



# Web Services Business Activity (WS-Business Activity) 1.1

Public Review Draft 01, November 8, 2006

**Document Identifier:**

wstx-wsba-1.1-spec-pr-01

**Location:**

<http://docs.oasis-open.org/ws-tx/wstx-wsba-1.1-spec-pr-01.pdf>

**Technical Committee:**

OASIS WS-TX TC

**Chair(s):**

Eric Newcomer, Iona  
Ian Robinson, IBM

**Editor(s):**

Tom Freund, IBM <tjfreund@us.ibm.com>  
Alastair Green, Choreology Ltd. <alastair.green@choreology.com>  
John Harby, Independent Consultant <jharby@gmail.com>  
Mark Little, JBoss Inc. <mark.little@jboss.com>

**Abstract:**

This specification provides the definition of the business activity coordination type that is to be used with the extensible coordination framework described in the WS-Coordination specification. The specification defines two specific agreement coordination protocols for the business activity coordination type: BusinessAgreementWithParticipantCompletion, and BusinessAgreementWithCoordinatorCompletion. Developers can use any or all of these protocols when building applications that require consistent agreement on the outcome of long-running distributed activities.

**Status:**

This document is published by the WS-TX TC as a "public review draft".

This document was last revised or approved by the WS-TX TC on the above date. The level of approval is also listed above. Check the current location noted above for possible later revisions of this document. This document is updated periodically on no particular schedule.

Technical Committee members should send comments on this specification to the Technical Committee's email list. Others should send comments to the Technical Committee by using the "Send A Comment" button on the Technical Committee's web page at [www.oasis-open.org/committees/ws-tx](http://www.oasis-open.org/committees/ws-tx).

For information on whether any patents have been disclosed that may be essential to implementing this specification, and any offers of patent licensing terms, please refer to the Intellectual Property Rights section of the Technical Committee web page ([www.oasis-open.org/committees/ws-tx/ipr.php](http://www.oasis-open.org/committees/ws-tx/ipr.php)).

The non-normative errata page for this specification is located at [www.oasis-open.org/committees/ws-tx](http://www.oasis-open.org/committees/ws-tx).

---

## Notices

Copyright © OASIS Open 2006. All Rights Reserved.

All capitalized terms in the following text have the meanings assigned to them in the OASIS Intellectual Property Rights Policy (the "OASIS IPR Policy"). The full Policy may be found at the OASIS website.

This document and translations of it may be copied and furnished to others, and derivative works that comment on or otherwise explain it or assist in its implementation may be prepared, copied, published, and distributed, in whole or in part, without restriction of any kind, provided that the above copyright notice and this section are included on all such copies and derivative works. However, this document itself may not be modified in any way, including by removing the copyright notice or references to OASIS, except as needed for the purpose of developing any document or deliverable produced by an OASIS Technical Committee (in which case the rules applicable to copyrights, as set forth in the OASIS IPR Policy, must be followed) or as required to translate it into languages other than English.

The limited permissions granted above are perpetual and will not be revoked by OASIS or its successors or assigns.

This document and the information contained herein is provided on an "AS IS" basis and OASIS DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, INCLUDING BUT NOT LIMITED TO ANY WARRANTY THAT THE USE OF THE INFORMATION HEREIN WILL NOT INFRINGE ANY OWNERSHIP RIGHTS OR ANY IMPLIED WARRANTIES OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

OASIS requests that any OASIS Party or any other party that believes it has patent claims that would necessarily be infringed by implementations of this OASIS Committee Specification or OASIS Standard, to notify OASIS TC Administrator and provide an indication of its willingness to grant patent licenses to such patent claims in a manner consistent with the IPR Mode of the OASIS Technical Committee that produced this specification.

OASIS invites any party to contact the OASIS TC Administrator if it is aware of a claim of ownership of any patent claims that would necessarily be infringed by implementations of this specification by a patent holder that is not willing to provide a license to such patent claims in a manner consistent with the IPR Mode of the OASIS Technical Committee that produced this specification. OASIS may include such claims on its website, but disclaims any obligation to do so.

OASIS takes no position regarding the validity or scope of any intellectual property or other rights that might be claimed to pertain to the implementation or use of the technology described in this document or the extent to which any license under such rights might or might not be available; neither does it represent that it has made any effort to identify any such rights. Information on OASIS' procedures with respect to rights in any document or deliverable produced by an OASIS Technical Committee can be found on the OASIS website. Copies of claims of rights made available for publication and any assurances of licenses to be made available, or the result of an attempt made to obtain a general license or permission for the use of such proprietary rights by implementers or users of this OASIS Committee Specification or OASIS Standard, can be obtained from the OASIS TC Administrator. OASIS makes no representation that any information or list of intellectual property rights will at any time be complete, or that any claims in such list are, in fact, Essential Claims.

---

# Table of Contents

1	Introduction.....	4
1.1	Model .....	5
1.2	Composable Architecture .....	5
1.3	Terminology .....	5
1.4	Namespace.....	6
1.4.1	Prefix Namespace .....	6
1.5	XSD and WSDL Files .....	6
1.6	BA Protocol Elements.....	6
1.7	Normative References.....	6
2	Using WS-Coordination.....	8
2.1	Coordination Context.....	8
3	Coordination Types and Protocols .....	9
3.1	Preconditions .....	9
3.2	BusinessAgreementWithParticipantCompletion Protocol.....	9
3.3	BusinessAgreementWithCoordinatorCompletion Protocol.....	12
4	WS-BA Policy Assertions .....	14
4.1	Assertion Models .....	14
4.2	Normative Outlines .....	14
4.3	Assertion Attachment.....	15
4.4	Assertion Example.....	15
5	Security Considerations .....	17
6	Use of WS-Addressing Headers .....	19
7	Glossary .....	20
	Appendix A. Acknowledgements .....	21
	Appendix B. Revision History.....	22
	Appendix C. State Tables for the Agreement Protocols .....	24
	C.1. Participant view of BusinessAgreementWithParticipantCompletion .....	25
	C.2. Coordinator view of BusinessAgreementWithParticipantCompletion .....	27
	C.3. Participant view of BusinessAgreementWithCoordinatorCompletion .....	29
	C.4. Coordinator view of BusinessAgreementWithCoordinatorCompletion .....	31

---

# 1 Introduction

The current set of Web service specifications **[WSDL]** **[SOAP 1.1]** **[SOAP 1.2]** define protocols for Web service interoperability. Web services increasingly tie together a number of participants forming large distributed applications. The resulting activities may have complex structure and relationships.

