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Information technology — Open Systems Interconnection — Application Context for Systems Management with Transaction Processing

Technologies de l'information — Interconnexion de systèmes ouverts (OSI) — Contexte d'application pour la gestion-systèmes avec traitement transactionnel

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Contents

Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

International Standard ISO/IEC 11587 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 21, *Open systems interconnection, data management and open distributed processing,* in collaboration with ITU-T. The identical text is published as ITU-T Rec. X.702.

Annexes A and B of this International Standard are for information only.

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INTERNATIONAL STANDARD

ITU-T RECOMMENDATION

INFORMATION TECHNOLOGY – OPEN SYSTEMS INTERCONNECTION – APPLICATION CONTEXT FOR SYSTEMS MANAGEMENT WITH TRANSACTION PROCESSING

1 Scope

The application context, defined in this Recommendation | International Standard, is available for an association in the systems management environment. The application context provides a basic Systems Management context with TP and may be part of a family of contexts as additional requirements are defined for systems management.

The application context, defined in this Recommendation | International Standard, satisfies the following requirements:

- support for grouping CMIS requests so that consistency constraints can be satisfied by coordinated changes that, if done individually, would not satisfy the constraints, without requiring provisions for rollback or recovery; and
- support for atomic synchronization of a set of CMIS requests with provisions for commitment, rollback, and recovery so that either all the CMIS requests are satisfactorily performed or none are performed.

2 Normative references

The following Recommendations and International Standards contain provisions which, through reference in this text, constitute provisions of this Recommendation | International Standard. At the time of publication, the editions indicated were valid. All Recommendations and Standards are subject to revision, and parties to agreements based on this Recommendation | International Standard are encouraged to investigate the possibility of applying the most recent edition of the Recommendations and Standards listed below. Members of IEC and ISO maintain registers of currently valid International Standards. The Telecommunication Standardization Bureau of the ITU maintains a list of currently valid ITU-T Recommendations.

2.1 Identical Recommendations | International Standards

- ITU-T Recommendation X.207 (1993) | ISO/IEC 9545:1994, *Information technology – Open Systems Interconnection – Application Layer structure.*
- CCITT Recommendation X.701 (1992) | ISO/IEC 10040:1992, *Information technology – Open Systems Interconnection – Systems management overview.*

  NOTE – The Systems management overview defines a systems management application context which is adequate when only SMASE and CMISE facilities are needed.
- ITU-T Recommendation X.851 (1993) | ISO/IEC 9804:1994, *Information technology – Open Systems Interconnection – Service definition for the commitment, concurrency and recovery service element.*
- ITU-T Recommendation X.852 (1993) | ISO/IEC 9805-1:1994, *Information technology – Open Systems Interconnection – Protocol for the commitment, concurrency and recovery service element: Protocol specification.*

2.2 Paired Recommendations | International Standards equivalent in technical content

- CCITT Recommendation X.208 (1988), *Specification of Abstract Syntax Notation One (ASN.1).*

  ISO/IEC 8824:1990, *Information technology – Open Systems Interconnection – Specification of Abstract Syntax Notation One (ASN.1).*
- CCITT Recommendation X.209 (1988), *Specification of basic encoding rules for Abstract Syntax Notation One (ASN.1).*

ISO/IEC 8825:1990, *Information technology – Open Systems Interconnection – Specification of Basic Encoding Rules for Abstract Syntax Notation One (ASN.1).*

- CCITT Recommendation X.217 (1992), *Service definition for the Association Control Service Element.*

  ISO 8649:1988, *Information processing systems – Open Systems Interconnection – Service Definition for the Association Control Service Element.*

- CCITT Recommendation X.219 (1988), *Remote Operations: Model, notation and service definition.*

  ISO/IEC 9072-1:1989, *Information processing systems – Text communication – Remote Operations – Part 1: Model, notation and service definition.*

- CCITT Recommendation X.227 (1992), *Association Control Protocol Specification for Open Systems Interconnection for CCITT Applications.*

