant Algorithm

Contrary to the fault tolerant extension proposed by Naimi and Trehel, we have modified the original algorithm in order to provide the same guarantees in terms of fault tolerance and to optimise efficiency and complexity in the occurrence of failures.

### 5.1 Principle of the Algorithm

The guiding principle of our algorithm is to reconstruct the *next queue* by gathering intact portions of the previous *next queue* which existed just before the failure. The aim of this reconstruction is to preserve the initial order of token requests as much as possible and to avoid request retransmissions, as is the case in Naimi-Trehel's solution. On the other hand, if the reconstruction is not possible, a new *next queue* will be created as well as a new *last tree*. The latter needs to be consistent with the former guaranteeing the invariant mentioned in section 3.

Considering the original algorithm, a site always knows, through its *next* variable, which site will receive the token after it, i.e. its successor in *next queue*. However, it is not aware of which site will grant the token to it, neither which sites will get the token before it. In other words, it is not aware of its predecessors in *next queue*. Thus, in order to inform a node of its predecessor in *next queue*, we have added a confirmation mechanism to the original algorithm for each token request. Whenever a site  $S_j$  updates its *next* variable, i.e.  $S_j$  is in the last element of the *next queue* and received a token request, it sends a *COMMIT* message to the requester in order to confirm the reception of the request and to communicate the identification of its predecessors. The *next queue* then keeps a ordering where the smallest position corresponds to the site which has the token. A site loses its position when it leaves the queue. Initially the token holder has position zero. A *COMMIT* message sent to the requester  $S_i$ , by site  $S_j$ , contains the two following informations:

- *The  $k$  predecessors of  $S_i$* :  $k$  is a configurable parameter, indicating how many failures the algorithm can recover by using mechanism **M1**, described below.
- *$S_i$ 's position in the queue*: equals to  $S_i$ 's closest predecessor's position + 1.

The cost of having a predecessor information mechanism is low in terms of messages. We have added just one message per token request. Thus, the message complexity of the algorithm only grows from  $\log(N)$  to  $\log(N) + 1$  and thus remains  $\mathcal{O}(\log(N))$ . However, this mechanism enables the detection of failures more effectively than Naimi-Trehel's fault tolerant extension. In their approach, the reception of the token is controlled by a timer  $T_{wait}$ , which depends both on latency ( $T_{msg}$ ) and the time ( $T_{cs}$ ) for executing the critical section. In our approach, the same timer depends only on latency ( $T_{msg}$ ). After receiving a *COMMIT* message,  $S_i$  periodically checks the liveness of its closest predecessor.

After detecting a failure, site  $S_i$  will start a failure recovery by executing a different mechanism for each of the three following cases:

- **Mechanism 1 (M1)**. Site  $S_i$  has received a *COMMIT* message and there are less than  $k$  consecutive faulty sites in *next queue*.

- **Mechanism 2 (M2).** Site  $S_i$  received a *COMMIT* message, but there are more than  $k$  consecutive faulty sites in the *next queue*.
- **Mechanism 3 (M3).** The site did not receive any *COMMIT* message.

We now detail how to recover from failures in the three cases. **M1.** When site  $S_i$  detects a failure of its closest predecessor, it sends an *ARE\_YOU\_ALIVE* message to each of its predecessors from the closest to the farthest, so as to check if they are still alive. It stops querying when it obtains an *I\_AM\_ALIVE* message from one of its predecessors. The latter then takes  $S_i$  as its new successor, i.e. it sets its *next* variable to  $S_i$ . The *next queue* is then reconstructed and the order is preserved. Furthermore, the *last tree* remains consistent with the *next queue* and the invariant mentioned in section 3 is asserted.

**M2.** If no predecessor responded to the *ARE\_YOU\_ALIVE* message,  $S_i$  will try to reconnect itself to *next queue* by diffusing a *SEARCH\_PREV* message which contains  $S_i$ 's position.  $S_i$  then arms a timer ( $2 * T_{msg}$ ), waiting for the answer messages. All sites having a smaller position than  $S_i$ 's will answer to it. After waiting  $2 * T_{msg}$ ,  $S_i$  will choose among these sites, the one which has the greatest position to become its closest predecessor. Then,  $S_i$  reconnects itself to this chosen site by sending a *CONNECTION* message to it. If  $S_i$  does not receive any answer at all after  $2 * T_{msg}$ , it concludes that it has no predecessors and consequently the token has been lost.  $S_i$  should then regenerate the token, initializing its position to zero.