The WS-Coordination **[WSCOOR]** specification defines an extensible framework for defining coordination types. A coordination type may have multiple coordination protocols, each intended to coordinate a different role that a Web service plays in the activity.

To establish the necessary relationships between participants, messages exchanged between participants carry a CoordinationContext. The CoordinationContext includes a Registration service Endpoint Reference of a Coordination service. Participants use that Registration service to register for one or more of the protocols supported by that activity.

To understand the protocol described in this specification, the following assumptions are made:

- The reader is familiar with the WS-Coordination **[WSCOOR]** specification that defines the framework for the WS-BusinessActivity coordination protocols.
- The reader is familiar with WS-Addressing **[WSADDR]** and WS-Policy **[WSPOLICY]**.

This specification provides the definition of a business activity coordination type used to coordinate activities that apply business logic to handle exceptions that occur during the execution of activities of a business process. Actions are applied immediately and are permanent. Compensating actions may be invoked in the event of an error. The Business Activity specification defines protocols that enable existing business process and work flow systems to wrap their proprietary mechanisms and interoperate across trust boundaries and different vendor implementations.

Business Activities have the following characteristics:

- A business activity may consume many resources over a long duration.
- There may be a significant number of atomic transactions involved.
- Individual tasks within a business activity can be seen prior to the completion of the business activity, their results may have an impact outside of the computer system.
- Responding to a request may take a very long time. Human approval, assembly, manufacturing, or delivery may have to take place before a response can be sent.
- In the case where a business exception requires an Activity to be logically undone, abort is typically not sufficient. Exception handling mechanisms may require business logic, for example in the form of a compensation task, to reverse the effects of a previously completed task.
- Participants in a business activity may be in different domains of trust where all trust relationships are established explicitly.

These characteristics lead to a design point, with the following assumptions:

- All state transitions are reliably recorded, including application state and coordination metadata.
- All non-terminal notifications are acknowledged in the protocol to ensure a consistent view of state between the coordinator and participant. A coordinator or participant may solicit the status of its partner or retry sending notifications in order to achieve this.
- Each notification is defined as an individual message. Transport level request/response retry and time out are not sufficient mechanisms to achieve end-to-end agreement coordination for long-running activities.

This specification leverages WS-Coordination by extending it to support business activities. It does this by adding constraints to the protocols defined in WS-Coordination and by defining its own Coordination protocols.

The constraints that Business Activity puts on WS-Coordination protocols are described in Section 2. The Business Activity Coordination protocols are defined in Section 3.

47 Terms introduced in this specification are explained in the body of the specification and summarized in  
48 the Glossary.

## 49 **1.1 Model**

50 Business Activity Coordination protocols provide the following flexibility:

- 51 • A business application may be partitioned into business activity scopes. A business activity scope is  
52 a business task consisting of a general-purpose computation carried out as a bounded set of  
53 operations on a collection of Web services that require a mutually agreed outcome. There may be  
54 any number of hierarchical nesting levels. Nested scopes:
  - 55 – Allow a business application to select which child tasks are included in the overall outcome  
56 processing. For example, a business application might solicit an estimate from a number of  
57 suppliers and choose a quote or bid based on lowest-cost.
  - 58 – Allow a business application to catch an exception thrown by a child task, apply an exception  
59 handler, and continue processing even if something goes wrong. When a child completes its  
60 work, it may be associated with a compensation that is registered with the parent activity.
- 61 • A participant task within a business activity may specify that it is leaving a business activity. This  
62 provides the ability to exit a business activity and allows business programs to delegate processing to  
63 other scopes. In contrast to atomic transactions, the participant list is dynamic and a participant may  
64 exit the protocol at any time without waiting for the outcome of the protocol.
- 65 • It allows a participant task within a business activity to specify its outcome directly without waiting for  
66 solicitation. Such a feature is generally useful when a task fails so that the notification can be used  
67 by a business activity exception handler to modify the goals and drive processing in a timely manner.
- 68 • It allows participants in a coordinated business activity to perform "tentative" operations as a normal  
69 part of the activity. The result of such "tentative" operations may become visible before the activity is  
70 complete and may require business logic to run in the event that the operation needs to be  
71 compensated. Such a feature is critical when the joint work of a business activity requires many  
72 operations performed by independent services over a long period of time.

## 73 **1.2 Composable Architecture**

74 By using the XML [**XML**], SOAP [**SOAP 1.1**] [**SOAP 1.2**] and WSDL [**WSDL**] extensibility model, SOAP-  
75 based and WSDL-based specifications are designed to work together to define a rich Web services  
76 environment. As such, WS-BusinessActivity by itself does not define all features required for a complete  
77 solution. WS-BusinessActivity is a building block used with other specifications of Web services (e.g.,  
78 WS-Coordination, WS-Security) and application-specific protocols that are able to accommodate a wide  
79 variety of coordination protocols related to the coordination actions of distributed applications.

80

## 81 **1.3 Terminology**

82 The key words "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD  
83 NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described  
84 in [**RFC2119**].**[RFC2119][RFC2119][RFC2119][RFC2119]**

85 This specification uses an informal syntax to describe the XML grammar of the XML fragments below:

- 86 • The syntax appears as an XML instance, but the values indicate the data types instead of values.
- 87 • Element names ending in "... " (such as <element.../> or <element...>) indicate that  
88 elements/attributes irrelevant to the context are being omitted.
- 89 • Attributed names ending in "... " (such as name=...) indicate that the values are specified below.
- 90 • Grammar in bold has not been introduced earlier in the document, or is of particular interest in an  
91 example.
- 92 • <!-- description --> is a placeholder for elements from some "other" namespace (like ##other in XSD).