  ISO 8650:1988, *Information processing systems – Open Systems Interconnection – Protocol specification for the Association Control Service Element.*

- CCITT Recommendation X.229 (1988), *Remote operations: Protocol specification.*

  ISO/IEC 9072-2:1989, *Information processing systems – Text communication – Remote Operations – Part 2: Protocol specification.*

- CCITT Recommendation X.710 (1991), *Common management information service definition for CCITT applications.*

  ISO/IEC 9595:1991, *Information technology – Open Systems Interconnection – Common management information service definition.*

- CCITT Recommendation X.711 (1991), *Common management information protocol specification for CCITT applications.*

  ISO/IEC 9596-1:1991, *Information technology – Open Systems Interconnection – Common management information protocol – Part 1: Specification.*

- CCITT Recommendation X.860 (1992), *Open Systems Interconnection – Distributed Transaction Processing: Model.*

  ISO/IEC 10026-1:1992, *Information technology – Open Systems Interconnection – Distributed Transaction Processing – Part 1: OSI TP Model.*

- CCITT Recommendation X.861 (1992), *Open Systems Interconnection – Distributed Transaction Processing: Service definition.*

  ISO/IEC 10026-2:1992, *Information technology – Open Systems Interconnection – Distributed Transaction Processing – Part 2: OSI TP Service.*

- ITU-T Recommendation X.862 (1993), *Open Systems Interconnection – Distributed Transaction Processing: Protocol specification.*

  ISO/IEC 10026-3:1992, *Information technology – Open Systems Interconnection – Distributed Transaction Processing – Part 3: Protocol specification.*

2.3 Additional references

- ISO/IEC 10026-5:...[1)], *Information technology – Open Systems Interconnection – Distributed Transaction Processing – Part 5: Application context proforma and guidelines when using OSI TP.*

3 Abbreviations

For the purposes of this Recommendation | International Standard, the following abbreviations apply:

ACSE	Association Control Service Element (see CCITT Rec. X.217 | ISO 8649 and CCITT Rec. X.227 | ISO 8650)
AEI	Application Entity Invocation
APDU	Application Protocol Data Unit
ASE	Application Service Element
ASN.1	Abstract Syntax Notation One (see CCITT Rec. X.208 | ISO/IEC 8824)

1) To be published.

ASO	Application Service Object
BER	Basic Encoding Rules (see CCITT Rec. X.209 | ISO/IEC 8825)
CCR	Commitment Concurrency and Recovery (see ISO/IEC 9804-1 and 9805-1)
CMIP	Common Management Information Protocol (see CCITT Rec. X.711 | ISO/IEC 9596-1)
CMIS	Common Management Information Service (see CCITT Rec. X.710 | ISO/IEC 9595)
CMISE	Common Management Information Service Element (see CCITT Rec. X.710 | ISO/IEC 9595 and CCITT Rec. X.711 | ISO/IEC 9596-1)
ISP	International Standard Profile
MACF	Multiple Association Control Function
MIS	Management Information Service
OSI	Open Systems Interconnection
RO	Remote Operations (see CCITT Rec. X.219 | ISO/IEC 9072-1 and CCITT Rec. X.229 | ISO/IEC 9072-2)
ROSE	Remote Operations Service Element (see CCITT Rec. X.219 | ISO/IEC 9072-1 and CCITT Rec. X.229 | ISO/IEC 9072-2)
SACF	Single Association Control Function
SMAE	Systems Management Application Entity
SMASE	Systems Management Application Service Element
SMFU	Systems Management Functional Unit
SMO	Systems Management Overview (see CCITT Rec. X.701 | ISO/IEC 10040)
TP	Transaction Processing (see CCITT and ITU-T Recs. X.860/861/862 | ISO/IEC 10026)
TPASE	Transaction Processing Application Service Element
TPSU	Transaction Processing Service User
TPSUI	Transaction Processing Service User Invocation
TPSP	Transaction Processing Service Provider