Observe that in both mechanisms **M1** and **M2**, due to our predecessor information approach, the order of *next queue* is preserved.

**M3.** We must consider now the case where the site which detects the failure has not received the *COMMIT* message yet, and therefore has no position in *next queue*. Moreover, in the absence of such information, several sites can detect the same failure simultaneously.

**M3.a** We initially consider the situation when just one site  $S_i$  detects the failure. In order to reconnect itself to *next queue*,  $S_i$  will search for the site which has the greatest position. This search is initiated by the diffusion of a *SEARCH\_QUEUE* message.  $S_i$  then arms a timer ( $2 * T_{msg}$ ), waiting for the answer messages. A site that has a position in *next queue* answers to  $S_i$  with an *ACK\_SEARCH\_QUEUE* message which contains its position in the *next queue*, as well as whether or not it has a *next*. Among all the received answers within  $2 * T_{msg}$ ,  $S_i$  will select the site  $S_j$  with the greatest position.  $S_i$  then considers three possibilities:

(i):  $S_j$  has informed that it has no *next*.  $S_i$  then resends a token request to  $S_j$ . Notice that, since this request is sent directly to a node at the tail of *next queue*,  $S_i$  does not use *last tree* to send a token request. Thus, we avoid the problem mentioned in section 3 concerning the instability of *last tree* when token requests are in transit.

(ii):  $S_j$  has informed that it has a *next*.  $S_i$  can conclude that  $S_j$ 's *next* has failed.  $S_i$  then sends a *CONNECTION* message to  $S_j$  in order to force  $S_j$  to reconnect itself to  $S_i$ ; i.e.  $S_j$  will set its *next* to  $S_i$ .

(iii): If site  $S_i$  has not received any answer, it concludes that it has no more predecessors and that the token has been lost.  $S_i$  can then regenerate the token, initializing its position to 0. It is sure to be the only site to regenerate the token.

**M3.b** We now discuss the situation when several sites detect the node failure concurrently. They will start tracking the *next queue*, and will even generate a new token, which may bring *next queue* to an inconsistent state or the loss of the token uniqueness property. An election mechanism then is necessary. We consider that a site is elected if it is always candidate after a time of  $2 * T_{msg}$ .

Having sent a *SEARCH\_QUEUE* message to the other sites as described above, site  $S_i$  is a candidate to reconnect to *next queue*. However, if  $S_i$  receives a *SEARCH\_QUEUE* message from node  $S_j$ , it knows that another site  $S_j$  is also a candidate for reconnection. Thus, if  $S_j$  has made fewer accesses to the critical section than  $S_i$  (this information is included in the *SEARCH\_QUEUE* message) or  $S_i$ 's access number is equal to  $S_j$ 's but  $S_j$  has a greater identifier than  $S_i$ , the latter loses the election, sending a token request to  $S_j$ . In turn,  $S_j$  will be responsible for reconnecting itself to *next queue*. If  $S_j$  later loses the election, it will behave like  $S_i$ . However, if it wins the election, it finds itself in the situation of mechanism **M3.a**. *Next queue* is thus repaired<sup>1</sup>.

Contrary to the first two mechanisms, the order of previous token requests is not preserved in mechanism **M3**. Thus, *last tree* must be reconstructed to be consistent with the new *next queue*. However, this reconstruction is done dynamically, without any additional overhead in terms of message and latency, since all the information a site needs has been transmitted to it in the *SEARCH\_QUEUE* message. Considering that  $S_i$  is the single site that suspected the fault (**M3.a**), or the one that wins the election (**M3.b**), *last tree* is reconstructed as follows:

**I:** all sites which do not wait for the token set their *last* variable to  $S_i$ .

**II:** all sites that have a position in *next queue* set their *last* variable to  $S_i$ .

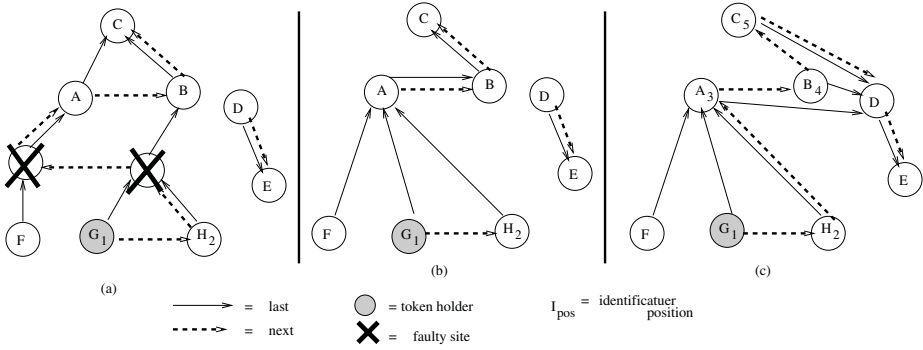
**III:** all sites without a position, but in wait for the token, set their *next* variable to the same value as their *last* variable.

An example of failure recovery based on mechanism **M3** is shown in figure 2. We consider that there are two faulty sites, as shown in figure 2.a. The *next queue* is broken into two portions ( $G, H$  and  $A, B, C$ ). Sites  $G$  and  $H$  have already obtained a position in *next queue*, but sites  $A$ ,  $B$  and  $C$  have not. The token is held by site  $G$ , first site of the *next queue*. We also consider that site  $D$  had sent a token request to one of the two faulty sites and while waiting for the *COMMIT* message, it accepted a token request from  $E$ . Thus, there is a second queue of sites waiting for the token, but it is not connected to *next queue* yet. Notice that in such configuration *last tree* is also broken (the *last* variable values of sites  $F$ ,  $G$ ,  $H$  and  $D$  have become useless).

Suppose that sites  $A$  and  $D$  detect a node failure concurrently. Both of them broadcast a *SEARCH\_QUEUE* message. We then say that  $A$  wins the election, i.e.  $A$  is the elected node. In figure 2.b, we can see how some of the *last* variables are updated. Having a position, sites  $G$  and  $H$  update their *last* to  $A$  (see II), as

<sup>1</sup> To ensure that two sites do not get the same position, message ordering is controlled by using Lamport's timestamp.





**Fig. 2.** Example of our fault-tolerant algorithm execution

well as site  $F$ , which was not waiting for the token (see I). However,  $A$ ,  $B$  and  $E$ , which are waiting for the token but do not have a position, update their *last* variables to the same value as their respective *next* variables (see III).

When receiving the *ACK\_SEARCH\_QUEUE* message from  $H$ , site  $A$  can conclude that the *next* of  $H$  is a faulty site (see ii).  $A$  then sends a *CONNECTION* message to  $H$ . When the latter receives such a message, it sets its *next* variable to  $A$ . On the other hand, since site  $D$  lost the election, it sends a token request to the elected node ( $A$ ). When receiving  $D$ 's request,  $A$  forwards this request to its *last* ( $last_A = B$ ). The request travels along *last tree*, arriving at  $C$ , the root of the tree. All sites belonging to *last path* which received the request update their *last* variable to  $D$ . Site  $C$  sets its *next* variable to  $D$ , sending a *COMMIT* message to it. Figure 2.c shows the final configuration, considering that sites  $D$  et  $E$  have not received a *COMMIT* message yet.

## 5.2 Sketch of Proof

We are just going to give the outline of the correctness proof of our algorithm. For this purpose, we should prove its *safety* and *liveness* properties:

- **Safety:** there is always at most one token in the system, which guarantees that at most one site can execute the critical section at any time.
- **Liveness:** A site requesting entry to the critical section will eventually succeed within a bounded time.

**Proof of liveness:** This proof comprises two parts. Firstly, we should prove the *liveness* for a site which has a position, and then that a site eventually obtains a position within a bounded time.

In the absence of failures, we can identify the following four invariants, which are easily proven by induction: **I1** - the site with the smallest position has the token; **I2** - the position ordering respects the order of *next queue*; **I3** - after  $S_i$  got its position, no site can get a new position which is smaller than  $S_i$ 's; **I4** - two sites cannot have the same position.