- 93 • Characters are appended to elements, attributes, and <!-- descriptions --> as follows: "?" (0 or 1), "\*" (0 or more), "+" (1 or more). The characters "[" and "]" are used to indicate that contained items are to be treated as a group with respect to the "?", "\*", or "+" characters.
  - 96 • The XML namespace prefixes (defined below) are used to indicate the namespace of the element being defined.
  - 98 • Examples starting with <?xml contain enough information to conform to this specification; others are fragments and require additional information to be specified in order to conform.
- 100 XSD schemas and WSDL definitions are provided as a formal definition of grammars **[XML-Schema1]**  
 101 **[WSDL]**.

103 **1.4 Namespace**

104 The XML namespace URI that MUST be used by implementations of this specification is:

```
105 http://docs.oasis-open.org/ws-tx/wsba/2006/06
```

106 **1.4.1 Prefix Namespace**

Prefix	Namespace
S11	<a href="http://schemas.xmlsoap.org/soap/envelope">http://schemas.xmlsoap.org/soap/envelope</a>
S12	<a href="http://www.w3.org/2003/05/soap-envelope">http://www.w3.org/2003/05/soap-envelope</a>
wscoor	<a href="http://docs.oasis-open.org/ws-tx/wscoor/2006/06">http://docs.oasis-open.org/ws-tx/wscoor/2006/06</a>
wsba	<a href="http://docs.oasis-open.org/ws-tx/wsba/2006/06">http://docs.oasis-open.org/ws-tx/wsba/2006/06</a>

108 **1.5 XSD and WSDL Files**

109 The XML schema and the WSDL declarations defined in this document can be found at the following locations:

- 111 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/wsba.xsd>
- 112 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/wsba.wsdl>

113 SOAP bindings for the WSDL documents defined in this specification MUST use "document" for the *style* attribute.

115 **1.6 BA Protocol Elements**

116 The protocol elements define various extensibility points that allow other child or attribute content. Additional children and/or attributes MAY be added at the indicated extension points but MUST NOT contradict the semantics of the parent and/or owner, respectively. If a receiver does not recognize an extension, the receiver SHOULD ignore the extension.

120 **1.7 Normative References**

- 121 **[RFC2119]** S. Bradner, *Key words for use in RFCs to Indicate Requirement Levels*,  
 122 <http://www.ietf.org/rfc/rfc2119.txt>, IETF RFC 2119, March 1997.
- 123 **[SOAP 1.1]** W3C Note, "SOAP: Simple Object Access Protocol 1.1,"  
 124 <http://www.w3.org/TR/2000/NOTE-SOAP-20000508/>, 08 May 2000.
- 125 **[SOAP 1.2]** W3C Recommendation, "SOAP Version 1.2 Part 1: Messaging Framework",  
 126 <http://www.w3.org/TR/soap12-part1/>, June 2003.

127	<b>[URI]</b>	T. Berners-Lee, R. Fielding, L. Masinter, "Uniform Resource Identifiers (URI): Generic Syntax," RFC 3986, <a href="http://www.ietf.org/rfc/rfc3986.txt">http://www.ietf.org/rfc/rfc3986.txt</a> , MIT/LCS, Day Software, Adobe Systems, January 2005.
128		
129		
130	<b>[XML]</b>	W3C Recommendation, "Extensible Markup Language (XML) 1.0 (Fourth Edition)," <a href="http://www.w3.org/TR/2006/REC-xml-20060816">http://www.w3.org/TR/2006/REC-xml-20060816</a> , 16 August 2006.
131		
132	<b>[XML-ns]</b>	W3C Recommendation, "Namespaces in XML 1.0 (Second Edition)," <a href="http://www.w3.org/TR/2006/REC-xml-names-20060816">http://www.w3.org/TR/2006/REC-xml-names-20060816</a> , 16 August 2006.
133		
134	<b>[XML-Schema1]</b>	W3C Recommendation, "XML Schema Part 1: Structures Second Edition," <a href="http://www.w3.org/TR/2004/REC-xmlschema-1-20041028">http://www.w3.org/TR/2004/REC-xmlschema-1-20041028</a> , 28 October 2004.
135		
136	<b>[XML-Schema2]</b>	W3C Recommendation, "XML Schema Part 2: Datatypes Second Edition," <a href="http://www.w3.org/TR/2004/REC-xmlschema-2-20041028">http://www.w3.org/TR/2004/REC-xmlschema-2-20041028</a> , 28 October 2004.
137		
138	<b>[WSCOOR]</b>	Web Services Coordination (WS-Coordination), " <a href="http://docs.oasis-open.org/ws-tx/wscoor/2006/06">http://docs.oasis-open.org/ws-tx/wscoor/2006/06</a> "
139		
140	<b>[WSDL]</b>	Web Services Description Language (WSDL) 1.1
141		<a href="http://www.w3.org/TR/2001/NOTE-wsdl-20010315">"http://www.w3.org/TR/2001/NOTE-wsdl-20010315"</a>
142	<b>[WSADDR]</b>	Web Services Addressing (WS-Addressing), <a href="http://www.w3.org/2005/08/addressing">Web Services Addressing (WS-Addressing)</a> 1.0, W3C Recommendation, <a href="http://www.w3.org/2005/08/addressing">http://www.w3.org/2005/08/addressing</a>
143		
144	<b>[WSPOLICY]</b>	Web Services Policy Framework (WS-Policy), <a href="http://schemas.xmlsoap.org/ws/2004/09/policy/">http://schemas.xmlsoap.org/ws/2004/09/policy/</a> , VeriSign, Microsoft, Sonic Software, IBM, BEA Systems, SAP, September 2004
145		
146		
147	<b>[WSPOLICYATTACH]</b>	Web Services Policy Attachment (WS-PolicyAttachment), <a href="http://schemas.xmlsoap.org/ws/2004/09/policy/">http://schemas.xmlsoap.org/ws/2004/09/policy/</a> , VeriSign, Microsoft, Sonic Software, IBM, BEA Systems, SAP, September 2004
148		
149		
150	<b>[BPEL]</b>	Web Services Business Process Execution Language, <a href="http://www.oasis-open.org/committees/download.php/16024/wsbpel-specification-draft-Dec-22-2005.htm">http://www.oasis-open.org/committees/download.php/16024/wsbpel-specification-draft-Dec-22-2005.htm</a> , Microsoft, BEA and IBM.
151		
152		
153	<b>[WSSec]</b>	OASIS Standard 200401, March 2004, "Web Services Security: SOAP Message Security 1.0 (WS-Security 2004)," <a href="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-soap-message-security-1.0.pdf">http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-soap-message-security-1.0.pdf</a>
154		
155		
156	<b>[WSSecPolicy]</b>	Web Services Security Policy Language (WS-SecurityPolicy), <a href="http://schemas.xmlsoap.org/ws/2005/07/securitypolicy/">http://schemas.xmlsoap.org/ws/2005/07/securitypolicy/</a> , Microsoft, VeriSign, IBM, RSA Security, December 2002
157		
158		
159	<b>[WSSecConv]</b>	Web Services Secure Conversation Language (WS-SecureConversation), <a href="http://schemas.xmlsoap.org/ws/2005/02/sc/">http://schemas.xmlsoap.org/ws/2005/02/sc/</a> , OpenNetwork, Layer7, Netegrity, Microsoft, Reactivity, IBM, VeriSign, BEA Systems, Oblix, RSA Security, Ping Identity, Westbridge, Computer Associates, February 2005
160		
161		
162		
163	<b>[WSTrust]</b>	Web Services Trust Language (WS-Trust), <a href="http://schemas.xmlsoap.org/ws/2005/02/trust/">http://schemas.xmlsoap.org/ws/2005/02/trust/</a> , OpenNetwork, Layer7, Netegrity, Microsoft, Reactivity, VeriSign, IBM, BEA Systems, Oblix, RSA Security, Ping Identity, Westbridge, Computer Associates, February 2005
164		
165		
166		
167		

