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Partie 3: Spécification du protocole

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Contents

Foreword xiii

Introduction xiv

1 Scope 1

2 Normative references 2

3 Definitions 3

4 Abbreviations 3

5 Conventions 3

6 Model of the PM 4
- 6.1 Overview 4
  - 6.1.1 Principles of association usage 4
  - 6.1.2 Dialogue establishment 5
  - 6.1.3 Channel management 6
  - 6.1.4 Channel utilization 6
  - 6.1.5 Token control 7
  - 6.1.6 Concatenation/separation 7
  - 6.1.7 Embedding 8
- 6.2 OSI TP Protocol structure 8
  - 6.2.1 Components of the PM 8
    - 6.2.1.1 The TPPM 10
    - 6.2.1.2 The CPM 11

7 Execution Rules 11
- 7.1 Operation of the PM 11
  - 7.1.1 Relationship of SAO(s) to MACF(s) 11
  - 7.1.2 Input events to the PM 12
  - 7.1.3 Action sequences 12
  - 7.1.4 SACF queuing 12
  - 7.1.5 Input event blocking at the PSAP 13
  - 7.1.6 PM error conditions 13
- 7.2 Procedure rules 14
- 7.3 Definitions 16
- 7.4 Log records used by the PM 21
  - 7.4.1 Log-ready record 21
  - 7.4.2 Log-commit record 22
  - 7.4.3 Log-heuristic record 22
  - 7.4.4 Log-damage record 22
- 7.5 Recovery-context-handle 22

8 Use of ACSE, CCR and the Presentation Layer 23
- 8.1 Introduction 23
- 8.2 Use of ACSE Service primitives 23
  - 8.2.1 Use of the A-ASSOCIATE parameters 23
  - 8.2.2 Use of the A-RELEASE parameters 24
  - 8.2.3 Use of the A-ABORT and A-P-ABORT parameters 24
- 8.3 Use of CCR Service primitives 25
- 8.4 Use of the Presentation Layer 26

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Full document details: ISO_IEC 10026-3_1996

8.4.1 Use of Presentation Service primitives 26
8.4.2 Mapping of C-ROLLBACK-RI to Presentation 27
8.5 Association Management 27
8.5.1 Introduction 27
8.5.2 Association/dialogue compatibility 27
8.5.3 Association/channel compatibility 27
8.5.4 Initiating an association establishment 28
8.5.5 Receiving an association establishment indication 29
8.5.6 Responding to association establishment 29
8.5.7 Receiving confirmation of association establishment 30
8.5.8 Initiating an association release 31
8.5.9 Aborting an association 31

9 TP-ASE description 31
9.1 Introduction 31
9.2 AF Service Definition 32
9.2.1 AF-BEGIN-DIALOGUE 32
9.2.2 AF-BID 32
9.2.3 AF-END-DIALOGUE 32
9.2.4 AF-U-ERROR 32
9.2.5 AF-ABORT 33
9.2.6 AF-GRANT-CONTROL 33
9.2.7 AF-REQUEST-CONTROL 33
9.2.8 AF-HANDSHAKE 33
9.2.9 AF-HANDSHAKE-AND-GRANT-CONTROL 33
9.2.10 AF-DEFER 33
9.2.11 AF-PREPARE 33
9.2.12 AF-HEURISTIC-REPORT 33
9.2.13 AF-ABORT-AND-HEURISTIC-REPORT 34
9.2.14 AF-RECOVER 34
9.2.15 AF-TOKEN-GIVE 34
9.2.16 AF-TOKEN-PLEASE 34
9.3 AF-Services and TP APDUs: parameters and field mappings 34
9.3.1 AF-BEGIN-DIALOGUE request/indication/response/confirm, TP-BEGIN-DIALOGUE-RI/-RC APDU 34
9.3.2 AF-BID request/indication/response/ confirm, TP-BID-RI/-RC APDU 37
9.3.3 AF-END-DIALOGUE request/ indication/response/confirm, TP-END-DIALOGUE-RI/-RC APDU 37
9.3.4 AF-U-ERROR request/indication/ response/confirm, TP-U-ERROR-RI/-RC APDU 38
9.3.5 AF-ABORT request/indication, TP-ABORT-RI APDU 38
9.3.6 AF-GRANT-CONTROL request/ indication, TP-GRANT-CONTROL-RI APDU 39
9.3.7 AF-REQUEST-CONTROL request/ indication, TP-REQUEST-CONTROL-RI APDU 39
9.3.8 AF-HANDSHAKE request/indication/ response/confirm, TP-HANDSHAKE-RI/-RC APDU 39
9.3.9 AF-HANDSHAKE-AND-GRANT-CONTROL request/indication/response confirm, TP-HANDSHAKE-AND-GRANT-CONTROL-RI/-RC APDU 40
9.3.10 AF-DEFER request/indication, TP-DEFER-RI APDU 40
9.3.11 AF-PREPARE request/indication, TP-PREPARE-RI APDU 40
9.3.12 AF-HEURISTIC-REPORT request/ indication, TP-HEURISTIC-REPORT-RI APDU 41
9.3.13 AF-ABORT-AND-HEURISTIC-REPORT request/indication 41
9.3.14 AF-RECOVER request/indication, TP-RECOVER-RI APDU 42
9.3.15 AF-TOKEN-GIVE request/indication, TP-TOKEN-GIVE-RI APDU 42
9.3.16 AF-TOKEN-PLEASE request/ indication, TP-TOKEN-PLEASE-RI APDU 43
9.4 Procedures 43

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

9.4.1 AF-BEGIN-DIALOGUE request 43
9.4.2 TP-BEGIN-DIALOGUE-RI TP APDU 43
9.4.3 AF-BEGIN-DIALOGUE response 44
9.4.4 TP-BEGIN-DIALOGUE-RC TP APDU 44
9.4.5 AF-BID request 44
9.4.6 TP-BID-RI TP APDU 44
9.4.7 AF-BID response 44
9.4.8 TP-BID-RC TP APDU 44
9.4.9 AF-END-DIALOGUE request 44
9.4.10 TP-END-DIALOGUE-RI TP APDU 44
9.4.11 AF-END-DIALOGUE response 44
9.4.12 TP-END-DIALOGUE-RC TP APDU 44
9.4.13 AF-U-ERROR request 44
9.4.14 TP-U-ERROR-RI TP APDU 44
9.4.15 AF-U-ERROR response 44
9.4.16 TP-U-ERROR-RC TP APDU 45
9.4.17 AF-ABORT request 45
9.4.18 TP-ABORT-RI TP APDU 45
9.4.19 AF-GRANT-CONTROL request 45
9.4.20 TP-GRANT-CONTROL-RI TP APDU 45
9.4.21 AF-REQUEST-CONTROL request 45
9.4.22 TP-REQUEST-CONTROL-RI TP APDU 45
9.4.23 AF-HANDSHAKE request 45
9.4.24 TP-HANDSHAKE-RI TP APDU 45
9.4.25 AF-HANDSHAKE response 45
9.4.26 TP-HANDSHAKE-RC TP APDU 45
9.4.27 AF-HANDSHAKE-AND-GRANT-CONTROL request 45
9.4.28 TP-HANDSHAKE-AND-GRANT-CONTROL-RI TP APDU 45
9.4.29 AF-HANDSHAKE-AND-GRANT-CONTROL response 46
9.4.30 TP-HANDSHAKE-AND-GRANT-CONTROL-RC TP APDU 46
9.4.31 AF-DEFER request 46
9.4.32 TP-DEFER-RI TP APDU 46
9.4.33 AF-PREPARE request 46
9.4.34 C-PREPARE indication 46
9.4.35 AF-HEURISTIC-REPORT request 46
9.4.36 AF-ABORT-AND-HEURISTIC-REPORT request 46
9.4.37 AF-RECOVER request 46
9.4.38 C-RECOVER indication 46
9.4.39 A-ABORT indication 46
9.4.40 C-ROLLBACK indication 47
9.4.41 C-ROLLBACK confirm 47
9.4.42 C-COMMIT indication 47
9.4.43 C-COMMIT confirm 47
9.4.44 C-RECOVER confirm 48
9.4.45 P-TOKEN-GIVE (sync-minor) indication 48
9.4.46 AF-TOKEN-GIVE request 48
9.4.47 P-TOKEN-PLEASE (sync-minor) indication 48
9.4.48 AF-TOKEN-PLEASE request 48
9.5 Mapping 48

10 SACF description 49
10.1 Introduction 49
10.2 SACF states 50
10.3 Service definitions for SAF-DETACH-ASSOCIATION and SAF-ASSOCIATION-LOST 51
10.3.1 SAF-DETACH-ASSOCIATION request 51
10.3.2 SAF-ASSOCIATION-LOST indication 52
10.4 Procedure for SAF-DETACH-ASSOCIATION request 52

AVA Documents
Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

10.5 Procedures for TP-ASE, CCR, ACSE, and Presentation Service Primitives 53
10.5.1 AF-BEGIN-DIALOGUE request 53
10.5.2 AF-BEGIN-DIALOGUE indication 54
10.5.3 AF-BEGIN-DIALOGUE response 55
10.5.4 AF-BEGIN-DIALOGUE confirm 56
10.5.5 AF-BID indication 56
10.5.6 AF-BID confirm 57
10.5.7 AF-END-DIALOGUE request 57
10.5.8 AF-END-DIALOGUE indication 58
10.5.9 AF-END-DIALOGUE confirm 58
10.5.10 AF-U-ERROR request 58
10.5.11 AF-U-ERROR indication 58
10.5.12 AF-U-ERROR confirm 58
10.5.13 AF-ABORT request 59
10.5.14 AF-ABORT (provider, abortRI) indication 59
10.5.15 AF-ABORT (user, dataRI) indication 59
10.5.16 A-ABORT request 59
10.5.17 A-RELEASE (Result=affirmative) response 60
10.5.18 A-[P-]ABORT indication or A-RELEASE (Result=affirmative) confirm 60
10.5.19 AF-GRANT-CONTROL request 60
10.5.20 AF-GRANT-CONTROL indication 60
10.5.21 AF-REQUEST-CONTROL request 60
10.5.22 AF-REQUEST-CONTROL indication 60
10.5.23 AF-HANDSHAKE request 61
10.5.24 AF-HANDSHAKE indication 61
10.5.25 AF-HANDSHAKE confirm 61
10.5.26 AF-HANDSHAKE-AND-GRANT-CONTROL request 61
10.5.27 AF-HANDSHAKE-AND-GRANT-CONTROL indication 61
10.5.28 AF-HANDSHAKE-AND-GRANT-CONTROL confirm 62
10.5.29 AF-DEFER request 62
10.5.30 AF-DEFER indication 62
10.5.31 AF-PREPARE request 62
10.5.32 AF-PREPARE indication 62
10.5.33 AF-HEURISTIC-REPORT (commitRC) indication, or AF-HEURISTIC-REPORT (recoverDoneRC) indication 62
10.5.34 C-BEGIN request 62
10.5.35 C-BEGIN indication 63
10.5.36 C-BEGIN confirm 63
10.5.37 C-READY indication 64
10.5.38 C-COMMIT indication or C-COMMIT+C-BEGIN indication 64
10.5.39 AF-ABORT (user, commitRI) indication or AF-ABORT (user, commitRC) indication 64
10.5.40 C-COMMIT confirm 64
10.5.41 AF-ABORT-AND-HEURISTIC-REPORT (commitRC) indication 64
10.5.42 C-ROLLBACK request 64
10.5.43 C-ROLLBACK indication 64
10.5.44 AF-ABORT-AND-HEURISTIC-REPORT request or AF-HEURISTIC-REPORT request 65
10.5.45 AF-ABORT (rollbackRI) indication, AF-ABORT-AND-HEURISTIC-REPORT (rollbackRI) indication, or AF-HEURISTIC-REPORT (rollbackRI) indication 66
10.5.46 C-ROLLBACK confirm, AF-HEURISTIC-REPORT (rollbackRC) indication, AF-ABORT (user/provider, rollbackRC) indication or AF-ABORT-AND-HEURISTIC-REPORT (rollbackRC) indication 66
10.5.47 AF-RECOVER indication 67
10.5.48 C-RECOVER request or AF-RECOVER request 67
10.5.49 C-RECOVER indication 67

AVA Documents
Document Sharing Hub
Full document details: ISO_IEC 10026-3_1996

10.5.50 C-RECOVER confirm 67
10.5.51 U-ASE request 67
10.5.52 U-ASE indication 67
10.5.53 AF-TOKEN-GIVE (regular) indication 68
10.5.54 AF-TOKEN-GIVE (keep) indication 69
10.5.55 AF-TOKEN-GIVE (two-way-recovery) request 69
10.5.56 AF-TOKEN-GIVE (two-way-recovery) indication 69
10.5.57 P-TOKEN-GIVE (sync-minor) indication 70
10.5.58 AF-TOKEN-PLEASE request 70
10.5.59 AF-TOKEN-PLEASE indication 70
10.5.60 P-TOKEN-PLEASE indication 71
10.5.61 Protocol error 71
10.5.62 Other service primitives 71
10.6 SACF internal events 71
10.6.1 Unsolicited BID reject 71
10.7 Concatenation 72
10.7.1 Mapping precedence 72
10.7.2 Concatenation rules 72
10.8 Routeing 74

11 MACF description 74
11.1 Introduction 74
11.2 CAF service definition 74
11.2.1 CAF-PLEASE request 74
11.2.2 CAF-GIVE indication 75
11.2.3 CAF-FAIL indication 76
11.2.4 CAF-DETACH request 76
11.2.5 CAF-RECOVER indication 76
11.3 Main procedures 77
11.3.1 TP-BEGIN-DIALOGUE request 77
11.3.2 AF-BEGIN-DIALOGUE indication (TPPM and CPM) 78
11.3.3 TP-BEGIN-DIALOGUE response 79
11.3.4 AF-BEGIN-DIALOGUE (accepted) confirm on a Dialogue 80
11.3.5 AF-BEGIN-DIALOGUE (rejected, dataRI) confirm on a Dialogue 81
11.3.6 AF-BEGIN-DIALOGUE (rejected(user), rollbackRI) confirm 82
11.3.7 AF-BEGIN-DIALOGUE (rejected(user), rollbackRC) confirm 82
11.3.8 AF-BEGIN-DIALOGUE confirm (CPM) 83
11.3.9 SAF-ASSOCIATION-LOST indication 83
11.3.10 SAF-ASSOCIATION-LOST indication (CPM) 84
11.3.11 TP-END-DIALOGUE request 84
11.3.12 AF-END-DIALOGUE indication 85
11.3.13 AF-END-DIALOGUE indication (CPM) 87
11.3.14 TP-END-DIALOGUE response 87
11.3.15 AF-END-DIALOGUE confirm 87
11.3.16 TP-U-ERROR request 87
11.3.17 AF-U-ERROR indication 87
11.3.18 AF-U-ERROR confirm 88
11.3.19 TP-U-ABORT request 88
11.3.20 AF-ABORT (user, dataRI) indication 90
11.3.21 Protocol error, internal error, A[-P]-ABORT indication, AF-ABORT (provider, abortRI) indication, A-ABORT request, A-RELEASE (Result=affirmative) response, or A-RELEASE (Result=affirmative) confirm on a dialogue 91
11.3.22 Protocol error, internal error, A[-P]-ABORT indication, AF-ABORT (provider, abortRI) indication, A-ABORT request, A-RELEASE (Result=affirmative) response, or A-RELEASE (Result=affirmative) confirm on a channel 93