4 Application context name

The Application Context Name of the application context, defined in this Recommendation | International Standard, shall have the following object identifier value:

{joint-iso-ccitt(2) ms(9) applicationContext(4) systems-management-with-tp(3) version1(0)}

and an object descriptor of:

"Systems management application context with TP Version 1"

5 Component ASEs and ASOs

The application context, defined in this Recommendation | International Standard, consists of the following ASEs:

5.1 ACSE

Reference	CCITT Rec. X.217 | ISO 8649 and CCITT Rec. X.227 | ISO 8650
Version number	1
Brief Description	Association Control Service Element

5.2 ROSE

Reference	CCITT Rec. X.219 | ISO/IEC 9072-1 and CCITT Rec. X.229 | ISO/IEC 9072-2
Version number	1
Brief Description	Remote Operations Service Element
NOTE – ROSE versions are specified indirectly as part of CMISE.	

5.3 CMISE

Reference	CCITT Rec. X.710 | ISO/IEC 9595 and CCITT Rec. X.711 | ISO/IEC 9596-1
Version number	2
Brief Description	Common Management Information Service Element

5.4 SMASE

Reference	CCITT Rec. X.701 | ISO/IEC 10040 (SMO)
Version number	1 (of SMASE UserData)
Brief Description	Systems Management Application Service Element

5.5 TPASE

Reference	CCITT and ITU-T Recs. X.860/861/862 | ISO/IEC 10026
Version number	1
Brief Description	Transaction Processing Application Service Element

5.6 CCR

Reference	ISO/IEC 9804-1 and 9805-1
Version number	2
Brief Description	Commitment Concurrency and Recovery
NOTE – CCR is used only when required by the functional units of TP selected on a dialogue.	

6 Persistent application context rules

Rules that concern information that has a lifetime that is greater than the lifetime of an association apply to the application context, defined in this Recommendation | International Standard, and are specified in ITU-T Rec. X.862 | ISO/IEC 10026-3.

7 Control function (SACF/MACF) rules

Besides the rules already specified in the standards for the component ASEs, the rules of this clause apply to the application context, defined in this Recommendation | International Standard. This includes the rules for the determination of the common set of SMFUs as specified in CCITT Rec. X.701 | ISO/IEC 10040.

7.1 Objectives/summary

SMASE provides service to the user of the Systems Management Application Entity (SMAE); that user is also both an MIS user and a Transaction Processing Service User (TPSU). SMASE uses CMISE which, in turn, uses ROSE. The SMAE includes the MACF that supports TP. The SACF provides the management association services to the SMAE and uses ACSE.

SMASE, CMISE, and ROSE share a single abstract syntax that is defined in CMIP.

Presentation services that cannot be shared (such as Resynchronize) are used only by TPASE, CCR, and ACSE. CCR services are used only through TP services. ROSE services are used only through CMIS.

The TP Dialogue functional unit and the CMIS kernel functional unit are always available.

NOTE – The services actually used within the CMIS kernel depend on the needs of the CMIS user and may be a subset of the CMIS kernel services.

In the application context, defined in this Recommendation | International Standard, any interaction can be attempted, but an attempt to use an interaction not supported by both management systems shall result in an error. If an unsupported interaction is attempted, the following error values, as defined in CMIS (see CCITT Rec. X.710 | ISO/IEC 9595), shall be used to report the failure of the interaction:

- "unrecognized operation: The operation is not one of those agreed between the CMISE-service-users", if the attempted interaction was an operation.
- "no such event type: The event type specified was not recognized", if the attempted interaction was a notification.

Requests made with coordination level of "none" are neither blocked nor synchronized. All CMISE requests (such as M-GET requests) that are requested with coordination level of "commitment" (that is, within a transaction) shall make the specified management information bound data.

7.2 Temporal ordering rules

The TP service models any user-ASE service primitive as TP-DATA. SMASE, CMISE, and ROSE are user-ASEs as documented in CCITT Rec. X.861 | ISO/IEC 10026-2 and the TP Service Provider (TPSP) constraints on TP-DATA request and on TP-DATA indication apply to each SMASE, CMISE, and ROSE request/response and indication/confirm.