---

## 2 Using WS-Coordination

168

169 This section describes the Business Activity usage of WS-Coordination protocols.

### 2.1 Coordination Context

170

171 Business Activity builds on WS-Coordination, which defines an Activation service and a Registration  
172 service. Example message flows and a complete description of creating and registering for coordinated  
173 activities is found in the WS-Coordination specification [WSCOOR].

174 The Business Activity coordination context MUST flow on all application messages involved with the  
175 transaction.

176 Business Activity adds the following semantics to the CreateCoordinationContext operation on the  
177 Activation service:

- 178 • If the request includes the CurrentContext element, the target coordinator is interposed as a  
179 subordinate to the coordinator stipulated inside the CurrentContext element.
- 180 • If the request does not include a CurrentContext element, the target coordinator creates a new  
181 transaction and acts as the root.

182 A coordination context MAY have an Expires element. This element specifies the period, measured from  
183 the point in time at which the context was first created or received, after which a business activity MAY be  
184 terminated solely due to its length of operation. From that point forward, the coordinator MAY elect to  
185 unilaterally cancel or compensate the activity, as appropriate, so long as it has not made a close decision.  
186 Similarly, a participant MAY elect to exit the activity so long as it has not already decided to complete.

187 A business activity uses the WS-Coordination CoordinationContext with the CoordinationType set to one  
188 of the following URIs:

189 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/AtomicOutcome>  
190 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/MixedOutcome>

191

192 A CoordinationContext MAY have additional elements for extensibility.

193 Due to the extensibility of WS-Coordination it is also possible to define a coordination protocol type that,  
194 in addition to specifying the agreement protocol between a coordinator and a participant, also specifies  
195 the behavior of the coordination logic. For example, it may specify that the coordinator will act in an all-or-  
196 nothing manner to determine its outcome based on the outcomes communicated by its participants, or  
197 that it will use a specific majority rule when determining its final outcome based on the outcomes of its  
198 participants.



---

## 199 3 Coordination Types and Protocols

200 Business activities support two coordination types and two protocol types. Either protocol type MAY be  
201 used with either coordination type.

202 The coordination types are atomic and mixed as identified by the following URIs:

203 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/AtomicOutcome>

204 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/MixedOutcome>

205 A coordinator for an AtomicOutcome coordination type MUST direct all participants either to close or to  
206 compensate. A coordinator for a MixedOutcome coordination type MUST direct all participants to an  
207 outcome but MAY direct each individual participant to close or compensate. All coordinators MUST  
208 implement the AtomicOutcome coordination type. Any coordinator MAY implement the MixedOutcome  
209 coordination type.

210 The Coordination protocols for business activities are summarized below with names relative to the wsba  
211 base name:

- 212 • **BusinessAgreementWithParticipantCompletion:** A participant registers for this protocol with its  
213 coordinator, so that its coordinator can manage it. A participant knows when it has completed all  
214 work for a business activity.
- 215 • **BusinessAgreementWithCoordinatorCompletion:** A participant registers for this protocol with its  
216 coordinator, so that its coordinator can manage it. A participant relies on its coordinator to tell it when  
217 it has received all requests to perform work within the business activity.

### 218 3.1 Preconditions

219 The correct operation of the protocols requires that a number of preconditions must be established prior  
220 to the processing:

- 221 1. The source SHOULD have knowledge of the destination's policies, if any, and the source  
222 SHOULD be capable of formulating messages that adhere to this policy.
- 223 2. If a secure exchange of messages is required, then the source and destination MUST have  
224 appropriate security credentials (such as transport-level security credentials or security tokens) in  
225 order to protect messages.

### 226 3.2 BusinessAgreementWithParticipantCompletion Protocol

227 The state diagram in Figure 1 illustrates the abstract behavior of the protocol between a coordinator and a  
228 participant. The agreement coordination state reflects what each participant knows of their relationship at  
229 a given point in time. As messages take time to be delivered, the views of the coordinator and a  
230 participant may temporarily differ. Omitted are details such as resending of messages or the exchange of  
231 error messages due to protocol error.

232 Participants register for this protocol using the following protocol identifier:

233 <http://docs.oasis-open.org/ws-tx/wsba/2006/06/ParticipantCompletion>

234 The coordinator accepts:

#### 235 Completed

236 Upon receipt of this notification, the coordinator knows that the participant has completed all  
237 processing related to the protocol instance. For the next protocol message the coordinator MUST  
238 send a Close or Compensate notification to indicate the final outcome of the protocol instance.  
239 After sending the Completed notification, a participant MUST NOT participate in any further work  
240 under that activity.