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

11.3.23 Protocol error, internal error, A[-P]-ABORT indication, AF-ABORT (provider, abortRI) indication, A-RELEASE (Result=affirmative) response, or A-RELEASE (Result=affirmative) confirm (CPM) 94
11.3.24 TP-GRANT-CONTROL request 94
11.3.25 AF-GRANT-CONTROL indication 94
11.3.26 TP-REQUEST-CONTROL request 94
11.3.27 AF-REQUEST-CONTROL indication 95
11.3.28 TP-HANDSHAKE request 95
11.3.29 AF-HANDSHAKE indication 95
11.3.30 TP-HANDSHAKE response 96
11.3.31 AF-HANDSHAKE confirm 96
11.3.32 TP-HANDSHAKE-AND-GRANT-CONTROL request 96
11.3.33 AF-HANDSHAKE-AND-GRANT-CONTROL indication 96
11.3.34 TP-HANDSHAKE-AND-GRANT-CONTROL response 96
11.3.35 AF-HANDSHAKE-AND-GRANT-CONTROL confirm 97
11.3.36 TP-BEGIN-TRANSACTION request 97
11.3.37 C-BEGIN indication 97
11.3.38 C-BEGIN confirm 98
11.3.39 TP-DATA request 98
11.3.40 U-ASE indication 99
11.3.41 TP-DEFERRED-END-DIALOGUE request 99
11.3.42 TP-DEFERRED-GRANT-CONTROL request 99
11.3.43 AF-DEFER indication 99
11.3.44 TP-PREPARE request 100
11.3.45 TP-COMMIT request 100
11.3.46 AF-PREPARE indication 101
11.3.47 C-READY indication 101
11.3.48 C-COMMIT indication or C-COMMIT+C-BEGIN indication 101
11.3.49 AF-ABORT (user, commitRI) indication 102
11.3.50 TP-DONE request 102
11.3.51 C-COMMIT confirm or AF-HEURISTIC-REPORT (commitRC) indication 103
11.3.52 AF-ABORT (user, commitRC) indication or AF-ABORT-AND-HEURISTIC-REPORT (commitRC) indication 104
11.3.53 TP-ROLLBACK request 104
11.3.54 C-ROLLBACK indication or AF-HEURISTIC-REPORT (rollbackRI) indication 104
11.3.55 AF-ABORT (user/provider, rollbackRI) indication or AF-ABORT-AND-HEURISTIC-REPORT (rollbackRI) indication 105
11.3.56 C-ROLLBACK confirm or AF-HEURISTIC-REPORT (rollbackRC) indication 107
11.3.57 AF-ABORT (user/provider, rollbackRC) indication or AF-ABORT-AND-HEURISTIC-REPORT (rollbackRC) indication 108
11.3.58 CAF-RECOVER (ready) indication 109
11.3.59 C-RECOVER (ready) indication or AF-RECOVER (ready) indication (CPM) 111
11.3.60 CAF-RECOVER (commit) indication 111
11.3.61 C-RECOVER (commit) indication 113
11.3.62 C-RECOVER (commit) indication or AF-RECOVER (commit) indication (CPM) 113
11.3.63 C-RECOVER (done) confirm or AF-HEURISTIC-REPORT (recoverDoneRC) indication 114
11.3.64 C-RECOVER (unknown) confirm 114
11.3.65 C-RECOVER (unknown) confirm (CPM) 114
11.3.66 C-RECOVER (retry-later) confirm 114
11.3.67 C-RECOVER (retry-later) confirm (CPM) 114
11.3.68 AF-TOKEN-GIVE (two-way-recovery) indication on a channel (TPPM) 115
11.3.69 AF-TOKEN-GIVE (two-way-recovery) indication (CPM) 115
11.3.70 AF-TOKEN-PLEASE indication on a channel (TPPM) 115
11.3.71 AF-TOKEN-PLEASE indication (CPM) 115

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

11.3.72 CAF-PLEASE request (CPM) 115
11.3.73 CAF-GIVE indication 116
11.3.74 CAF-FAIL indication 117
11.3.75 CAF-DETACH request (CPM) 117
11.4 Internal event procedures 117
11.4.1 Delay recovery 117
11.4.2 Heuristic damage compensation for subtree 117
11.4.3 Restart after node crash (CPM) 118
11.4.4 Retry recovery 118
11.4.5 Taking a heuristic decision 118
11.4.6 Terminating a channel (CPM) 119
11.4.7 TPPM creation after node crash 119
11.4.8 TPPM-initiated rollback 119
11.5 Common Procedures 119
11.5.1 Completing commitment 119
11.5.2 Entering READY state 122
11.5.3 Fail an outstanding CAF-PLEASE request 123
11.5.4 First request/response 123
11.5.5 Initiating a transaction branch 124
11.5.6 Initiating rollback at TPPM 124
11.5.7 Initiating transaction after rollback 126
11.5.8 Making commitment decision 127
11.5.9 Receiving commit order 128
11.5.10 Recording the heuristic condition 128
11.5.11 Reporting rollback to superior 129
11.5.12 Rollback next transaction 131
11.5.13 Sending commit order 132

12 Structure and encoding of TP APDUs 133
12.1 Abstract syntax of the TP-ASE APDUs 133
12.2 Rules of extensibility 138

13 Conformance 138
13.1 Static conformance requirements 138
13.1.1 Conformance classes 138
13.1.1.1 General requirements 138
13.1.1.2 Application transaction branches class 138
13.1.1.3 Chained provider-supported transaction branches class 138
13.1.1.4 Unchained provider-supported transaction branches class 139
13.1.2 Capabilities 139
13.1.2.1 General capabilities 139
13.1.2.2 Constraints 140
13.1.3 Functional units 140
13.1.3.1 Definition 140
13.1.3.2 Description of recovery functional unit 140
13.1.3.3 Requirements on TP APDUs 140
13.1.4 Dependencies on other standards 142
13.2 Dynamic conformance requirements 143
13.2.1 General requirements 143
13.2.2 Specific requirements 143
13.3 Protocol Implementation Conformance Statement 143
13.4 Receiving TP APDUs 143

14 Compliance 143

15 Precedence statement 144

16 Index of Actions and Events 145

AVA Documents
Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Annexes

A OSI TP protocol — State tables 150
A.1 General 150
A.2 Introduction 150
A.2.1 State tables 150
A.2.2 PM state machines 150
A.2.2.1 PM instance 150
A.2.2.2 TPPM 150
A.2.2.3 CPM 151
A.2.3 Events 151
A.2.4 States 152
A.2.5 Variables and predicates 154
A.2.6 Actions 155
A.2.7 Notation 155
A.2.8 Conventions 156
A.2.9 Processing of events 157
A.2.9.1 Evaluating predicate expressions 157
A.2.9.2 Processing valid events 157
A.2.9.3 Processing invalid events 157
A.3 Processing rules 157
A.4 MACF state tables 159
A.4.1 MACF states 159
A.4.1.1 TPPM States 159
A.4.1.2 CPM states 162
A.4.2 MACF variables 163
A.4.2.1 Overview 163
A.4.2.2 Definitions of MACF types 166
A.4.2.3 Definitions of MACF variables 166
A.4.2.4 Initialization of MACF variables 171
A.4.3 MACF events 171
A.4.3.1 Internal events 171
A.4.3.2 Synchronizing events 172
A.4.4 MACF actions 173
A.4.4.1 Functions 173
A.4.4.2 Actions on services 174
A.4.4.3 Actions on variables 178
A.4.4.4 Actions with free-form names 178
A.4.4.5 Actions after node crash 190
A.5 TPASE 191
A.5.1 TPASE states 191
A.5.2 TPASE variables 191
A.5.3 TPASE events 191
A.5.4 TPASE actions 191
A.6 SACF 193
A.6.1 SACF states 193
A.6.2 SACF variables 194
A.6.2.1 Overview 194
A.6.2.2 Definitions of SACF variables 195
A.6.2.3 Initialization of SACF variables 196
A.6.3 SACF events 197
A.6.3.1 Internal events 197
A.6.3.2 Synchronizing events 197
A.6.4 SACF actions 197
A.6.4.1 Actions on services 197
A.6.4.2 Actions on variables 198

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

A.6.4.3 Actions with free-form names 198
A.6.5 Notational conventions 200
A.7 Predicates 200

B Requirements for writing U-ASEs and application contexts 350

C Scenarios 351
C.1 Introduction 351
C.1.1 Scenarios with a single dialogue (successful cases) 351
C.1.2 Scenarios with a single dialogue (unsuccessful cases) 352
C.1.3 Scenarios with a single dialogue (failure case) 353
C.1.4 Collision scenarios on a single dialogue 353
C.1.5 Tree with multiple dialogues (successful cases) 353
C.1.6 Tree with multiple dialogues (unsuccessful cases) 354
C.1.7 Heuristic decisions and reporting 354
C.1.8 Scenarios for SACF 354
C.1.9 Scenarios for CPM 354
C.2 Scenarios with a single dialogue (successful cases) 356
C.2.1 Application supported transactions. 356
C.2.2 Provider-supported chained transactions 359
C.2.3 Provider-supported unchained transactions 359
C.2.4 TP-PREPARE scenarios 362
C.2.4.1 TP-PREPARE with Data-Permitted="false" in Polarized Control 362
C.2.4.2 TP-PREPARE with Data-Permitted="true" in Polarized Control 363
C.2.4.3 TP-PREPARE in Shared Control 364
C.2.5 Handshake services: illustration of Confirmation-Urgency parameter 365
C.2.6 Deferred End Dialogue service 367
C.3 Scenarios with a single dialogue (unsuccessful cases) 368
C.3.1 Negative response to a TP-HANDSHAKE 368
C.3.1.1 Negative response to a TP-HANDSHAKE in Polarized Control 368
C.3.1.2 Negative response to a TP-HANDSHAKE in Shared Control 370
C.3.2 TP-ROLLBACK scenarios 372
C.3.2.1 TP-ROLLBACK with Chained Transactions 372
C.3.2.2 TP-ROLLBACK with Unchained Transactions 373
C.3.3 Rejection of a TP-BEGIN-TRANSACTION request 373
C.3.4 TP-U-ERROR collision with TP-DATA 374
C.3.4.1 TP-U-ERROR collision with TP-DATA in Polarized Control 374
C.3.4.2 TP-U-ERROR Collision with TP-DATA in Shared Control 375
C.3.5 TP-ROLLBACK with TP-U-ABORT 376
C.3.6 TP-DEFERRED-END-DIALOGUE with TP-ROLLBACK 377
C.3.6.1 TP-ROLLBACK request issued during the active phase 377
C.3.6.2 TP-ROLLBACK request issued after a TP-PREPARE indication 378
C.3.7 Dialogue Establishment Scenarios 379
C.3.7.1 Rejection of the dialogue establishment request 379
C.3.7.2 TP-BEGIN-DIALOGUE (Confirmation="negative") scenarios 381
C.3.7.3 TP-BEGIN-DIALOGUE (Confirmation="always") scenarios 386
C.4 Scenarios with a single dialogue (failure cases) 396
C.4.1 TP-P-ABORT 396
C.4.1.1 TP-P-ABORT during active phase 396
C.4.1.2 TP-P-ABORT during the first phase of commitment 397
C.4.1.3 TP-P-ABORT during the second phase of commitment 398
C.5 Collision scenarios on a single dialogue 401
C.5.1 Collisions of TP-U-ERROR with TP-COMMIT 401
C.5.2 Collisions with TP-U-ERROR in Polarized Control 402
C.5.3 Collisions with TP-U-ERROR in Shared Control 404
C.5.4 TP-END-DIALOGUE Collision Scenarios 412

Documents
Document Sharing Hub
Full document details: ISO_IEC 10026-3_1996

C.5.4.1 Collision of a TP-END-DIALOGUE (Confirmation="true") and a TP-END-DIALOGUE (Confirmation="false") 412
C.5.4.2 Collision of a TP-END-DIALOGUE (Confirmation="true") and a TP-END-DIALOGUE (Confirmation="true") 412
C.5.4.3 Collision of a TP-END-DIALOGUE (Confirmation="true") and a TP-U-ERROR 413
C.5.4.4 Collision of a TP-END-DIALOGUE (Confirmation="true") with a TP-REQUEST-CONTROL 415
C.5.4.5 Collision of a TP-END-DIALOGUE (Confirmation="true") and a TP-BEGIN-TRANSACTION 415
C.5.4.6 Collision of a TP-END-DIALOGUE (Confirmation="true") and a TP-HANDSHAKE 416
C.5.5 Other collisions 417
C.5.5.1 Collision of a TP-COMMIT and a dialogue establishment rejects. 417
C.5.5.2 Collision of a TP-COMMIT and TP-DATA 419
C.6 Tree with multiple dialogues (successful cases) 420
C.6.1 The committing phase driven by TP-COMMIT 420
C.6.2 The committing phase with TP-PREPARE and TP-READY 420
C.7 Tree with multiple dialogues (unsuccessful cases) 420
C.7.1 Rollback from the root during the active phase 420
C.7.2 Rollback from a subordinate during the active phase 420
C.7.3 Dialogue abort during phase I of commitment 426
C.7.4 Rollback-related actions 426
C.7.5 Dialogue abort during the active phase 429
C.7.6 Dialogue abort during the active phase, transaction tree above the failure disbanded 429
C.7.7 Dialogue abort during the second phase of commitment 432
C.7.8 Dialogue abort during the second phase of commitment, subordinate of the failed dialogue aborts its other dialogues 432
C.7.9 Dialogue abort with the superior after TP-COMMIT indication has been issued 432
C.7.10 Dialogue abort with the superior after TP-COMMIT indication has been issued, node subordinate to the failed dialogue aborts its other dialogues 436
C.7.11 Dialogue abort with the superior after TP-COMMIT indication has been issued, node superior to the failed dialogue aborts its other dialogues 436
C.7.12 Dialogue abort with the superior after TP-COMMIT-COMPLETE indication has been issued, node superior to the failed dialogue aborts its other dialogues 436
C.8 Heuristic decisions and reporting 440
C.8.1 Heuristic decisions when the outcome of the transaction is commit 440
C.8.1.1 Subordinate rolls back, mix detected 440
C.8.1.2 Subordinate commits, no damage 441
C.8.1.3 Subordinate rolls back but is able to compensate, no damage 442
C.8.1.4 Subordinate TPSUI commits, TPSP rolls back, mix detected 443
C.8.2 Heuristic decisions when the outcome of the transaction is rollback 444
C.8.2.1 Subordinate commits, heuristic-hazard reported 444
C.8.2.2 Subordinate rolls back, no damage, heuristic-hazard reported 445
C.8.2.3 Subordinate rolls back, no damage, heuristic-hazard reported 446
C.8.3 Heuristic decisions in trees with multiple dialogues 446
C.9 Scenarios for SACF 450
C.10 Scenarios for CPM 452
C.10.1 Scenarios for channel establishment 452
C.10.2 Scenarios for two way recovery 455
C.10.3 Scenarios for recovery collision on separate one way channels 457