In the absence of failures, these invariants ensure that a site  $S_i$  holding a position will receive the token within a finite time. Indeed, **I1** and **I2** ensure



site  $S_i$  that the owner of the token is one of its predecessors while **I2** and **I3** guarantee that a site is never inserted before  $S_i$ 's predecessors. On the other hand, when a failure occurs, invariant **I1** is not true anymore if the token is lost. Thus, to ensure *liveness*, it is just enough to prove that mechanism **M2** is able to make invariant **I1** true again within a bounded time, i.e. that the site with the smallest position eventually detects the loss of the token and regenerates it within a bounded time. It is not necessary to prove that the three recovery mechanisms need to reconstruct the *next queue*. However, we must prove that they do not change the other invariants.

To prove the second part, i.e. that a site obtains a position within a bounded time, we must prove that:

- *A site whose token request is lost retransmits it within a bounded time using a set of data structures which is consistent with the original algorithm.* The failure detection of mechanism **M3** takes place within at most  $N * T_{msg}$ . Moreover, it is also possible to show a scenario in the absence of failure which is similar to the one resulting from the execution **M3** that rebuilt the *last tree* and the *next queue*.
- *A request can be lost a finite number of times.* This is ensured by our model, i.e. there can be at most  $N - 1$  permanent crashes. However, if there is an infinite number of failures, this property keeps true if and only if the system has periods of stability of at least  $N * T_{msg}$ .

**Proof of safety:** in the original Naimi-Trehel algorithm there is always only one token. However, in our approach, **M2** and **M3** may regenerate a token. Thus we need to prove that in these mechanisms:

- *A site regenerates a token only when the latter has been lost:* in mechanism **M2** (resp. **M3**), a site regenerates a token, if and only if, it did not receive an answer *ACK\_SEARCH\_PREV* (resp. *ACK\_SEARCH\_QUEUE*). To prove that “no answer implies no more token”, its contrapositive can easily be proven. This can be done by using invariant **I1**, which implies that if there is at least one token, then the site with the smallest position has one of these tokens.
- *Only one site regenerates the token:* we can prove by contradiction that **M2** and **M3** are not compatible. In the same way, we can prove that two sites cannot regenerate the token by using both mechanism **M2** (resp. **M3**).

## 6 Performance Issues

Considering failure detection and recovery, we can compare our algorithm to Naimi-Trehel's fault-tolerant one (see section 4).

- **Message complexity:** in the worst case of failure recovery, Naimi-Trehel's fault tolerant algorithm broadcasts four messages. Our solution sends one *COMMIT* message per token request in order to keep control of *next queue* and a broadcast *SEARCH\_PREV* message, if necessary. It is also worth mentioning that in the former all the successors of the faulty node must resend their token request, while in our algorithm only lost requests are resent.
- **Time:** so as to detect faulty sites, Naimi-Trehel's algorithm controls the reception of the token. In the worst case, it waits  $(N - 1) * (T_{msg} + T_{cs})$ . Our

algorithm controls the arrival of the token request at the tail node of *next queue* as well as the reception of the *COMMIT* message by the requester. It then waits at most  $((N - 1) + 1) * T_{msg}$  for suspecting a faulty node, which does not depend on  $T_{cs}$ . Another important point is that our algorithm has fewer phases than Naimi-Trehel's during failure recovery, reducing recovery time. Moreover, it may happen that such a recovery is done while the algorithm goes on executing normally as if no failure had occurred; i.e it does not need to wait for a stable *last tree* as in the Naimi-Trehel approach. The failure recovery time is then covered up by the time that a site waits for a token.

– **Fairness:** in Naimi-Trehel's approach, *next queue* is rebuilt from the beginning at each failure recovery and the original ordering is not preserved. In our approach, after receiving the *COMMIT* message, a site has its position  $p$  in *next queue* which ensures that it will access the critical section after at most  $p - 1$  other critical section accesses.

## 7 Conclusion

We presented in this paper a new fault-tolerant algorithm for mutual exclusion. This algorithm is an extension of the Naimi-Trehel token-based algorithm. Compared to the solution proposed in [6], our algorithm has two main properties: a short recovery delay and a resilient fairness of requests. In case of failure, we reconstruct the distributed request queue by assembling portions of the previous queue. Our algorithm requires at most one broadcast and the order of critical section requests is preserved as much as possible despite failures.

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