NOTE 1 – RO-REJECT-U and RO-ERROR requests and indications are modelled as TP-DATA requests and indications and do not cause TP-initiated rollback. It is the user's decision whether such requests or indications justify rollback.

ACSE service indications and confirms shall be made visible through the SACF to both CMISE and TP simultaneously, so each ASE can process them.

When a TP-HANDSHAKE indication is received, if there are any remaining responses to be sent, they must be sent before sending the TP-HANDSHAKE response.

After the subordinate receives a TP-PREPARE indication, if responses to CMIS requests are outstanding and the subordinate is not permitted to send data, then the subordinate makes a TP-ROLLBACK request.

NOTE 2 – Usually, the agent should not initiate rollback when it has no knowledge of the scope of the transaction (i.e. the agent does not know if the manager can get what it needs to complete the transaction successfully from some other agent), when it can report its failures via CMISE responses. However, there are cases where the agent will need to initiate rollback (e.g. internal error, deadlock resolution), or knows enough about the transaction to initiate rollback itself rather than reporting failure to the manager who in turn initiates rollback.

The A-RELEASE service is not used in the middle of a dialogue. Association release can only occur when the SACF is in the TP SACF FREE state. Associations shall be kept in a pool as described in ITU-T Rec. X.862 | ISO/IEC 10026-3, and released according to a local decision. Therefore, a request by a CMISE service user to release the association will not necessarily be heeded.

CMISE use of an association without TP may take place if the association is withdrawn from the TP pool of associations. When CMISE is finished with the association, it may re-introduce the association into the pool.

7.3 Concatenation rules

Concatenation rules of TP are optionally used for sending when TP is in use; the concatenation rules are mandatory for receiving. SMASE/CMISE/ROSE APDUs are treated as user-ASE APDUs.

7.4 References to base standard rules

CCITT Rec. X.227 | ISO 8650, CCITT Rec. X.711 | ISO/IEC 9596-1, and ITU-T Rec. X.862 | ISO/IEC 10026-3 apply to the application context, defined in this Recommendation | International Standard.

7.5 Other rules

CMISE and SMASE functional units are negotiated as described in SMO, A.3.2. The A-ASSOCIATE User information includes:

- CMIPUserInfo;
- SMASEUserData;
- TP-INITIALIZE RI/RC APDU;
- C-INITIALIZE RI/RC APDU.

The A-ABORT User information may include:

- CMIPAbortInfo;
- TP-ABORT RI APDU.

M-EVENT-REPORT primitives related to a transaction should not be sent outside the boundaries of the transaction.

NOTES

1 M-EVENT-REPORT primitives inside transactions have the status of "possible" notifications because the reported occurrence has not occurred if the transaction completes by rollback.

2 M-EVENT-REPORT primitives generated outside a transaction should not be sent on any of the dialogues for that transaction because of effects described in Note 1.

The CMIS Synchronization parameter has the same meaning within a transaction as outside a transaction.

8 Optional features

The application context, defined in this Recommendation | International Standard, permits the support of any valid combination of TP, CMISE, and SMASE functional units.

9 Error handling

Whenever a violation of rules and constraints of the application context, defined in this Recommendation | International Standard, is detected, an A-ABORT request shall be made with the value of the Abort source parameter set to "CMISE-service-provider".

10 Conformance

An open system claiming conformance with the systems management with transaction processing application context shall comply with the following static and dynamic requirements in addition to those specified in the component ASE standards.