D Summary of assigned object identifier values 458

E Recovery from destruction of atomic action data 459

Documents
Document Sharing Hub
Full document details: ISO_IEC 10026-3_1996

E.1 Introduction 459
E.2 Recovery actions 459
E.2.1 Actions after a system has been destroyed 460
E.2.2 Actions of a node which has lost recovery records 460
E.2.3 Actions of a node which can not complete recovery 460

F TPPM transaction states 461
F.1 TPPM transaction states 461
F.1.1 State transitions of a root TPPM 461
F.1.2 State transitions of an intermediate TPPM 462
F.1.3 State transitions of a leaf TPPM 463

G Estelle description of the TP protocol 466
G.1 Introduction 466
G.2 Structure of the TPPM 466
G.3 Structure of the CPM 467
G.4 SACF Modules 468
G.5 File Structure of the OSI-TP Estelle Specification 468

H LOTOS description of the TP protocol 470
H.1 Electronic distribution of LOTOS description 470

I Changes from First Edition 471
I.1 Changes from first edition to produce the second edition 471

AVA Documents
Document Sharing Hub
Full document details: ISO_IEC 10026-3_1996

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 10026-3 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology,* Subcommittee SC 21, *Open Systems Interconnection, data management and Open Distributed Processing.*

This second edition cancels and replaces the first edition (ISO/IEC 10026-3:1992), which has been technically revised.

ISO/IEC 10026 consists of the following parts, under the general title *Information technology – Open Systems Interconnection – Distributed Transaction Processing:*

- *Part 1: OSI TP Model*
- *Part 2: OSI TP Service*
- *Part 3: Protocol specification*
- *Part 4: Protocol Implementation Conformance Statement (PICS) proforma*
- *Part 5: Application context proforma and guidelines when using OSI TP*
- *Part 6: Unstructured Data Transfer*
- *Part 7: Message queuing*

Annexes A and B form an integral part of this part of ISO/IEC 10026. Annexes C to I are for information only.

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Introduction

ISO/IEC 10026, Distributed Transaction Processing (OSI TP), is one of a set of standards produced to facilitate the interconnection of computer systems. It is related to other International Standards in the set as defined by the Reference Model for Open Systems Interconnection (ISO 7498). The Reference Model subdivides the area of standardization for interconnection into a series of layers of specification, each of manageable size.

The aim of Open Systems Interconnection (OSI) is to allow, with a minimum of technical agreement outside the interconnection standards, the interconnection of computer systems:

a) from different manufacturers;

b) under different management;

c) of different levels of complexity; and

d) of different technologies.

ISO/IEC 10026 defines an OSI TP Model, an OSI TP Service and specifies an OSI TP Protocol available within the Application Layer of the OSI Reference Model.

The OSI TP Service is an Application Layer service. It is concerned with identifiable information which can be related as transactions, which may involve two or more Open Systems.

ISO/IEC 10026 provides sufficient facilities to support transaction processing, and establishes a framework for coordination across multiple TP resources in separate open systems.

ISO/IEC 10026 does not specify the interface to local resources, nor does it specify an application programming interface within the local system.

Documents
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Information technology - Open Systems Interconnection - Distributed Transaction Processing -

Part 3:
Protocol specification

1 Scope

This part of ISO/IEC 10026 provides

a) a statement (clauses 6 to 11) of the nature of the automaton giving the necessary behaviour of each of the participating entities which are providing the OSI TP Service, covering

1) the actions to be taken on receiving request and response primitives issued by a TP Service user invocation;

2) the actions to be taken on receiving indication and confirm primitives issued by the presentation service-provider;

3) the actions to be taken as a result of certain events within the local system;

4) the actions to be taken as a result of interactions with other ASEs;

b) the definition (clause 12) of the abstract syntax required to convey the TP protocol control information;

c) the conformance requirements to be met by implementations of this protocol (clause 13).

The scope of this part of ISO/IEC 10026 is limited to the interconnection of systems; it does not specify or restrict the implementation of possible interfaces within a computer system.

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Full document details: ISO_IEC 10026-3_1996

2 Normative references

The following standards contain provisions which, through reference in this text, constitute provisions of this part of ISO/IEC 10026. At the time of publication, the editions indicated were valid. All standards are subject to revision, and parties to agreements based on this part of ISO/IEC 10026 are encouraged to investigate the possibility of applying the most recent editions of the standards indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ITU-T Recommendation X.200 (1994) | ISO/IEC 7498-1:1994, *Information technology - Open Systems Interconnection - Basic Reference Model: The Basic Model.*

ISO 7498-2:1989, *Information processing systems - Open Systems Interconnection - Basic Reference Model - Part 2: Security Architecture.*

ISO 7498-3:1989, *Information processing systems - Open Systems Interconnection - Basic Reference Model - Part 3: Naming and addressing.*

ITU-T Recommendation X.215 (1995) | ISO/IEC 8326:1996, *Information technology - Open Systems Interconnection - Session service definition.*

ITU-T Recommendation X.225 (1995) | ISO/IEC 8327-1:1996, *Information technology - Open Systems Interconnection - Connection-oriented Session protocol : Protocol specification.*

ITU-T Recommendation X.217 (1995) | ISO/IEC 8649:1996, *Information technology - Open Systems Interconnection - Service definition for the Association Control Service Element.*

ITU-T Recommendation X.227 (1995) | ISO/IEC 8650-1:1996, *Information technology - Open Systems Interconnection - Connection-oriented protocol for the Association Control Service Element: Protocol specification.*

ITU-T Recommendation X.216 (1994) | ISO/IEC 8822:1994, *Information technology - Open Systems Interconnection - Presentation service definition.*

ITU-T Recommendation X.226 (1994) | ISO/IEC 8823-1:1994, *Information technology - Open Systems Interconnection - Connection-oriented presentation protocol : Protocol specification.*

ISO/IEC 8824:1990, *Information technology - Open Systems Interconnection - Specification of 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).*

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

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

ITU-T Recommendation X.207 (1993) | ISO/IEC 9545:1994, *Information technology - Open Systems Interconnection - Application Layer structure.*

ISO/IEC 9579-1:1993, *Information technology - Open Systems Interconnection - Remote Database Access - Part 1: Generic Model, Service and Protocol.*

ISO/IEC 9579-2:1993, *Information technology - Open Systems Interconnection - Remote Database Access - Part 2: SQL specialization.*

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

ITU-T Recommendation X.501 (1993) | ISO/IEC 9594-2:1995, *Information technology - Open Systems Interconnection - The Directory: Models.*

ITU-T Recommendation X.520 (1993) | ISO/IEC 9594-6:1995, *Information technology - Open Systems Interconnection - The Directory: Selected attribute types.*

ISO/IEC 9646-1:1994, *Information technology - Open Systems Interconnection - Conformance testing methodology and framework - Part 1: General concepts.*

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.*

ITU-T Recommendation X.210 (1993) | ISO/IEC 10731:1994, *Information technology - Open Systems Interconnection - Basic Reference Model - Conventions for the definition of OSI services.*

3 Definitions

For the purposes of this part of ISO/IEC 10026, the definitions given in ISO/IEC 10026-1 (TP Model) and ISO/IEC 10026-2 (TP Service), in addition to those given in 7.3 of this part of ISO/IEC 10026, apply.

Definitions of terms specific to the OSI TP protocol specification are contained in 7.3.

4 Abbreviations

Abbreviations used in the OSI TP protocol specifications are defined in ISO/IEC 10026-1 (OSI TP model), except for the following, which are used in some tables:

cnf	confirm primitive
ind	indication primitive
req	request primitive
rsp	response primitive

and for the following, which are used as prefixes to auxiliary facilities services:

AF	Auxiliary Facility
CAF	Channel Auxiliary Facility
SAF	SACF Auxiliary Facility

5 Conventions

ISO/IEC 10026-2 defines services for Distributed Transaction Processing guided by the descriptive conventions defined in ISO/IEC 10731.

However, the terms “request” and “indication” are sometimes used in the following ways:

a) a single request may result in multiple indications (an example is that a single TP-COMMIT request can result in TP-PREPARE indications to each direct subordinate TPSUI);

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b) several requests may result in a single indication (an example is that a single TP-COMMIT-COMPLETE indication may be issued to a superior TPSUI only after TP-DONE requests have been issued by the TPSUI and all subordinate TPSUIs in the transaction tree);

c) the convention that a request primitive results in an indication primitive of the same name is not always followed (for example, a TP-COMMIT request will cause a TP-PREPARE indication to be issued).

For a given primitive or APDU, the presence of each parameter or field is described by one of the following values:

blank:	not applicable
M:	presence is mandatory
U:	presence is a user option
O:	presence is a provider option
C:	presence is conditional

In addition, the notation (=) indicates that a parameter or field value is semantically equal to the value of the parameter or field of the preceding primitive or APDU in the table. This notation is in some instances combined with another value above, e.g. "(=)/M", and signifies that in some cases the primitive follows as a result of a preceding primitive or APDU (that is, "(=)" applies) and in other cases (when "M" applies), either (i) there is no preceding primitive or APDU, or (ii) the value from the preceding primitive or APDU can be changed.

6 Model of the PM

6.1 Overview

This clause provides an overview of those aspects of the TPPM which are specific to this part of ISO/IEC 10026. These include association usage and management, the details of dialogue establishment and channel management, the use of the Session synchronize-minor token, concatenation, and embedding.

6.1.1 Principles of association usage

An association is used by a TPPM to support either a

— TP dialogue; or

— TP Channel.

An association may be established at any time, according to a local decision. The setting up of an association may be done in parallel with the actions of the PM. An association that has been established and is not currently being used is considered to be in a pool of free associations.

On receipt of a dialogue request, the PM needs to be assigned an association to support this dialogue. Any association that is assigned must have attributes compatible with the dialogue it is to be used for, as described in 8.5.2 (dialogues) and 8.5.3 (channels).

An association may be assigned to the PM from the pool of free associations, or attempts may be made to establish a new association for use with this dialogue or channel. If, as a local decision, it is decided that a compatible association cannot be assigned, the begin dialogue request will be rejected.

Associations may be released at any time they are not in use by the TPPM. The point at which an association becomes unused, and therefore may be released, is defined in the SACF procedures in clause 10.

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On the establishment of an association, one AEI is assigned to be the "contention-winner" and the other as the "contention-loser". The assignment of contention-winner and contention-loser remains for the duration of the association. An AEI may be the contention-winner on some associations and contention-loser on others.

The direction from the contention-winner to the contention-loser is the preferred direction of dialogue establishment because the contention-winner has the right of use of the association. The contention-winner may grant to the contention-loser the use of the association for the purpose of establishment of a dialogue, if it is not using or has not reserved this association. The contention-winner may also deny the use of the association by the contention-loser for the purpose of dialogue establishment.

The contention-loser may formally request the rights of the contention-winner temporarily in order to attempt establishment of a single dialogue. This is done using the bid mechanism. The use of the bid mechanism is declared to be either optional or mandatory at association establishment time. This declaration does not change for the life of the association.

6.1.2 Dialogue establishment

When a TPSUI attempts to establish a new dialogue, a compatible association must first be assigned for use with this dialogue as described above in 6.1.1.

Should two TPPMs (at different AEIs) attempt to establish a dialogue over the same association (without using the bid mechanism), the TPPM at the contention-winner AEI will succeed, disrupting the attempt from the contention-loser.

Use of the bid mechanism affects dialogue establishment. The contention-loser may request the right to establish a single dialogue without the possibility of a conflict by issuing a bid request. The contention-winner may accept or reject the bid request. If accepted, the contention-loser issues the dialogue establishment request. If rejected, the contention-loser may not issue a dialogue establishment request until after the receipt of a dialogue establishment request from the contention-winner.

Bidding by the contention-loser before attempting to establish a dialogue is mandatory in either of the following cases:

a) if bidding is mandatory for the association;

b) if the condition exists where an unexpected C-BEGIN indication may appear (see 10.3.1).

A dialogue establishment request may be rejected for the following reasons:

a) the TPPM is unable to select or establish an association which meets the requirements of the dialogue;

b) the TPPM is a contention-loser on the association and its dialogue establishment or bid request collides with a dialogue establishment request from the contention-winner. It is worthwhile to distinguish two types of collisions:

1) the contention-winner is still within a dialogue;

2) the contention-winner is not within a dialogue. This can happen if the contention-winner begins a dialogue and ends it with no response required from the partner;

c) the partner TPPM or TPSUI rejects the dialogue. This can happen for a variety of reasons: TPSU title not found, insufficient resources, etc. The reason for the rejection is carried on a TP APDU.

NOTE — Although this part of ISO/IEC 10026 specifies that the dialogue establishment is rejected, this does not preclude an implementation from attempting to retry the dialogue establishment.

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Because of the use of unconfirmed dialogue or channel termination, it may happen that "stray APDUs" arrive from the partner after a dialogue establishment request. To detect and discard these stray APDUs, a correlator value is sent on the dialogue establishment request, which is returned by the partner at dialogue establishment confirmation time. As dialogue establishment confirmation always precedes any other request issued by the partner, APDUs received before that confirmation are discarded. (The same mechanism is used during channel establishment.)