#### 241 Fail

242 Upon receipt of this notification, the coordinator knows that the participant has failed during the  
243 Active Canceling or Compensating states; the state of the work performed by the participant is  
244 undetermined. For the next protocol message the coordinator MUST send a Failed notification.  
245 This notification carries a QName defined in schema indicating the cause of the failure.

#### 246 **Compensated**

247 After transmitting this notification, the participant SHOULD forget about the activity. Upon receipt  
248 of this notification, the coordinator knows that the participant has successfully compensated all  
249 processing related to the protocol instance; the coordinator SHOULD forget its state about that  
250 participant.

#### 251 **Closed**

252 After transmitting this notification, the participant SHOULD forget about the activity. Upon receipt  
253 of this notification, the coordinator knows that the participant has finalized the protocol instance  
254 successfully; the coordinator SHOULD forget its state about that participant.

#### 255 **Canceled**

256 After transmitting this notification, the participant SHOULD forget about the activity. Upon receipt  
257 of this notification, the coordinator knows that the participant has successfully canceled all  
258 processing related to the protocol instance; the coordinator SHOULD forget its state about that  
259 participant.

#### 260 **Exit**

261 Upon receipt of this notification, the coordinator knows that the participant will no longer  
262 participate in the business activity, and any pending work was discarded by the participant and  
263 any work performed by the participant related to the protocol instance was successfully canceled.  
264 For the next protocol message the coordinator MUST send an Exited notification. The Exit  
265 message MAY be sent by a participant only from the Active or Completing states.

#### 266 **CannotComplete**

267 Upon receipt of this notification, the coordinator knows that the participant has determined that it  
268 cannot successfully complete all processing related to the protocol instance. Any pending work  
269 was discarded by the participant and any work performed by the participant related to the protocol  
270 instance was successfully canceled. For the next protocol message the coordinator MUST send a  
271 NotCompleted notification. After sending the CannotComplete notification, a participant MUST  
272 NOT participate in any further work under that activity. The CannotComplete message MAY be  
273 sent by a participant only from the Active state.

274 The participant accepts:

#### 275 **Close**

276 Upon receipt of this notification, the participant knows the protocol instance is to be ended  
277 successfully. For the next protocol message the participant MUST send a Closed notification to  
278 end the protocol instance.

#### 279 **Cancel**

280 Upon receipt of this notification, the participant knows that the work being done has to be  
281 canceled. For the next protocol message, the participant MUST send either a Canceled or Fail  
282 message. A Canceled message SHOULD be sent by the participant if the work is successfully  
283 canceled; this also ends the protocol instance. A Fail message SHOULD be sent by the  
284 participant if the work was not successfully canceled.

#### 285 **Compensate**

286 Upon receipt of this notification, the participant knows that the work being done should be  
287 compensated. For the next protocol message the participant MUST send a Compensated or Fail  
288 notification to end the protocol instance. A Compensated message SHOULD be sent by the  
289 participant if the work is successfully compensated; this also ends the protocol instance. A Fail  
290 message SHOULD be sent by the participant if the work was not successfully compensated.

291 **Failed**  
292 After transmitting this notification, the coordinator SHOULD forget about the participant. Upon  
293 receipt of this notification, the participant knows that the coordinator is aware of a failure and no  
294 further actions are required of the participant; the participant SHOULD forget the activity.

295 **Exited**  
296 After transmitting this notification, the coordinator SHOULD forget about the participant. Upon  
297 receipt of this notification, the participant knows that the coordinator is aware the participant will  
298 no longer participate in the activity; the participant SHOULD forget the activity.

299 **NotCompleted**  
300 After transmitting this notification, the coordinator SHOULD forget about the participant. Upon  
301 receipt of this notification, the participant knows that the coordinator is aware that the participant  
302 cannot complete all processing related to the protocol instance and that the participant will no  
303 longer participate in the activity; the participant SHOULD forget the activity.

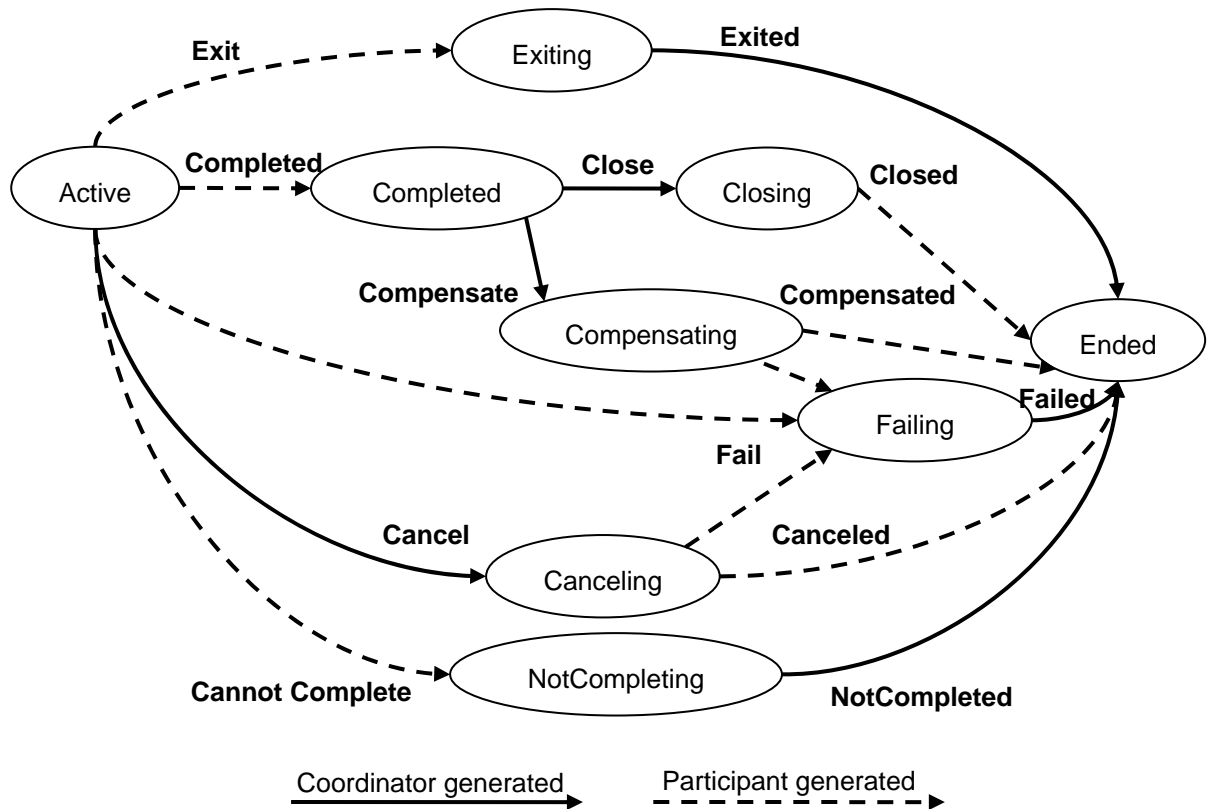
304  
305 Both the coordinator and participant accept:

306 **GetStatus**  
307 This message requests the current state of a coordinator or participant. In response the  
308 coordinator or participant returns a Status message containing a QName indicating which column  
309 of the state table [Appendix C: State Tables for the Agreement Protocols] the coordinator or  
310 participant is currently in. GetStatus never provokes a state change.

311 For example, a coordinator that is waiting for a participant to initiate the  
312 BusinessAgreementWithParticipantCompletion may use this message to confirm that the  
313 participant is in one of the expected states: wsba:Active or wsba:Completed. If the participant has  
314 forgotten the activity the Status response MUST be wsba:Ended.

315 **Status**  
316 Received in response to a getStatus request. The message includes a QName indicating the  
317 state of the Coordinator or Participant to which the request was sent. For example, if a participant  
318 is in the closing state as indicated by the state table, it would return wsba:Closing.

319



320

321

322

Figure 1: BusinessAgreementWithParticipantCompletion abstract state diagram

323

The coordinator may enter a condition in which it has sent a protocol message and it receives a protocol message from the participant that is consistent with the former state, not the current state. In this case, the coordinator MUST revert to the prior state, accept the notification from the participant, and continue the protocol from that point. If the participant detects this condition, it MUST discard the inconsistent protocol message from the coordinator.

328

A party MUST be prepared to receive duplicate notifications. If a duplicate message is received it MUST be treated as specified in the state tables described in this document.

329

330

### 3.3 BusinessAgreementWithCoordinatorCompletion Protocol

331

The BusinessAgreementWithCoordinatorCompletion protocol is the same as the BusinessAgreementWithParticipantCompletion protocol, except that a participant relies on its coordinator to tell it when it has received all requests to do work within the business activity.

334

Participants register for this protocol using the following protocol identifier:

335

<http://docs.oasis-open.org/ws-tx/wsba/2006/06/CoordinatorCompletion>

336

In addition to the notifications in Section 3.1 BusinessAgreementWithParticipantCompletion Protocol above, the Business Agreement with Coordinator Completion protocol supports the following:

337

338

The coordinator accepts:

339

#### Fail

340

Upon receipt of this notification, the coordinator knows that the participant has failed during the Active, Canceling, Completing or Compensating states; the state of the work performed by the participant is undetermined. For the next protocol message the coordinator MUST send a Failed notification. This notification carries a QName defined in schema indicating the cause of the failure.

341

342

343

344

345 **CannotComplete**

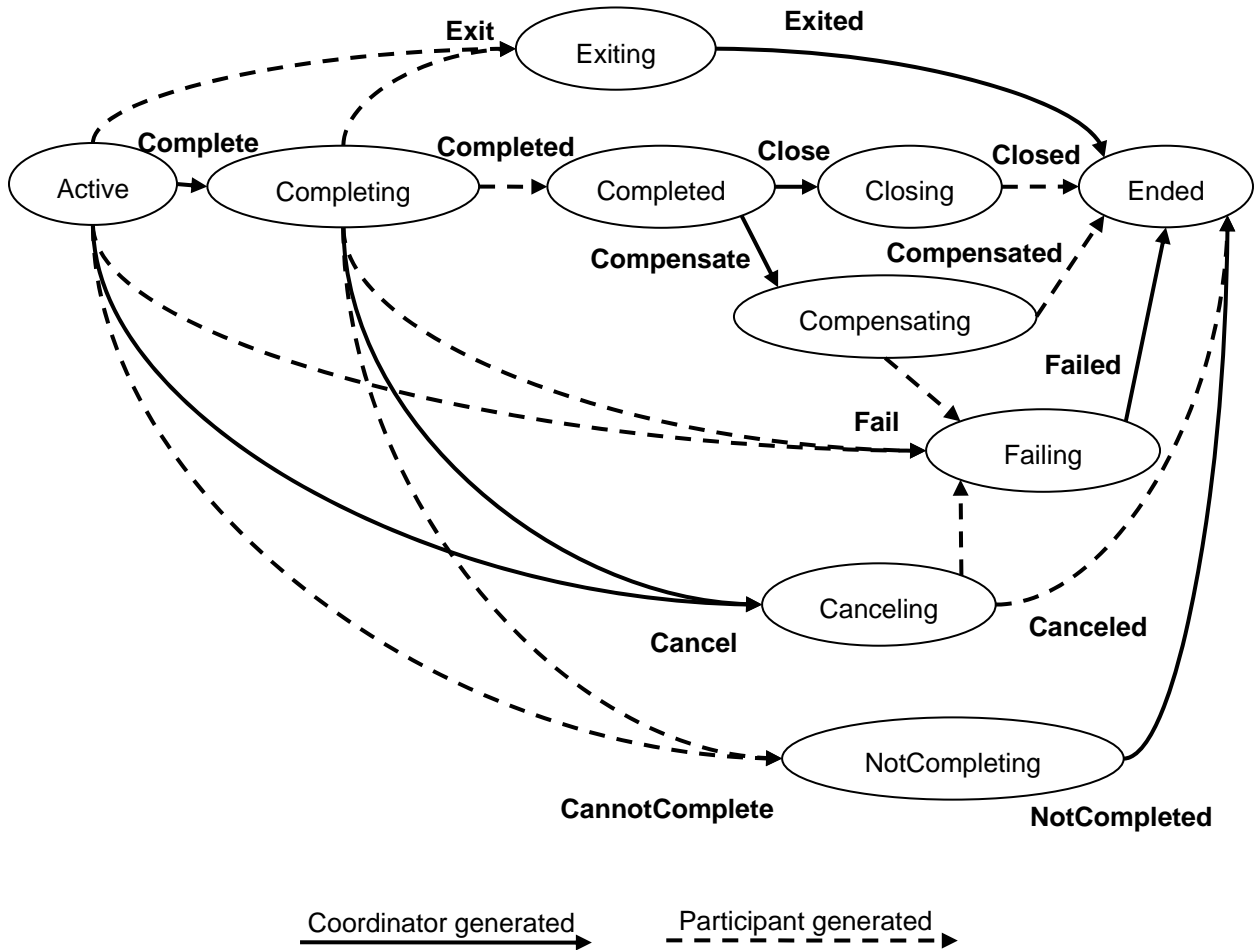
346 Upon receipt of this notification, the coordinator knows that the participant has determined that it  
 347 cannot successfully complete all processing related to the protocol instance. Any pending work  
 348 was discarded by the participant and any work performed by the participant related to the protocol  
 349 instance was successfully canceled. For the next protocol message the coordinator **MUST** send a  
 350 NotCompleted notification. After sending the CannotComplete notification, a participant **MUST**  
 351 NOT participate in any further work under that activity. The CannotComplete message **MAY** be  
 352 sent by a participant only from the Active or Completing states.