Static conformance

The open system shall support the transfer syntax derived from the encoding rules specified in CCITT Rec. X.209 | ISO/IEC 8825 and the set of encoding rules named {joint-iso-ccitt(2) asn1(1) basic-encoding(1)} for interpreting:

- the User-data parameter in the TP-BEGIN-DIALOGUE RI/RC APDUs;
- the User information parameter in the A-ASSOCIATE APDUs; and
- the User information parameter in the A-ABORT APDUs,

with abstract syntax defined in these modules:

- {joint-iso-ccitt(2) ms(9) smo(0) negotiationAbstractSyntax(1) version(1)} in SMO, A.3.4;
- {joint-iso-ccitt(2) ms(9) cmip(1) modules(0) aAssociateUserInfo(1)} in CMIP, 7.3.1;
- {joint-iso-ccitt(2) ms(9) cmip(1) modules(0) aAbortUserInfo(2)} in CMIP, 7.3.2;
- {joint-iso-ccitt(2) transaction-processing(10) modules(1) apdus-abstract-syntax(1) version1(0)} in TP protocol, 12.1; and
- {joint-iso-ccitt(2) ccr(7) module(1) ccr-apdus(1) version2(2)} in CCR protocol, A.3.

Dynamic conformance

The open system shall support the application service elements and protocol implications of the rules defined in this Recommendation | International Standard.

Annex A

Commentaries

(This annex does not form an integral part of this Recommendation | International Standard)

This informative annex lists questions posed by National Bodies during the development of this Recommendation | International Standard and records the approved commentary that has been agreed to resolve each question.

A.1 Should the use of deadlock timeouts be specified? Should any deadlock detection or avoidance mechanism be specified?

The TP Model, in Annex B, states "local deadlock detection via timers, an 'imprecise' mechanism, is assumed." The use of timeouts is a local matter. However:

- It is difficult, if not impossible, to find an optimal timeout value:
  - a short timeout has a consequence that many processes are rolled back when they only had some delay in processing;
  - a long timeout has a consequence that delays increase and more TPSUs become blocked on resources during this period.

  An optimal timeout period maximizes the throughput. It is however very likely this period is changing during the transaction.
- TPSUIs which wait for each other can execute a timeout at the same time. This can be prevented by choosing the timeout period randomly within certain limits.
- This does not prevent the possibility of cyclic restarts by ever returning deadlock situations.

An ISP may specify the timeout algorithm to be used.

A.2 Should an application context that includes TP satisfy requirements (like the blocking of a group of CMIS requests) that do not require provisions for rollback and recovery?

Adequate provisions have been made by the rules defined for TP-HANDSHAKE in 7.2.

A.3 How are collisions avoided between CMIP APDUs and TP-BEGIN-DIALOGUE RI/RC APDUs?

While the association is in a pool of associations that TP can use, CMISE is prohibited from using the association without TP even when association is in TP SACF FREE state. (Refer to 7.2.)

A.4 When is CMIPAbortInfo provided in A-ABORT User information? May the abortSource value of cmiseServiceProvider be used when the source is not CMISE (for example, when the source is SACF)?

If the MIS user (the TPSU) initiates the abort, the details of CMIPAbortInfo are per CMISE specifications. If the abort is because of a violation of these rules, then the Abort source parameter shall have the value "CMISE-service-provider". (Refer to clause 9.)

A.5 What is the meaning of M-EVENT-REPORT inside transactions?

An M-EVENT-REPORT inside a transaction is subject to the ACID properties of a transaction. (Refer to 7.5.)

A.6 When should the agent be allowed to initiate rollback? Should the agent defer the decision to rollback to the manager whenever possible?

Usually, the agent should not initiate rollback when it has no knowledge of the scope of the transaction (i.e. the agent does not know if the manager can get what it needs to complete the transaction successfully from some other agent), when it can report its failures via CMISE responses. However, there are cases where the agent will need to initiate rollback (e.g. internal error, deadlock resolution), or knows enough about the transaction to initiate rollback itself rather than reporting failure to the manager who in turn initiates rollback. (Refer to 7.2.)

A.7 What combinations of TP functional units are required for support of the application context to be claimed?

This is determined by negotiation, conformance, and ISPs, and not in the application context. (Refer to clause 8.)

A.8 Is Chained Transaction functional unit or Unchained Transaction functional unit required with the TP Commit functional unit?

See question A.7.