The mechanism for detecting the dialogue reject situation described in "b) 2)" above is the use of a "last partner identifier" (LPI). When the contention-loser issues a bid request or a dialogue establishment request without a bid request, the request carries the correlator of the previous dialogue establishment indication received from the contention-winner. If the contention-winner receives an LPI with a value different from that of the correlator on the previously issued dialogue establishment request, the bid (or dialogue establishment) request is rejected. The LPI is not provided if there was no previous dialogue establishment indication from the contention-winner.

6.1.3 Channel management

After a node crash or a communications failure, a TPPM may (depending on the transaction state as recorded in a log record found for that transaction) be responsible for recovery. In order to meet this requirement, the TPPM needs a channel for the purpose of recovery. The establishment of channels is in most respects similar to the establishment of dialogues; there is, however, one essential difference: unlike dialogues, channels are not established by the TPPMs themselves, but rather they are established and managed by a channel protocol machine (CPM). There is only a single CPM per AEI and this CPM deals with the channels requested and used by all the TPPMs residing at this AEI.

The interactions between a TPPM and the CPM are modelled by the CAF-service (CAF for Channel Auxiliary Facility). A TPPM uses a CAF service request to request the CPM to establish a channel to a specific partner TPPM. Upon receipt of this request, the CPM either selects an existing channel or establishes a new channel using a procedure similar to that of dialogue establishment (see 6.1.2).

When recovery has been performed, i.e., when a TPPM either has issued a C-RECOVER response or received a C-RECOVER confirm, the TPPM uses another CAF service request in order to inform the CPM that it has no further use for the channel. The CPM then may either terminate the channel or keep it for subsequent use.

Besides satisfying the requests for channels that are issued by TPPMs residing at its AEI, the CPM is also responsible for responding to all channel establishment indications addressed to its AEI and issued by other CPMs. Moreover, the CPM receives all recovery initiating indications on a channel and directs them to the TPPMs to which they are addressed; whenever no such TPPM may be located, the CPM must respond to the recovery initiating indication.

6.1.4 Channel utilization

A channel is established as either a one-way-recovery channel or a two-way-recovery channel. With either type of channel, due to restrictions in ISO/IEC 9804, only a single C-RECOVER request is allowed to be outstanding on a channel until it has been responded to; moreover the issuer of a C-RECOVER request must own the token unless the C-RECOVER request is issued in response to a C-RECOVER indication (C-RECOVER (commit) request in response to a C-RECOVER (ready) indication) or in some circumstances on a two-way-recovery channel.

On a one-way-recovery channel, only the initiator of the channel has the right to initiate recovery. The token, once owned by the initiator, is never transferred to the partner.

On a two-way-recovery channel, either side of the channel may initiate recovery, provided that it owns the token. The token is transferred to the partner after each C-RECOVER request or AF-RECOVER request, unless the C-RECOVER request is issued in response to a C-RECOVER indication or an AF-RECOVER

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indication; this allows interleaving of recovery exchanges over the channel. If the side that does not have control of the channel wants to initiate recovery on a channel, it may issue an AF-TOKEN-PLEASE request.

6.1.5 Token control

NOTE 1 See annex B for U-ASE use of tokens.

CCR requires the Session Layer synchronize-minor token (hereinafter called the token—see 7.3) to be owned when beginning a transaction, committing a transaction, or initiating recovery. The TPPM guarantees that the token will be available at the appropriate times in the absence of the movement of the token by the TPSUI or U-ASE. The TPPM uses the following rules for moving the token:

a) the token is owned by the contention-winner when an association is established;

b) the token is returned to the contention-winner at the termination of the dialogue;

c) if the token is received by a contention-loser while the association is not assigned to a dialogue it is returned to the contention-winner. This rule does not hold if the contention-loser is attempting to establish a dialogue and has received a confirmation that a bid request was accepted;

NOTE 2 This happens when a U-ASE request to move the token collides with an unconfirmed dialogue termination request.

d) the token is moved to the contention-loser upon acceptance of a bid request carrying a parameter requesting the token;

e) the token is moved to the contention-loser upon receipt of a dialogue establishment indication (without prior bidding) selecting the Commit functional unit if the contention-winner owns the token and has not reserved the association for other use. If the token is not owned by the contention-winner, it will eventually arrive and then be sent back to the contention-loser;

NOTE 3 This mechanism ensures that the token is always at the dialogue superior when the Commit functional unit is selected to enable the dialogue superior to begin a transaction.

f) if the token is owned by the subordinate after the receipt of the prepare indication, the token is sent to the superior when sending the commitment offer.

g) on a two-way-recovery channel, the token is sent to the partner after initiating each recover request.

There are some cases where the token may not be immediately available when required for beginning a transaction or initiating recovery due to the movement of tokens by previous dialogues or other factors. In these cases, except for the case when the U-ASE moves the token within the same dialogue and the token is needed for beginning a transaction, the rules guarantee that the token will eventually arrive, so the TPPM simply waits until it does. A U-ASE that moved the token prior to beginning a transaction is responsible for getting it if it does not have it.

6.1.6 Concatenation/separation

Concatenation is an optional feature which allows multiple APDUs generated by the TPPM (this includes TP, CCR, ACSE, and U-ASE APDUs) to be mapped onto a single PSDU, reducing the number of PSDUs and optimizing performance. Concatenation is performed by the concatenator part of the SACF and is not included in action sequences (the remainder of the SACF is included in action sequences—see 7.1.3).

When concatenation is not used, the state of the supporting layers is always synchronized with the state of the TPPM because of the one-to-one correspondence between PSDUs (which affect the state of the supporting layers) and APDUs (which affect the state of the TPPM). When concatenation is used, it is

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important to maintain this synchronization between the TPPM and the supporting layers. Therefore, the concatenation rules are constructed such that the APDU directly related to the PSDU causing a state change in the supporting layers is always delivered to the TPPM before any other APDUs in the PSDU (which might not be related to the state change in the supporting layers).

NOTE — An example of this is the C-ROLLBACK-RI CCR APDU. If another APDU was concatenated before this APDU, say, a TP-GRANT-CONTROL-RI APDU, then the following scenario would result. The incoming PSDU containing both APDUs would be processed by Session, resulting in a Session state where a P-RESYNCHRONIZE indication was given. The TPPM would, however, process the TP-GRANT-CONTROL-RI APDU first, without seeing the C-ROLLBACK indication. The TPPM could then allow the TPSUI to issue a TP-ROLLBACK request, resulting in an outgoing C-ROLLBACK-RI CCR APDU which is mapped to a P-RESYNCHRONIZE request. This P-RESYNCHRONIZE request is received after the P-RESYNCHRONIZE indication was given previously, resulting in a violation of the Session service-user rules (in some cases). The incoming C-ROLLBACK indication still has not been processed by the TPPM. If nothing could be concatenated before the C-ROLLBACK-RI CCR APDU, then the TPPM would have changed its state to reflect the state change in Session (i.e., process the rollback) before it would accept any other input events from the TPSUI.

Separation involves accepting an incoming PSDU and generating a separate event corresponding to each APDU contained in the PSDU. The entire PSDU is processed before another PSDU is accepted. While concatenation is an optional feature, separation is mandatory; all concatenation sequences that conform to the rules specified in clause 10.7 shall be supported in incoming PSDUs.

6.1.7 Embedding

Where semantics of a combination of APDUs require that they be interpreted as a single unit in order to determine the required action, these APDUs are embedded one within the other. This might arise, for example, when an APDU of the TP-ASE defines added value to a CCR APDU.

NOTE — An example of the use of this principle includes the embedding of TP-PREPARE-RI APDU in C-PREPARE request.

The SACF contains a "router" component which handles TP APDUs embedded in indications and confirms. The router causes a CCR or ACSE indication or confirm not carrying a TP APDU to be directly passed to the MACF (through the applicable SACF procedures). If the CCR or ACSE indication or confirm contains an embedded TP APDU, the router will cause the indication or confirm to be passed to the TP-ASE. The TP-ASE then decodes the TP APDU and passes an AF indication or confirm to the MACF (through the applicable SACF procedures) which expresses the combined semantics of the CCR or ACSE service and TP APDU.

6.2 OSI TP Protocol structure

6.2.1 Components of the PM

The protocol specified in this part of ISO/IEC 10026 provides the services defined by the OSI TP Service, ISO/IEC 10026-2.

The protocol specification for TP is presented as a TP Protocol Machine (TPPM), supplemented by a Channel Protocol Machine (CPM). Within an AEI, there is one CPM with which TPPMs of the same AEI interact for the purpose of recovery.

Interactions between a TPPM and the CPM are represented by a service called the Channel Auxiliary Facility (CAF) service. The CAF service, provided by the CPM to TPPMs, models the ability for channels to be dynamically attached to and detached from a particular TPPM.

The TPPM and the CPM comprise a collection of SAOs controlled by a MACF.

The structure of the OSI TP Protocol is shown in figures 1 and 2.

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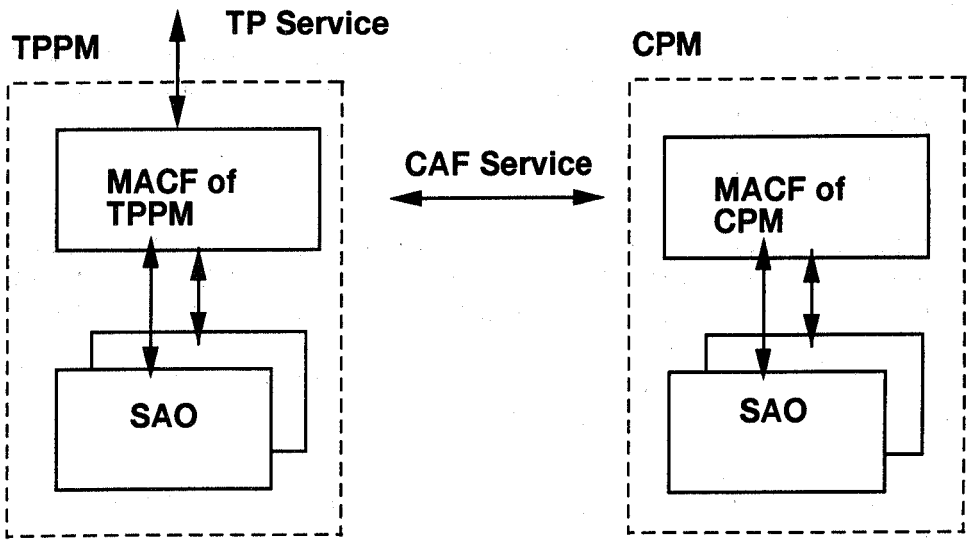
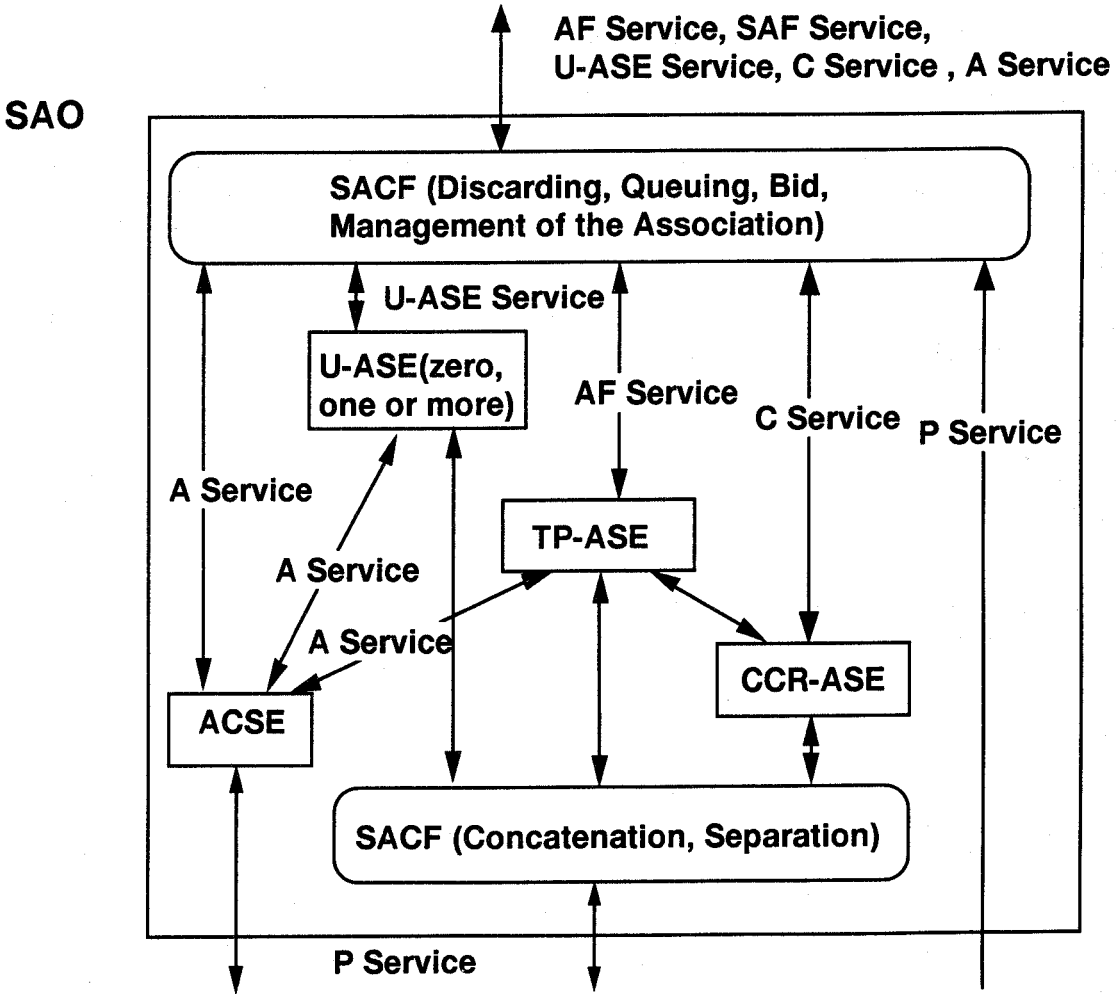


Figure 1 — Relationship between the TPPM and the CPM



NOTE - Only SAOs included in the CPM do not include U-ASE.

Figure 2 — Structure of the SAO

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6.2.1.1 The TPPM

The MACF of the TPPM provides both the TP services over multiple associations and the associated temporal ordering rules. The MACF of the TPPM maps TP services onto the functional capabilities of SAOs included in the TPPM, and onto the CAF service, when appropriate.