353  
 354 The participant accepts:

355 **Complete**

356 Upon receipt of this notification the participant knows that it will receive no new requests for work  
 357 within the business activity. The participant completes application processing and if successful  
 358 **MUST** transmit a Completed notification. If unsuccessful the participant **MUST** transmit an Exit,  
 359 Fail, or CannotComplete notification.

360  
 361



362  
 363  
 364

Figure 2: BusinessAgreementWithCoordinatorCompletion abstract state diagram

---

## 365 4 WS-BA Policy Assertions

366 WS-Policy Framework [WSPOLICY] and WS-Policy Attachment [WSPOLICYATTACH] collectively  
367 define a framework, model and grammar for expressing the capabilities, requirements, and general  
368 characteristics of entities in an XML Web services-based system. To enable a web service to describe  
369 business activity-related capabilities and requirements of a service and its operations, this specification  
370 defines a pair of Business Agreement policy assertions that leverage the WS-Policy framework

### 371 4.1 Assertion Models

372 The BA policy assertions are provided by a web service to qualify the business activity-related processing  
373 of messages associated with the particular operation to which the assertions are scoped. The BA policy  
374 assertions indicate:

375 whether the sender of an input message MAY or MUST include an AtomicOutcome coordination context  
376 flowed with the message. The coordination type of such a context MUST be the following:

377 `http://docs.oasis-open.org/ws-tx/wsba/2006/06/AtomicOutcome`

378 whether the sender of an input message MAY or MUST include a MixedOutcome coordination context  
379 flowed with the message. The coordination type of such a context MUST be the following:

380 `http://docs.oasis-open.org/ws-tx/wsba/2006/06/MixedOutcome`

### 381 4.2 Normative Outlines

382 The normative outlines for the BA policy assertions are:

```
383 <wsba:BAAtomicOutcomeAssertion [wsp:Optional="true"]? ... >  
384 ...  
385 </wsba:BAAtomicOutcomeAssertion>
```

386 The following describes additional, normative constraints on the outline listed above:

#### 387 **/wsba:BAAtomicOutcomeAssertion**

388 A policy assertion that specifies that the sender of an input message MUST include a  
389 coordination context for a business activity with AtomicOutcome coordination type flowed with the  
390 message. From the perspective of the requester, the target service that processes the transaction  
391 MUST behave as if it had participated in the transaction. The transaction MUST be represented  
392 as a SOAP header in CoordinationContext format, as defined in WS-Coordination [WSCOOR].

#### 393 **/wsba:BAAtomicOutcomeAssertion/@wsp:Optional="true"**

394 Per WS-Policy [WSPOLICY], this is compact notation for two policy alternatives, one with and  
395 one without the assertion.

```
396 <wsba:BAMixedOutcomeAssertion [wsp:Optional="true"]? ... >  
397 ...  
398 </wsba:BAMixedOutcomeAssertion>
```

399 The following describes additional, normative constraints on the outline listed above:

#### 400 **/wsba:BAMixedOutcomeAssertion**

401 A policy assertion that specifies that the sender of an input message MUST include a  
402 coordination context for a business activity with MixedOutcome coordination type flowed with the  
403 message. From the perspective of the requester, the target service that processes the transaction  
404 MUST behave as if it had participated in the transaction. The transaction MUST be represented  
405 as a SOAP header in CoordinationContext format, as defined in WS-Coordination [WSCOOR].

406 **/wsba: BAMixedOutcomeAssertion/@wsp:Optional="true"**  
407 Per WS-Policy [WSPOLICY], this is compact notation for two policy alternatives, one with and  
408 one without the assertion.

### 409 **4.3 Assertion Attachment**

410 Because the BA policy assertions indicate business activity-related behavior for a single operation, the  
411 assertions have Operation Policy Subject.

412 WS-PolicyAttachment [WSPOLICYATTACH] defines two [WSDL] policy attachment points with  
413 Operation Policy Subject:

- 414 • wsdl:portType/wsdl:operation – A policy expression containing a BA policy assertion MUST NOT be  
415 attached to a wsdl:portType; the BA policy assertions specify a concrete behavior whereas the  
416 wsdl:portType is an abstract construct.
- 417 • wsdl:binding/wsdl:operation – A policy expression containing a BA policy assertion SHOULD be  
418 attached to a wsdl:binding.