Each SAO of a TPPM is composed of

a) ACSE, to establish and terminate associations. The ACSE services are not invoked directly from the TP Service, but are invoked by the MACF of the TPPM (see 6.1.1 and 8.2), or, in some cases, by some source other than the TPPM MACF procedures (see 11.3.21 [11.3.22 in the case of a CPM] and 10.5.61);

b) TP-ASE, to provide for TP APDU generation and reception. Interactions between the TP-ASE and the MACF (through the applicable SACF procedures) of the TPPM are represented by a service called the Auxiliary Facility (AF) service.

The AF service, provided by the TP-ASE, models the ability for TP APDUs to be exchanged and mapped onto appropriate underlying services;

c) CCR, to provide support for commitment, rollback, and recovery functions, when required. CCR services are used by the MACF of the TPPM either:

1) directly, when no TP APDUs are conveyed by CCR; or,

2) indirectly through the TP-ASE, when TP APDUs are conveyed by CCR (see 8.3);

d) one or more U-ASEs, to provide for application specific protocol. U-ASE services are represented by the TP-DATA service to model TP sequencing constraints on application specific protocols. U-ASE APDUs are mapped onto the Presentation Service, directly or indirectly, as specified by the U-ASE standards;

e) SACF, to coordinate the ASEs in the SAO, in order to maintain a consistent behaviour on the association. The SACF consists of the following components:

1) procedures to examine the services passing between the MACF and SAO and handle actions related to dialogue establishment and managing an association while not in use by a dialogue. These actions can be to allow the service primitive to pass through, discard it, generate additional service primitives, or queue the service primitive. In addition, the procedures provide the SACF Auxiliary Facility (SAF) Service, which represent interactions between the MACF and the SACF;

2) a router which ensures that indications or confirms carrying TP APDUs are directed to the appropriate component. See 6.1.7 on embedding;

3) a concatenator which optionally constructs a single PSDU based on multiple APDUs for outgoing APDUs, and separates each APDU contained in a PSDU for incoming PSDUs.

Both the AF and the SAF services are purely internal to the TPPM: they are not visible outside of the TPPM, and thus are not available for use by anything other than the MACF of the TPPM. The MACF of the TPPM is the only "user" of both the AF and the SAF services. There shall be no conformance requirements to either the AF service or the SAF service.

An application context for an association to be used by TPPM to assign dialogues shall include:

a) ACSE;

b) TP-ASE;

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

c) CCR, when the Commit functional unit is selected;

d) one or more U-ASEs, specifically identified. When multiple U-ASEs are included, the relationships between them shall be specified as part of their specification, or as part of the application context specification; and,

NOTE — Annex B contains guidelines for writing U-ASEs eligible for inclusion in a TP application context.

e) SACF and MACF procedures.

6.2.1.2 The CPM

The MACF of the CPM includes the necessary provisions to establish and terminate channels, as appropriate. The MACF of the CPM provides the CAF service. The MACF of the TPPM is the only "user" of the CAF services. There shall be no conformance requirements to the CAF service.

SAOs included in the CPM are the same as those of a TPPM except that no U-ASE is required. The AF and SAF services used by the MACF of the CPM are identical in their definitions to those of a TPPM. They are subject to the same restrictions.

An application context for an association to be used by a CPM to assign channels shall include:

a) ACSE;

b) TP-ASE;

c) CCR; and,

d) SACF and MACF procedures.

7 Execution Rules

7.1 Operation of the PM

This clause describes the interactions between the components of the PM.

7.1.1 Relationship of SAO(s) to MACF(s)

ISO/IEC 9545 defines a one-to-one correspondence between an association and an SAO. While a dialogue or channel is in use on the association, this SAO is associated with a MACF (of a PM). This part of ISO/IEC 10026 provides for the detaching of the SAO from the MACF at the completion of the dialogue or channel such that the association can subsequently be used by a MACF in another PM. In general, when no dialogue or channel exists on an association, the SAO is detached from the MACF. A detached SAO is not considered to be part of any PM. When an incoming request to establish a dialogue or channel is made, the SAO is then attached to a MACF so that the MACF can process the request. When a MACF initiates the establishment of a dialogue or channel, an SAO that is not attached to any other MACF may be attached to the MACF establishing the dialogue or channel. Alternatively, attempts may be made to create a new SAO to attach to the MACF.

All channels that are not in use for recovery are attached to the CPM. When a request is made of the CPM by a TPPM to perform recovery, the CPM satisfies this request by transferring an unused channel (which is associated with the correct AEI) to the TPPM. When an incoming C-RECOVER indication appears on an unused channel, the CPM finds the TPPM corresponding to the transaction being recovered and transfers

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

the channel to that TPPM. As soon as the TPPM completes recovery, the channel is transferred back to the CPM.

7.1.2 Input events to the PM

PM input events occur either as a result of

— request and response primitives issued by the TPSUI or indication primitives issued by the CPM in the case of the TPPM; a request issued by a TPPM in the case of the CPM;

— events triggered by local conditions (internal events); or

— events caused by APDUs and Presentation indications and confirmations output from the concatenator part of the SACF or directly from Presentation if concatenation is not used.

7.1.3 Action sequences

An action sequence is a contiguous sequence of execution of procedures in clause 9, 10, and 11 as a result of a single input event to either the TPPM or the CPM. The CPM and each TPPM have separate action sequences, which proceed independently. An action sequence includes all processing of input events by the PM, except that of the concatenator part of the SACF (see 6.1.6).

An SAO that is not attached to any MACF is not part of any PM action sequences. It may therefore act in parallel with the actions of the PM.

NOTE — This allows association management to be performed independently of normal PM processing.

An action sequence executes completely (i.e., has finished all procedures) before the PM becomes available for handling any subsequent input events.

An action sequence is a serial and atomic execution of the procedures (except in the event of a node crash), with a single exception where parallelism is allowed: when a request or response is issued to the SAO using the (S)AF, ACSE, CCR, or Presentation services, the SAO may continue this action sequence in parallel with the action sequence of the MACF. The SAO ensures that requests or responses issued by the MACF are processed in the order issued. The SAO completes its part of the action sequence when its procedures are finished.

Within an SAO an A-ABORT request or an A-RELEASE (Result=affirmative) response may be issued. At most one such an event may occur in an action sequence. Such an event is processed by the MACF in order to handle the loss of the association. The event is processed by the MACF in the action sequence in which it was issued once the MACF and all SAOs have completed execution of their procedures (that is, just before the end of the action sequence).

7.1.4 SACF queuing

Certain TP services sometimes cannot be completed in a single action sequence (for example TP-BEGIN-DIALOGUE request). In order to have the TPPM available to accept input events at the TPSUI boundary at all times, it may be necessary to queue requests within the TPPM. Thus, a request that cannot immediately be handled may trigger queuing in the SACF, but is always accepted from the TPSUI. In order to support this, the TPPM describes explicitly queuing operations when they apply.

An example of the need for queuing is that during dialogue establishment for the contention-loser, a bid may be required before the begin dialogue TP APDU is sent. The begin dialogue AF service is therefore queued by the SACF until the bid is complete. While this queuing is taking place, the TPSUI may make further TP service invocations on this dialogue, which will also be queued.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

When it becomes necessary to queue, the queuing takes place within the SACF. Certain AF and CCR services are subject to queuing, in that these services may in certain circumstances be queued for a period of time by the SACF before being issued to the TP or CCR ASE. A queue is established for a single dialogue. This queue may subsequently be fully or partially flushed, which causes all or some of the pending service primitives to be processed in a single action sequence, or it may be discarded, which causes the pending service primitives to be discarded. When a queue is fully flushed, any subsequent service primitives are no longer made pending.

7.1.5 Input event blocking at the PSAP

When completing processing for a transaction, APDUs related to a subsequent transaction may be received on an association. The corresponding service primitives cannot be issued to the TPSUI until the transaction is complete.

When service primitives from an association cannot be processed, the TPPM stops accepting service primitives at the PSAP. When processing can resume, the TPPM resumes accepting service primitives at the PSAP including those previously blocked.

NOTE — The concatenator/separator part of the SACF is not prevented from delivering service primitives to the rest of the SAO while service primitives are blocked at the PSAP. These service primitives would be the result of a PSDU already received by the SACF prior to blocking input events at the PSAP. The concatenation rules are such that these incoming events may be processed correctly in that case.

The TPPM stops accepting input events at the PSAP under the following conditions:

a) when a commit confirm has been received from a subordinate and the dialogue has neither been aborted nor had a deferred end dialogue;

b) when a rollback response is issued to or a rollback confirm is received from a subordinate, the Unchained Transactions functional unit is selected, and the dialogue has not been aborted (by the TPSUI);

c) when a C-BEGIN indication is received in the DECIDED (rollback) state and a TP-DONE request is owed;

d) when a rollback confirm is received from or a rollback response is issued to the superior, the Unchained Transactions functional unit is selected, and a TP-DONE request is owed.

The TPPM resumes accepting input events at the PSAP under the following conditions:

a) when a TP-COMMIT-COMPLETE indication is issued, for each subordinate dialogue with a coordination level of "commitment";

b) when a TP-ROLLBACK-COMPLETE indication is issued, for each subordinate dialogue with a coordination level of "commitment" on which the Unchained Transactions functional unit is selected;

c) when a TP-ROLLBACK-COMPLETE indication is issued, for the superior dialogue;

d) when a TP-U-ABORT request is received on a dialogue on which a rollback response was issued or a rollback confirm was received, and the Unchained Transactions functional unit is selected.

7.1.6 PM error conditions

This part of ISO/IEC 10026 defines three types of error conditions which may occur during the operation of a PM:

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

a) protocol error - a condition as described in 7.2 e). The association is aborted when a protocol error occurs. When a protocol error occurs, the relevant Protocol Error procedure (10.5.61, 11.3.21, 11.3.22, or 11.3.23) is invoked.

b) internal error - a condition where a local decision is made that the operation of a particular dialogue or channel cannot continue normally. When an internal error on a dialogue is detected, the procedure "Protocol error, internal error, A[-P]-ABORT indication, AF-ABORT (provider, abortRI) indication, A-ABORT request, A-RELEASE (Result=affirmative) response, or A-RELEASE (Result=affirmative) confirm on a dialogue" (11.3.21) is invoked. When an internal error on a channel owned by the TPPM is detected, the procedure "Protocol error, internal error, A[-P]-ABORT indication, AF-ABORT (provider, abortRI) indication, A-ABORT request, A-RELEASE (Result=affirmative) response, or A-RELEASE (Result=affirmative) confirm on a channel" (11.3.22) is invoked. When an internal error on a channel owned by the CPM is detected, the procedure "Protocol error, internal error, A[-P]-ABORT indication, AF-ABORT (provider, abortRI) indication, A-RELEASE (Result=affirmative) response, or A-RELEASE (Result=affirmative) confirm (CPM)" (11.3.23) is invoked.

NOTE 1 Irregularities in the APDU exchanges between U-ASEs are not visible to the TPPM unless they are intentionally signalled to the MACF; in such a case they may be treated as a TP internal error. Although the U-ASE may define such an irregularity as a protocol error, it is not a protocol error in the scope of ISO/IEC 10026.

c) node crash - a condition where the operation of the PM cannot continue as determined by local considerations. Upon restart after a node crash, the internal event "Restart after node crash" (11.4.3) is triggered.

An internal error or node crash may be triggered by an unexpected event which is received from the TPSUI. Note that rule f) in 7.2 specifies that the procedures assume the operation of the TPSUI is correct according to the service rules, but the state tables in annex A check for violations of these rules. Should such a violation occur, either an internal error or node crash may be triggered, depending on the scope of the violation as determined locally.

NOTES

2 An example of a TPSUI triggering a node crash may occur when an error is made in a TP service which affects all dialogues, such as the TP-COMMIT request.

3 A timer expiring is an example of a condition which may trigger an internal error.

7.2 Procedure rules

The following rules govern the execution of the procedures:

a) Parameter inheritance

The tables of 9.3 use the notation "(=)" to represent matching of parameters/fields values from the values of parameters/fields of the preceding (causal) primitive/APDU. This value matching is assumed implicitly, so that explicit calling out of the setting of these values is not done in the procedures.

b) Procedure atomicity

Each procedure executes atomically, except in the case of a node crash (see 7.1.3).

c) Inspection of transaction-related state

The transaction-related state consists of the transaction state, the node type (that is, root, intermediate, or leaf), and whether the node is a superior, subordinate, or does not exist in the transaction tree. Any inspection of the transaction-related state within the procedures refers to the state at the time of the input

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

event which triggered the current action sequence, with one exception: if the MACF is being re-entered in the same action sequence as a result of an A-ABORT request or an A-RELEASE (Result=affirmative) response, inspection of the transaction-related state refers to its value at the time the MACF is re-entered.

NOTE 1 This handles the situation where the MACF transitioned from the ACTIVE state to the DECIDED (rollback) state, and then the U-ASE issued an A-ABORT request (for example). The state inspection when the MACF is re-entered will not cause a rollback, since the MACF will see the DECIDED (rollback) state and not the ACTIVE state.

d) Procedure sequence

The execution of each action specified in the procedure is assumed to be in the sequence specified in the procedure, unless explicitly stated otherwise.

e) Protocol error detection

A protocol error is declared when one of the following conditions occurs:

1) a procedure, other than an internal event procedure (refer to 10.6 and 11.4) is invoked and

i) no action is taken and no condition is applicable as a result of that procedure invocation; or

NOTE 2 The action "continue" is used in the procedures as a null action, to avoid incurring errors of this type. Other conditions in the same procedure may be applicable, however, resulting in non-null actions being taken.

ii) the procedure precondition is violated. (Preconditions are presented at the beginning of some procedures in the form of declarative sentences.);

2) a TP indication or confirm is issued that violates the constraints specified in ISO/IEC 10026-2;

3) a CCR or ACSE protocol error occurs;

4) a TP APDU is received by the PM which is not encoded as specified in 12.1 "Abstract Syntax of the TP-ASE APDUs", or is not carried on the CCR, ACSE, or Presentation services as specified in 9.5 and 10.7.1;

5) an invalid concatenation sequence is received (see 10.7.2) and is detected as invalid.

NOTE 3 It is not required that invalid concatenation sequences are detected.

When a protocol error is declared,

1) if the protocol error occurs in the TP-ASE or SACF with no attached MACF, procedure "Protocol error" (10.5.61) is executed;

2) if a TPPM MACF is attached to the association on which the protocol error occurred and a dialogue is active, the procedure "Protocol error or ... on a dialogue" (see 11.3.21) is executed with an indication of a protocol error. As a local decision, this procedure may be invoked on multiple associations, if the protocol error is the result of the attempted issuance of a TP indication or confirm not associated with a particular dialogue;

3) if a TPPM MACF is attached to the association on which the protocol error occurred and a channel is active, the procedure "Protocol error or ... on a channel" (see 11.3.22) is executed with an indication of a protocol error. As a local decision, this procedure may be invoked on multiple associations, if the protocol error is the result of the attempted issuance of a TP indication or confirm not associated with a particular dialogue.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

4) if a CPM MACF is attached to the association on which the protocol error occurred, the procedure "Protocol error or ... (CPM)" (see 11.3.23) is executed with an indication of a protocol error.

f) Service rules assumption

Each TP service primitive is assumed to have been received in accordance with the constraints and conditions specified in ISO/IEC 10026-2 and the requirements in annex F.

g) No superior/subordinate assumption

If an action refers to a superior or subordinate, and there is no superior or subordinate (because the node is a root or leaf, respectively), the action is not taken.

h) Bounds of the past

In certain cases, the text refers to a TP or CCR service which has been received. For CCR and TP and related AF services contained in the Commit and Unchained Functional Units, this means that the service primitive was received since the beginning of the current transaction. For all other services, this means that the service primitive was received since the beginning of the current dialogue. In any case, this type of memory of previously received service primitives never survives a node crash.

i) Dialogue assumption

Any dialogue or channel referred to in a procedure is assumed to be the dialogue or channel on which the service primitive was received/issued, unless stated otherwise.

j) Tree topology terminology

Whenever the terms *superior*, *subordinate*, *root node*, *intermediate node*, or *leaf node* occur without the qualification "dialogue", they are understood to refer to the transaction tree.

7.3 Definitions

When the following definitions or their logical negations are used in the text, they will appear in italics. AF services used in these definitions are defined in 9.2.

An AF-TOKEN-PLEASE request is outstanding - When the CPM has issued an AF-TOKEN-PLEASE request, a subsequent C-RECOVER, AF-RECOVER, or AF-TOKEN-GIVE (two-way-recovery) indication has not been received, and the channel still exists.

Attach - The specified SAO and association becomes part of the PM. Any indications or confirms made from that SAO are seen by the PM; the PM may direct requests or responses to the SAO.

CAF-PLEASE request is outstanding - Once issued a CAF-PLEASE request remains outstanding for a channel until one of the following occurs:

— A CAF-GIVE indication is issued by the CPM for the channel;

— A CAF-FAIL indication is issued by the CPM for the channel;

— A search for the TPPM corresponding to the "Atomic Action Identifier", "Branch Identifier", and "Superior" parameters of the CAF-PLEASE request fails to find the TPPM; or

— A further CAF-PLEASE request is received with the same parameters.

NOTE — A further CAF-PLEASE request with the same parameters can be received following a node crash.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Close the PSAP - No further PSDUs are accepted at the PSAP unless and until the PSAP is opened (see 7.3, "Open the PSAP").

Commit confirm - One of the following:

— C-COMMIT confirm;

— C-RECOVER(done) confirm;

— AF-HEURISTIC-REPORT (commitRC) indication;

— AF-HEURISTIC-REPORT (recoverDoneRC) indication;

— AF-ABORT (user, commitRC) indication; or

— AF-ABORT-AND-HEURISTIC-REPORT (commitRC) indication.

Commit indication - One of the following:

— C-COMMIT indication;

— C-COMMIT+C-BEGIN indication;

— AF-ABORT (user, commitRI) indication;

— C-RECOVER (commit) indication; or

— AF-RECOVER (commit) indication.

Commit request - One of the following:

— C-COMMIT request;

— C-COMMIT+C-BEGIN request;

— AF-ABORT (user, commitRI) request;

— C-RECOVER(commit) request; or

— AF-RECOVER (commit) request.

Detach - The specified SAO and association ceases being part of the PM. The SAO is no longer able to make indications or confirms to any PM; no PM may direct requests or responses to the SAO.

Dialogue has been detached - One of the following service primitives has been issued/received by the PM for the dialogue:

— SAF-DETACH-ASSOCIATION request;

— SAF-ASSOCIATION-LOST indication;

— A-ABORT request;

— A-[P-]ABORT indication;

— A-RELEASE (Result=affirmative) response or confirm.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Dialogue is chaining transaction branches; chaining dialogue - When all of the following conditions are met:

— the dialogue exists;

— the Chained Transactions functional unit was selected;

— no TP-U-ABORT request was received for the dialogue;

— no AF-ABORT, AF-ABORT-AND-HEURISTIC-REPORT, or A[-P]-ABORT indication was received for the dialogue; and

— if the outcome of the transaction is commitment, no TP-DEFERRED-END-DIALOGUE request and no AF-DEFER (end-dialogue) indication has been received for the dialogue.

Dialogue will have a coordination level of "commitment" - a dialogue established with the following:

— the Chained Transactions functional unit; or

— the begin-transaction parameter is set to "true" on the TP-BEGIN-DIALOGUE request or indication.

NOTE 1 This definition is necessary because the coordination level does not become defined until the TP-BEGIN-DIALOGUE indication is made. This definition is intended only for use during dialogue establishment.

Discard the queue - The SACF discards all queued service primitives.

NOTE 2 This definition is used only when a dialogue is terminated.

Discard any PDUs in the separator - The SACF discards all queued PDUs in the separator.

Establish a queue - the SACF ensures that the AF, CCR, and Presentation service primitives invoked subsequent to the establishment of the queue, are queued.

Flush a queue - the SAO processes some or all (depending on the context in which the definition is used) of the queued service primitives in the order in which they were queued. If all requests and responses were flushed, the SACF then ensures that any subsequently invoked AF, CCR, ACSE, and Presentation requests and responses are not queued.

NOTE 3 The processing of all requests and responses on the queue is done by the SAO atomically as part of the action sequence in which the queue is flushed.

Forget a transaction - Remove from secure storage the log-ready or log-commit record concerning this transaction, retaining, if any, the log-heuristic and/or the log-damage records.

Last commit confirm was received - When all of the following conditions are met:

— the TPSUI does not *owe a TP-DONE request*;

— a *commit confirm* has been received from each of the subordinates to which a *commit request* was issued.

Last partner identifier is valid - The last-partner-identifier parameter of the most recently received AF-BEGIN-DIALOGUE indication or AF-BID indication is either

— absent or may carry any value, if no AF-BEGIN-DIALOGUE request was issued on this association; or

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

— has a value equal to the Correlator of the most recently issued AF-BEGIN-DIALOGUE request on this association.

Last ready was received - When all of the following conditions are met:

— a TP-COMMIT request has been received; and,

— a C-READY indication has been received from each of the subordinates to which an AF-PREPARE request was issued.

Last rollback confirm was received - When all of the following conditions are met:

— the TPSUI does not *owe a TP-DONE request*;

— a *rollback indication* or *rollback confirm* has been received from each of the subordinates whose *dialogue has not been detached.*

Open the PSAP - PSDUs are now accepted at the PSAP.

Rollback confirm - One of the following:

— C-ROLLBACK confirm;

— AF-HEURISTIC-REPORT (rollbackRC) indication;

— AF-ABORT (user/provider, rollbackRC) indication;

— AF-ABORT-AND-HEURISTIC-REPORT (rollbackRC) indication; or

— AF-BEGIN-DIALOGUE (accepted/rejected(user), rollbackRC) confirm.

Rollback indication - One of the following:

— C-ROLLBACK indication;

— AF-HEURISTIC-REPORT (rollbackRI) indication;

— AF-ABORT (user/provider, rollbackRI) indication;

— AF-ABORT-AND-HEURISTIC-REPORT (rollbackRI) indication; or

— AF-BEGIN-DIALOGUE (rejected(user), rollbackRI) confirm.

Rollback reporting has completed - A *rollback response* was issued to the superior or a *rollback confirm* was received from the superior, or there is no superior dialogue.

Rollback request - One of the following:

— C-ROLLBACK request;

— AF-HEURISTIC-REPORT (rollbackRI) request;

— AF-ABORT (user/provider, rollbackRI) request; or

— AF-ABORT-AND-HEURISTIC-REPORT (rollbackRI) request.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Rollback response - One of the following:

— C-ROLLBACK response;

— AF-HEURISTIC-REPORT (rollbackRC) request;

— AF-ABORT (user/provider, rollbackRC) request; or

— AF-ABORT-AND-HEURISTIC-REPORT (rollbackRC) request.

Token - The Session Layer synchronize-minor token which is required by CCR.

A TP-DONE request is owed - When either or both of the following cases holds:

a) the TPPM has received or issued one or more of the following service primitives without having received a subsequent TP-DONE request:

— a TP-COMMIT indication;

— a TP-ROLLBACK request/indication;

b) the TPPM is in the DECIDED (commit) or DECIDED (rollback) state and has received or issued one or more of the following service primitives on a dialogue with coordination level of "commitment" without having received a subsequent TP-DONE request:

— a TP-P-ABORT indication;

— a TP-U-ABORT request/indication; or

— a TP-BEGIN-DIALOGUE (rejected) confirm.

TPPM bound data - The bound data controlled by the TPPM.

Transaction initiation purging period - A state of a TPPM with respect to a given dialogue which is entered upon receipt of a TP-BEGIN-TRANSACTION request if

a) the Shared Control functional unit is selected; and

b) there is a *user error purging period.*

The *transaction initiation purging period* is terminated as soon as

a) the number of AF-U-ERROR confirms, AF-END-DIALOGUE indications with the Confirmation parameter set to "true", and AF-HANDSHAKE indications received since the reception of the TP-BEGIN-TRANSACTION request equals the number of TP-U-ERROR requests that were outstanding at that time; or

b) a *rollback confirm* is received.

Transfer the channel - The specified SAO is transferred from the PM to another PM. The specified service invocation and any subsequent service invocations made at this SAO are sent/received to/by the PM to which the SAO is transferred.

The two-way-recovery token is expected - When the CPM has received a C-RECOVER or an AF-RECOVER indication, and the subsequent AF-TOKEN-GIVE (two-way-recovery) indication has not been received.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

User error purging period - A state of a TPPM with respect to a given dialogue which is entered upon receipt of a TP-U-ERROR request if

a) the Polarized Control functional unit is selected and the TPPM does not have control and there is no handshake or dialogue termination indication outstanding; or

b) the Shared Control functional unit is selected and there is no handshake or dialogue termination indication outstanding.

The *user error purging period* is terminated as soon as

a) if the Polarized Control functional unit is selected and a TP-HANDSHAKE indication, a TP-GRANT-CONTROL indication, a TP-HANDSHAKE-AND-GRANT-CONTROL indication, or a TP-END-DIALOGUE indication is issued; or

b) if the Shared Control functional unit is selected and the number of AF-U-ERROR confirms, AF-END-DIALOGUE indications with the confirmation parameter set to "true", and AF-HANDSHAKE indications received since the beginning of the *user error purging period* equals the number of TP-U-ERROR requests received during that period; or

c) a *rollback confirm* is received.

Write the log-commit record - The TPPM ensures that the information specified in 7.4.2 will be available even after the occurrence of a node crash. Remove from secure storage the log-ready record concerning this transaction, if one exists.

Write the log-damage record - The TPPM ensures that the information specified in 7.4.4 will be available even after the occurrence of a node crash.

Write the log-heuristic record - The TPPM ensures that the information specified in 7.4.3 will be available even after the occurrence of a node crash.

Write the log-ready record - The TPPM ensures that the information specified in 7.4.1 will be available even after the occurrence of a node crash.

7.4 Log records used by the PM

The transaction identifier defined in ISO/IEC 10026-1 is the atomic action identifier as defined in ISO/IEC 9804. The transaction branch identifier defined in ISO/IEC 10026-1 is the branch identifier as defined in ISO/IEC 9804.

7.4.1 Log-ready record

The log-ready record contains the following information written in secure storage:

a) to identify the transaction:

— atomic action identifier;

b) to identify the branch to the superior:

— branch identifier;

— if provided on the TP-INITIALIZE-RI or -RC APDU, the recovery-context-handle received from the superior;

Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

c) for each subordinate, if any, to identify the subordinate:

— branch identifier;

— subordinate AE Title;

— if provided on the TP-INITIALIZE-RI or -RC APDU, the recovery-context-handle received from the subordinate.

7.4.2 Log-commit record

The log-commit record contains the following information written in secure storage:

a) to identify the transaction:

— atomic action identifier;

b) for each subordinate, to identify the subordinate:

— branch identifier;

— subordinate AE Title;

— if provided on the TP-INITIALIZE-RI or -RC APDU, the recovery-context-handle received from the subordinate.

7.4.3 Log-heuristic record

The log-heuristic record contains the following information written in secure storage:

a) the atomic action identifier;

b) the state of the bound data;

c) information necessary to execute compensating actions, if required.

NOTE — The log-heuristic record models the need for an open system to retain, beyond node crashes, information about the heuristic decision.

7.4.4 Log-damage record

The log-damage record contains the following information written in secure storage:

a) the atomic action identifier;

b) the current known state of the bound data in the node's subtree. Its value is either "heuristic-hazard" or "heuristic-mix".

7.5 Recovery-context-handle

A recovery-context-handle is an identification of a grouping of log records, that will be used for all transactions on a particular association. The use of this grouping and associated recovery-context-handle are optional on any particular association.

NOTE — A possible use of the recovery-context-handle is to allow the partitioning of the set of log records, each part having a different value for the recovery-context-handle.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

When the recovery-context-handle is provided by the partner for a given association, its value shall be logged for all transaction branches that are initiated by the partner on this association, and, if initiation of recovery is subsequently required for any of these transaction branches, the value of the recovery-context-handle shall be conveyed on the consequent recovery primitives.

8 Use of ACSE, CCR and the Presentation Layer

8.1 Introduction

This clause identifies the use and requirements made of ACSE, CCR, and the Presentation Layer, and the rules for establishing, assigning, and terminating associations.

8.2 Use of ACSE Service primitives

The Association Control Service Element (ACSE) is used as described in ISO/IEC 8649 to establish and release associations.

The TPPM uses the following ACSE services:

— A-ASSOCIATE and A-RELEASE to establish and release associations; and

— A-ABORT to abruptly release an association.

The TPPM also must react to the occurrence of the A-P-ABORT indication primitive.

8.2.1 Use of the A-ASSOCIATE parameters

The parameters of the A-ASSOCIATE service are used by the PMs as specified in table 1.

Table 1 — Use of A-ASSOCIATE parameters

A-ASSOCIATE Parameters	Used by TPPM	
	Application-supported Transactions	Provider-supported Transactions or TP Channel
Mode	Yes	Yes
Application Context Name	Yes	Yes
Calling AP Title	Conditional	Yes
Calling AE Qualifier	Conditional	Yes
Calling AP Invocation Identifier	Conditional	Conditional
Calling AE Invocation Identifier	Conditional	Conditional
Called AP Title	Conditional	Conditional
Called AE Qualifier	Conditional	Conditional
Called AP Invocation Identifier	Conditional	Conditional
Called AE Invocation Identifier	Conditional	Conditional
Responding AP Title	Conditional	Yes
Responding AE Qualifier	Conditional	Yes
Responding AP Invocation-Identifier	Conditional	Conditional
Responding AE Invocation-Identifier	Conditional	Conditional
User Information	Yes	Yes
Result	Yes	Yes

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Table 1 (Concluded 2 of 2) — Use of A-ASSOCIATE parameters

A-ASSOCIATE Parameters	Used by TPPM	
	Application-supported Transactions	Provider-supported Transactions or TP Channel
Result Source	Yes	Yes
Diagnostic	Conditional	Conditional
Calling Presentation Address	Yes	Yes
Called Presentation Address	Yes	Yes
Responding Presentation Address	Yes	Yes
Presentation Context Definition List	Yes	Yes
Presentation Context Definition Result List	Yes	Yes
Default Presentation Context Name	No	No
Default Presentation Context Result	No	No
Quality Of Service	Yes	Yes
Presentation Requirements	Conditional	Conditional
Session Requirements	Yes	Yes[1)]
Initial Synchronization Point Serial Number	Conditional	Yes
Initial Assignment of Tokens	Conditional	Yes[2)]
Session-Connection Identifier	No	No

1) See 8.5.2 and 8.5.3 for constraints on this parameter.
2) See 8.5.4 for the assignment of the parameter.

8.2.2 Use of the A-RELEASE parameters

The parameters of the A-RELEASE service are used by the PMs as specified in table 2.

Table 2 — Use of A-RELEASE parameters

A-RELEASE Parameters	Used by TPPM
Reason	No
User Information	No
Result	Yes

8.2.3 Use of the A-ABORT and A-P-ABORT parameters

The parameters of the A-ABORT and A-P-ABORT services are used by the PMs as specified in tables 3 and 4.

Table 3 — Use of A-ABORT parameters

A-ABORT Parameters	Used by TPPM
Abort Source	No
User Information	Yes

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Table 4 - Use of A-P-ABORT parameters

A-P-ABORT Parameters	Used by TPPM
Provider Reason	No

8.3 Use of CCR Service primitives

The Commitment, Concurrency and Recovery Service Element (CCR) is used for provider-supported transactions.

The PMs use the following CCR services:

— C-BEGIN, C-PREPARE, C-READY, C-COMMIT and C-ROLLBACK for TP services supported by commitment-related functional units; and

— C-RECOVER for transaction recovery.

The PMs use the User Data parameter of some CCR services to convey certain TP APDUs. These CCR services and TP APDUs are specified in table 31.

The parameters of the CCR services are used by the PMs as specified in tables 5 to 10.

Table 5 — Use of C-BEGIN parameters

C-BEGIN Parameters	Used by TPPM
Atomic Action Identifier - Master's Name	Yes
Atomic Action Identifier - Suffix	Yes
Branch Identifier - Superior's name	Yes
Branch Identifier - Suffix	Yes
User Data	No

Where the TP procedures refer to the "atomic-action-identifier" parameter of C-BEGIN request and indication, this is the combination of the "Atomic Action Identifier - Master's Name" and the "Atomic Action Identifier - Suffix". Where the TP procedures refer to the "atomic-action-branch-identifier" parameter of C-BEGIN request and indication, this is the combination of the "Branch Identifier - Superior's Name" and the "Branch Identifier - Suffix".

Table 6 — Use of C-PREPARE parameters

C-PREPARE Parameters	Used by TPPM
User Data	Yes

Table 7 — Use of C-READY parameters

C-READY Parameters	Used by TPPM
User Data	No

Table 8 — Use of C-COMMIT parameters

C-COMMIT Parameters	Used by TPPM
User Data	Conditional

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Table 9 — Use of C-ROLLBACK parameters

C-ROLLBACK Parameters	Used by TPPM
User Data	Conditional

Table 10 — Use of C-RECOVER parameters

C-RECOVER Parameters	Used by (TP)PM
Recovery State	Yes
Atomic Action Identifier	Yes
Branch Identifier	Yes
User Data	Conditional

8.4 Use of the Presentation Layer

8.4.1 Use of Presentation Service primitives

Implementations shall take care that parallelism between the lower layers and the SAO does not result in a violation of the service user rules of those layers.

NOTE — An example of this problem may occur in the case of a rollback. A C-ROLLBACK indication, which is mapped to a P-RESYNCHRONIZE indication, may be processed by the Session layer and not yet processed by the SAO. Before this indication is processed by the SAO, a C-ROLLBACK request, mapped to a P-RESYNCHRONIZE request may be sent to Session, resulting in a violation of the Session Service user rules.

In addition to Presentation Service primitives used by CCR and ACSE Protocol Machines, the TPPM makes use of:

— P-TOKEN-PLEASE and P-TOKEN-GIVE for token management (to position the tokens correctly for CCR);

— P-DATA for all other services.

The U-ASE may make use of the P-TOKEN-GIVE or P-TOKEN-PLEASE service to manage the Session tokens. In general, the use of these services by the U-ASE is manifested in the TPPM as a TP-DATA request or a U-ASE indication. There are some cases, however, where the P-TOKEN-GIVE indication which refers to the synchronize-minor token may be seen by the PM. In this case, the procedures of the PM will refer to a P-TOKEN-GIVE (sync-minor) request or indication.

The parameters of the Presentation services are used by the TPPMs as specified in tables 11 to 13.

Table 11 - Use of P-TOKEN-PLEASE parameters

P-TOKEN-PLEASE Parameters	Used by TPPM
Tokens (synchronize-minor)	Yes
User data	Yes

Table 12 — Use of P-TOKEN-GIVE (sync-minor) parameters

P-TOKEN-GIVE (sync-minor) Parameters	Used by TPPM
Tokens (synchronize-minor)	Yes
User data	Yes

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Table 13 — Use of P-DATA parameters

P-DATA Parameters	Used by TPPM
User data	Yes

8.4.2 Mapping of C-ROLLBACK-RI to Presentation

CCR requires a C-ROLLBACK-RI to be mapped to a P-RESYNCHRONIZE request. When CCR is used with TP, the Tokens parameter of the P-RESYNCHRONIZE request shall be set so that the synchronize-minor token is passed to the superior. TP places no requirements on the setting of the Tokens parameter for the other available tokens.

NOTE — If the C-ROLLBACK-RI is issued by a superior, CCR does not specify a value for the Tokens parameter of the P-RESYNCHRONIZE request.

8.5 Association Management

8.5.1 Introduction

This clause defines the requirements of this part of ISO/IEC 10026 with respect to the management and use of associations.

8.5.2 Association/dialogue compatibility

An association is said to be compatible with a dialogue if it meets the following conditions:

a) the association shall have been established with an AEI fulfilling the requirements expressed in the Application Context Name, Recipient-AP-Title, and any of the following for which a value was specified: Recipient-API-Identifier, Recipient-AE-Qualifier, and Recipient-AEI-Identifier parameters as specified by the TP-BEGIN-DIALOGUE request;

b) the association shall have selected the kernel and full duplex Session functional units, the kernel Presentation functional unit, and, if the Commit functional unit is selected, the Session functional units as required by CCR;

NOTE — This includes the Session Data Separation functional unit required by CCR version 2.

c) if the Commit functional unit is selected, CCR version 2's abstract syntax name shall be found in the Presentation Context Definition List and the application context;

d) The association shall have been established with a Quality of Service parameter compatible with the Quality-of-Service parameter specified by the TP-BEGIN-DIALOGUE request, if any.

8.5.3 Association/channel compatibility

An association is said to be compatible with a channel if it meets the following conditions:

a) the association shall have been established with an AEI identified by the AE-title as specified in the log record(s) for the transaction(s) to be recovered, and with an application context appropriate for recovery;

b) the association shall have selected the kernel and full duplex Session functional units, the kernel Presentation functional unit, and the Session functional units as required by CCR;

c) CCR version 2's abstract syntax name shall be found in the Presentation Context Definition List and the application context.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

8.5.4 Initiating an association establishment

When establishing an association, a TP-INITIALIZE-RI APDU shall be constructed and issued as User Information of the A-ASSOCIATE request. Table 14 lists the fields of this TP APDU.

Table 14 — TP-INITIALIZE-RI/RC APDUs' fields

TP APDU	TP-INITIALIZE-	
Field	RI	RC
Protocol-Version	M	M
Contention-Winner-Assignment	M	
Bid-Mandatory	M	
Recovery-Context-Handle	O	O
Diagnostic		O

The fields of the TP-INITIALIZE-RI APDU are set as follows:

a) the Protocol-Version field indicates the possible versions of the TP Protocol that can be supported. The TPPM may support more than one version of the protocol;

NOTE 1 A TPPM may also propose different subsets of the versions it supports; which versions to propose is a local matter.

b) the Contention-Winner-Assignment field identifies whether or not the initiating TPPM will be considered as the contention-winner of this association. This field takes one of the following values:

"true" (the initiator is the contention-winner);
"false" (the initiator is the contention-loser).

If CCR is included in the application context of the association, then the following applies to the setting of the A-ASSOCIATE request parameter "Initial Assignment of Tokens":

1) if the value of the Contention-Winner-Assignment field is "true", the value of the A-ASSOCIATE request parameter "Initial Assignment of Tokens" (see 8.2.1) is "requestor side";

2) if the value of this field is "false", the value of the A-ASSOCIATE request parameter "Initial Assignment of Tokens" is "acceptor side";

c) the Bid-Mandatory field indicates whether the use of the bid mechanism (by the contention-loser) is mandatory or not. This field takes one of the following values:

"true";
"false";

d) the Recovery-Context-Handle field is optionally used to provide a value that is to be supplied when recovery is requested by the remote TPPM;

NOTE 2 An association, once established, may be required to support dialogues with different requirements, and also TP channels. Therefore, the requirements declared when the association is established, must be sufficient for all intended uses of the association. For example, a Recovery-Context-Handle may be specified even though initial use of the association may be for a dialogue without the Commit functional unit or for a TP channel, neither of which have any use for a Recovery-Context-Handle.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

8.5.5 Receiving an association establishment indication

Upon receipt of an A-ASSOCIATE indication, a TP-INITIALIZE-RI APDU shall be received as User Information of the A-ASSOCIATE indication. Table 14 lists the fields of this TP APDU.

The fields of the TP-INITIALIZE-RI APDU are used as follows:

a) if the Protocol-Version field contains a version that is supported by the TPPM, the association may be accepted. If not, the association shall be rejected. The TPPM ignores any values that indicate a later version of the protocol than it can support;

b) if the value of the Contention-Winner-Assignment field is acceptable to the TPPM, the association may be accepted. Otherwise, the association shall be rejected;

c) if the value of the Bid-Mandatory field is acceptable to the TPPM, the association may be accepted. Otherwise, the association shall be rejected;

d) if the Recovery-Context-Handle field is present, its value shall be stored in the recovery log (the log-ready record or the log-commit record, whichever applies, see 7.5) for all transactions on the association;

e) if CCR will be used on the association (for a dialogue with coordination level "Commitment" or a channel), and the A-ASSOCIATE indication either

i) does not contain an entry for CCR version 2's abstract syntax name in the Presentation Context Definition List parameter; or

ii) the Session functional units required by CCR version 2 are not selected in the Session Requirements parameter;

then the association shall be rejected. Otherwise, the association may be accepted.

8.5.6 Responding to association establishment

When responding to association establishment, a TP-INITIALIZE-RC APDU shall be constructed and issued as User Information of the A-ASSOCIATE response. Table 14 lists the fields of this TP APDU.

The fields of the TP-INITIALIZE-RC APDU (and the Result parameter of the A-ASSOCIATE response) are set as follows:

a) if the association is accepted,

1) the Result parameter of the A-ASSOCIATE response shall be set to “accepted”;

2) the Protocol-Version field of the TP-INITIALIZE-RC APDU shall be set to the version of ISO/IEC 10026 to be used for this association. This version shall be one of the protocol versions proposed on the TP-INITIALIZE-RI APDU;

3) the Recovery-Context-Handle field of the TP-INITIALIZE-RC APDU may (optionally) be set to a value that shall be used when recovery is requested by the remote TPPM;

4) the Diagnostic field of the TP-INITIALIZE-RC APDU shall be omitted;

b) if the association is rejected,

1) the Result parameter of the A-ASSOCIATE response shall be set to

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

i) "rejected(permanent)", if the Diagnostic field of the TP-INITIALIZE-RC APDU contains any of the settings

a) "tp-protocol-version-incompatibility";
b) "ccr-version-2-not-available";

ii) "rejected(transient)", otherwise;

2) the Protocol-Version field of the TP-INITIALIZE-RC APDU shall be set to the versions of ISO/IEC 10026 that can be supported;

3) the Recovery-Context-Handle field of the TP-INITIALIZE-RC APDU shall be omitted;

4) the Diagnostic field of the TP-INITIALIZE-RC APDU shall be set to all applicable values of the following:

i) "ccr-version-2-not-available", if CCR is required on the association and either or both the CCR Version 2 is not available or the Session functional units required for CCR Version 2 are not selected in the A-ASSOCIATE indication;

ii) "tp-protocol-version-incompatibility", if none of the values of the Protocol-Version field offered in the TP-INITIALIZE-RI APDU can be supported for this association;

iii) "contention-winner-assignment-rejected", if the value of the Contention-Winner-Assignment field of the TP-INITIALIZE-RI APDU is not acceptable for this association;

iv) "bid-mandatory-value-rejected", if the value of the Bid-Mandatory field of the TP-INITIALIZE-RI APDU is not acceptable for this association;

v) "no-reason-given", if none of the above Diagnostic values applies.

8.5.7 Receiving confirmation of association establishment

Upon receipt of an A-ASSOCIATE confirm, a TP-INITIALIZE-RC APDU shall be received as User Information of the A-ASSOCIATE confirm. Table 14 lists the fields of this TP APDU.

The fields of the TP-INITIALIZE-RC APDU are used as follows:

a) if the association is accepted, Protocol-Version defines the protocol version of ISO/IEC 10026 to be used for this association. If the value of the Protocol-Version field is not one of the versions that was proposed on the TP-INITIALIZE-RI APDU, this is an error and the association shall be released;

b) if the association is rejected, the Protocol-Version field contains the protocol versions of ISO/IEC 10026 that can be supported;

c) if the association is accepted and if the Recovery-Context-Handle field is present, its value shall be stored in the recovery log (the log-ready record or the log-commit record, whichever applies, see 7.5) for all transactions on the association.

The A-ASSOCIATE confirm with no embedded TP-INITIALIZE-RC APDU shall only be received when the association establishment was rejected by ACSE.

If the Application Context Name parameter on the A-ASSOCIATE confirm is different from the Application Context Name parameter on the A-ASSOCIATE request, the PM makes a local decision whether to 1) accept the association using this new application context, or 2) release the association.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

Table 15— AF Service Primitives and Associated TP APDUs

AF Service Primitives	TP APDUs
AF-BEGIN-DIALOGUE req/ind AF-BEGIN-DIALOGUE rsp/cnf	TP-BEGIN-DIALOGUE-RI TP-BEGIN-DIALOGUE-RC
AF-BID req/ind AF-BID rsp/cnf	TP-BID-RI TP-BID-RC
AF-END-DIALOGUE req/ind AF-END-DIALOGUE rsp/ind	TP-END-DIALOGUE-RI TP-END-DIALOGUE-RC
AF-U-ERROR req/ind AF-U-ERROR rsp/cnf	TP-U-ERROR-RI TP-U-ERROR-RC
AF-ABORT req/ind	TP-ABORT-RI
AF-ABORT-AND-HEURISTIC-REPORT req/ind	TP-ABORT-RI + TP-HEURISTIC-REPORT-RI
AF-GRANT-CONTROL req/ind	TP-GRANT-CONTROL-RI
AF-REQUEST-CONTROL req/ind	TP-REQUEST-CONTROL-RI
AF-HANDSHAKE req/ind AF-HANDSHAKE rsp/cnf	TP-HANDSHAKE-RI TP-HANDSHAKE-RC
AF-HANDSHAKE-AND- GRANT-CONTROL req/ind AF-HANDSHAKE-AND- GRANT-CONTROL rsp/cnf	TP-HANDSHAKE-AND- GRANT-CONTROL-RI TP-HANDSHAKE-AND- GRANT-CONTROL-RC
AF-DEFER req/ind	TP-DEFER-RI
AF-PREPARE req/ind	TP-PREPARE-RI
AF-HEURISTIC-REPORT req/ind	TP-HEURISTIC-REPORT-RI
AF-TOKEN-GIVE req/ind	TP-TOKEN-GIVE-RI
AF-TOKEN-PLEASE req/ind	TP-TOKEN-PLEASE-RI
AF-RECOVER req/ind	TP-RECOVER-RI

NOTE — When an association has been rejected, it is a local decision as to what to do next. The TPPM, based on a local decision, may notify the TPSUI that the dialogue is being rejected, it may try again (immediately) to establish the association, it may wait for some period of time and then retry, etc.

8.5.8 Initiating an association release

Release of an association may be initiated according to a local decision at any time the SACF is in the FREE state (see 10.2).

8.5.9 Aborting an association

An A-ABORT request may be issued by a U-ASE at any time. If a U-ASE issues an A-ABORT request, then the TPPM will take the actions appropriate to association abort which may include rolling back the current transaction or initiating recovery.

9 TP-ASE description

9.1 Introduction

This clause defines the Service Primitives provided by the TP-ASE to the MACF (through the applicable SACF procedures). It further defines the TP APDUs generated to, and received from, the partner TP-ASE. It also defines the TP APDU mappings onto CCR, ACSE, and Presentation services.

Table 15 lists the AF Service primitives together with associated TP APDUs.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

9.2 AF Service Definition

The primitives and parameters of the AF services are given in 9.3. The sequence of primitives is given by the appropriate tables in 9.3, reading from left-to-right. This standard (clauses 7 to 11 and, indirectly by reference, the TP Service) defines the constraints on, effects, and collisions of the service primitives.

9.2.1 AF-BEGIN-DIALOGUE

This service is initiated as a direct result of a TP-BEGIN-DIALOGUE request service primitive, or is initiated directly by the CPM to establish a channel.

This service is a confirmed service for channels and a conditionally confirmed service for dialogues.

NOTE — The only time this service is not confirmed is when the confirmation parameter of the AF-BEGIN-DIALOGUE request is set to "negative", the dialogue is not rejected, and a rollback-initiating service primitive or a TPPM-initiated rollback occurs at the partner prior to any other requests or responses by that partner. In this case, a C-ROLLBACK indication or confirm will serve to confirm the dialogue establishment.

The AF-BEGIN-DIALOGUE response and confirm are used as delimiters for discarding stray APDUs.

When the response and confirm service primitives are referenced in the procedure clauses, the first value listed in the parenthetical argument is the value of the Result parameter; the second is the value of the Mapping parameter.

9.2.2 AF-BID

This confirmed service is used by the SACF in order to gain the rights of the contention-winner temporarily for attempting establishment of the subsequent dialogue or channel.

When the response and confirm service primitives are referenced in the procedure clauses, the value listed in the parenthetical argument is the value of the Result parameter.

9.2.3 AF-END-DIALOGUE

This service is initiated as a direct result of a TP-END-DIALOGUE request service primitive, or is initiated directly by the CPM to terminate a channel.

This is an optionally confirmed service for dialogues. This is an unconfirmed service for channels.

9.2.4 AF-U-ERROR

This service is initiated as a direct result of a TP-U-ERROR request service primitive.

This is an unconfirmed service in Polarized Control.

In Shared Control, this is an unconfirmed service when it serves as a negative response to a prior AF-HANDSHAKE indication or an AF-END-DIALOGUE indication with the Confirmation parameter set to “true”. Otherwise, this is a confirmed service and the request primitive begins the *user error purging period*; in this case, either an AF-U-ERROR confirm, an AF-HANDSHAKE indication, or an AF-END-DIALOGUE indication with the Confirmation parameter set to "true" serves as the confirmation to the AF-U-ERROR request (but see the definition of *user error purging period* in 7.3 for more details when more than one AF-U-ERROR request is unconfirmed).

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

9.2.5 AF-ABORT

This service is initiated as a direct result of a TP-U-ABORT request service primitive, or is initiated directly by the PM to abnormally terminate a dialogue or channel.

This is an unconfirmed service.

When this service primitive is referenced in the procedure clauses, the first value listed in the parenthetical argument is the value of the Type parameter; the second is the value of the Mapping parameter.

9.2.6 AF-GRANT-CONTROL

This service is initiated as a direct result of a TP-GRANT-CONTROL request service primitive.

This is an unconfirmed service.

9.2.7 AF-REQUEST-CONTROL

This service is initiated as a direct result of a TP-REQUEST-CONTROL request service primitive.

This is an unconfirmed service.

9.2.8 AF-HANDSHAKE

This service is initiated as a direct result of a TP-HANDSHAKE request service primitive.

This is a confirmed service.

9.2.9 AF-HANDSHAKE-AND-GRANT-CONTROL

This service is initiated as a direct result of a TP-HANDSHAKE-AND-GRANT-CONTROL request service primitive.

This service is a confirmed service.

9.2.10 AF-DEFER

This service is initiated as a result of either a TP-DEFERRED-END-DIALOGUE or a TP-DEFERRED-GRANT-CONTROL request service primitive.

This is an unconfirmed service.

When this service primitive is referenced in the procedure clauses, the value listed in the parenthetical argument is the value of the Type parameter.

9.2.11 AF-PREPARE

This service is initiated as a direct result of either a TP-PREPARE request service primitive or a TP-COMMIT request service primitive by a superior.

This is an unconfirmed service.

9.2.12 AF-HEURISTIC-REPORT

This service is initiated by a subordinate as a result of the existence of log-damage in the subtree.

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

This is an unconfirmed service.

When this service primitive is referenced in the procedure clauses, the value listed in the parenthetical argument is the value of the Mapping parameter.

9.2.13 AF-ABORT-AND-HEURISTIC-REPORT

This service is initiated by a subordinate as a result of the existence of log-damage in the subtree along with a dialogue abort condition.

This is a combination of the AF-ABORT and AF-HEURISTIC-REPORT service and has the combined semantics of the AF-ABORT and AF-HEURISTIC-REPORT services.

This is an unconfirmed service.

When this service primitive is referenced in the procedure clauses, the value listed in the parenthetical argument is the value of the Mapping parameter.

9.2.14 AF-RECOVER

This service enables TPPMs to invoke recovery after a failure when the recovery-context-handle is provided.

This service is unconfirmed.

When this service primitive is referenced in the procedure clauses, the value listed in the parenthetical argument is the value of the Recovery-State parameter.

9.2.15 AF-TOKEN-GIVE

This service is used to transfer the *token* to the peer PM either during two-way-recovery or while establishing or terminating a dialogue.

This is an unconfirmed service.

9.2.16 AF-TOKEN-PLEASE

This service is used to request the *token* from the peer PM; it will be used by CPMs only.

This is an unconfirmed service.

9.3 AF-Services and TP APDUs: parameters and field mappings

9.3.1 AF-BEGIN-DIALOGUE request/indication/response/confirm, TP-BEGIN-DIALOGUE-RI/-RC APDU

Tables 16 and 17 give the parameters and field mappings for Dialogue Establishment and Channel Establishment, respectively. The parameters and fields are as described in the "Primitives and parameters" subclause for the TP-BEGIN-DIALOGUE service in ISO/IEC 10026-2, with the following exceptions:

a) **Functional-Units**: The meaning and usage of this parameter/field is as described for the TP-BEGIN-DIALOGUE Service in ISO/IEC 10026-2, except that when it is used on a Channel, the parameter specifies only the Recovery Functional Unit (see 13.1.3);

AVA Documents Document Sharing Hub

Full document details: ISO_IEC 10026-3_1996

b) **Result**: The meaning and usage of this parameter/field is as described for the TP-BEGIN-DIALOGUE Service in ISO/IEC 10026-2, except that the value "rejected(provider)" is permitted on the AF-BEGIN-DIALOGUE response. For a channel, the value "rejected(user)" is not used;

c) **Diagnostic**: The meaning and usage of this parameter/field is as described for the TP-BEGIN-DIALOGUE Service in ISO/IEC 10026-2, except that the following additional values are allowed:

1) "two-way-recovery-not-supported" when "two-way-recovery" was the value of the Channel-Utilization parameter/field. This value only applies to channels;

2) "association-reserved" when the contention-winner has reserved the association for its use;

3) "tppm-recovery-not-available" when the CPM is unable to support recovery, due to a local condition. This value only applies to channels.

The following values do not apply to channels:

1) "recipient-tpsu-title-unknown";
2) "tpsu-not-available(permanent)";
3) "tpsu-not-available(transient)";
4) "recipient-tpsu-title-required";
5) "functional-unit-combination-not-supported";

Table 16 — Dialogue Establishment mappings

Service Primitive/TP APDU	TP-	AF-	TP-	AF-	TP-		TP-	AF-	TP-	AF-	TP-
					BEGIN-DIALOGUE						
Parameter/Field	req	req	-RI	ind	ind		rsp	rsp	-RC	cnf	cnf
Initiating-AP-Title					O						
Initiating-API-Identifier					O						
Initiating-AE-Qualifier					O						
Initiating-AEI-Identifier					O						
Initiating-TPSU-Title	U	(=)	(=)	(=)	(=)						
Recipient-AP-Title	M										
Recipient-API-Identifier	C										
Recipient-AE-Qualifier	C										
Recipient-AEI-Identifier	C										
Recipient-TPSU-Title	U	(=)	(=)	(=)							
Functional-Units	M	(=)	(=)	(=)	(=)			C	(=)	(=)	(=)
Quality-of-Service	U										
Application Context Name	M										
Begin-Transaction	C	(=)	(=)	(=)	(=)						
Confirmation	M	(=)	(=)	(=)	(=)						
Result							M	(=)/M	(=)	(=)	(=)
Diagnostic								C	(=)	(=)/M	(=)
Rollback											M
Correlator		M	(=)	(=)				(=)	(=)	(=)	
Channel-Utilization											
Mapping								M		(=)	
Last-Partner-Identifier		C	(=)	(=)							
User-Data	U	(=)	(=)	(=)	(=)		U	(=)	(=)	(=)	(=)

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Table 17 — Channel Establishment mappings

Service Primitive/TP APDU	AF-	TP-	AF-		AF-	TP-	AF-
	——BEGIN-DIALOGUE——						
Parameter/Field	req	-RI	ind		rsp	-RC	cnf
Initiating-AP-Title							
Initiating-API-Identifier							
Initiating-AE-Qualifier							
Initiating-AEI-Identifier							
Initiating-TPSU-Title							
Recipient-AP-Title							
Recipient-API-Identifier							
Recipient-AE-Qualifier							
Recipient-AEI-Identifier							
Recipient-TPSU-Title							
Functional-Units	M	(=)	(=)				
Quality-of-Service							
Application Context Name							
Begin-Transaction							
Confirmation							
Result					M	(=)	(=)
Diagnostic					C	(=)	(=)
Rollback							
Correlator	M	(=)	(=)		(=)	(=)	(=)
Channel-Utilization	M	(=)	(=)				
Mapping					M		(=)
Last-Partner-Identifier	C	(=)	(=)				
User-Data							

d) **Correlator:** A correlator unambiguous within the scope of a single direction of transfer in the SAO.

Due to the use of unconfirmed services and re-use of associations, it may happen that APDUs that are foreign to a particular dialogue are received. Such APDUs are referred to as "stray APDUs".

To resolve such an ambiguity, a correlator is conveyed with the request for, and the acknowledgement/rejection of a dialogue/channel establishment to identify the dialogue/channel.

NOTE — A correlator must be unique within the scope of the correlators used by the SACF on it's previous issued and unacknowledged dialogue/channel establishment requests. Once a dialogue/channel establishment request is acknowledged (by acceptance or rejection) all unacknowledged correlators used prior to that returned are acknowledged and available for re-use.

The value of this parameter is set on the request/response when the service primitive passes through the SACF;

e) **Channel-Utilization:** Identifies the use of the channel. It takes one of the following values:

1) "one-way-recovery";
2) "two-way-recovery";

depending on the desired mode of recovery and is present only if the Recovery Functional Unit (see 13.1.3.2) is selected in the value of the Functional-Units parameter of the AF-BEGIN-DIALOGUE request;

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