### 419 **4.4 Assertion Example**

420 An example use of the BA policy assertion follows:

```
421 (01) <wsdl:definitions
422 (02)     targetNamespace="hotel.example.com"
423 (03)     xmlns:tns="hotel.example.com"
424 (04)     xmlns:wSDL="http://schemas.xmlsoap.org/wSDL/"
425 (05)     xmlns:wsp="http://schemas.xmlsoap.org/ws/2004/09/policy"
426 (06)     xmlns:wsat="http://docs.oasis-open.org/ws-tx/wsba/2006/06"
427 (07)     xmlns:wssu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
428 (08)         wssecurity-utility-1.0.xsd" >
429 (09)     <wsp:Policy wsu:Id="BAAAtomicPolicy" >
430 (10)         <wsba:BAAAtomicOutcomeAssertion/>
431 (11)         <!-- omitted assertions -->
432 (12)     </wsp:Policy>
433 (13)     <!-- omitted elements -->
434 (14)     <wsdl:binding name="HotelBinding" type="tns:HotelPortType" >
435 (15)         <!-- omitted elements -->
436 (16)         <wsdl:operation name="ReserveRoom" >
437 (17)             <wsp:PolicyReference URI="#BAAAtomicPolicy"
438 (18)                 wsdl:required="true" />
439 (19)             <!-- omitted elements -->
440 (20)         </wsdl:operation>
441 (21)     </wsdl:binding>
442 (22) </wsdl:definitions>
```

443 Lines (9-12) are a policy expression that includes a BA policy assertion (Line 10) to indicate that a  
444 coordination context for a business activity with an AtomicOutcome, expressed in WS-Coordination [WS-  
445 COOR], format MUST be used.

446 Lines (14-21) are a WSDL [**WSDL**] binding. Line (17) indicates that the policy in Lines (9-12) applies to  
447 this binding, specifically indicating that a coordination context for a business activity with an  
448 AtomicOutcome MUST flow inside "ReserveRoom" messages.



449

## 5 Security Considerations

450 It is strongly RECOMMENDED that the communication between services be secured using the  
451 mechanisms described in WS-Security [WSSec]. In order to properly secure messages, the body and all  
452 relevant headers need to be included in the signature. Specifically, the <wscoor:CoordinationContext>  
453 header needs to be signed with the body and other key message headers in order to "bind" the two  
454 together.

455 In the event that a participant communicates frequently with a coordinator, it is RECOMMENDED that a  
456 security context be established using the mechanisms described in WS-Trust [WSTrust] and WS-  
457 SecureConversation [WSSecConv] allowing for potentially more efficient means of authentication.

458 It is common for communication with coordinators to exchange multiple messages. As a result, the usage  
459 profile is such that it is susceptible to key attacks. For this reason it is strongly RECOMMENDED that the  
460 keys be changed frequently. This "re-keying" can be effected a number of ways. The following list  
461 outlines four common techniques:

- 462 • Attaching a nonce to each message and using it in a derived key function with the shared secret
- 463 • Using a derived key sequence and switch "generations"
- 464 • Closing and re-establishing a security context (not possible for delegated keys)
- 465 • Exchanging new secrets between the parties (not possible for delegated keys)

466 It should be noted that the mechanisms listed above are independent of the SCT and secret returned  
467 when the coordination context is created. That is, the keys used to secure the channel may be  
468 independent of the key used to prove the right to register with the activity.

469 The security context MAY be re-established using the mechanisms described in WS-Trust [WSTrust] and  
470 WS-SecureConversation [WSSecConv]. Similarly, secrets MAY be exchanged using the mechanisms  
471 described in WS-Trust [WSTrust]. Note, however, that the current shared secret SHOULD NOT be used  
472 to encrypt the new shared secret. Derived keys, the preferred solution from this list, MAY be specified  
473 using the mechanisms described in WS-SecureConversation [WSSecConv].

474 The following list summarizes common classes of attacks that apply to this protocol and identifies the  
475 mechanism to prevent/mitigate the attacks:

- 476 • **Message alteration** – Alteration is prevented by including signatures of the message information  
477 using WS-Security [WSSec].
- 478 • **Message disclosure** – Confidentiality is preserved by encrypting sensitive data using WS-Security  
479 [WSSec].
- 480 • **Key integrity** – Key integrity is maintained by using the strongest algorithms possible (by comparing  
481 secured policies – see WS-Policy [WSPOLICY] and WS-SecurityPolicy [WSSecPolicy]).
- 482 • **Authentication** – Authentication is established using the mechanisms described in WS-Security  
483 [WSSec] and WS-Trust [WSTrust]. Each message is authenticated using the mechanisms  
484 described in WS-Security [WSSec].
- 485 • **Accountability** – Accountability is a function of the type of and string of the key and algorithms being  
486 used. In many cases, a strong symmetric key provides sufficient accountability. However, in some  
487 environments, strong PKI signatures are required.
- 488 • **Availability** – Many services are subject to a variety of availability attacks. Replay is a common  
489 attack and it is RECOMMENDED that this be addressed as described in the next bullet. Other  
490 attacks, such as network-level denial of service attacks are harder to avoid and are outside the scope  
491 of this specification. That said, care should be taken to ensure that minimal processing be performed  
492 prior to any authenticating sequences.
- 493 • **Replay** – Messages may be replayed for a variety of reasons. To detect and eliminate this attack,  
494 mechanisms should be used to identify replayed messages such as the timestamp/nonce outlined in

495 WS-Security [**WS**Sec]. Alternatively, and optionally, other technologies, such as sequencing, can  
496 also be used to prevent replay of application messages.

497

## 6 Use of WS-Addressing Headers

498 The protocols defined in WS-BusinessActivity use a "one way" message exchange pattern consisting of a  
499 sequence of notification messages between a Coordinator and a Participant. There are two types of  
500 notification messages used in these protocols:

- 501 • A notification message is a terminal message when it indicates the end of a coordinator/participant  
502 relationship. **Closed, Compensated, Canceled, Exited, Not Completed** and **Failed** are terminal  
503 messages as are the protocol faults defined in **[WSCOOR]**.
- 504 • A notification message is a non-terminal message when it does not indicate the end of a  
505 coordinator/participant relationship. **Complete, Completed, Close, Compensate, Cancel, Exit,**  
506 **CannotComplete** and **Fail** are non-terminal messages.

507 The following statements define addressing interoperability requirements for the respective WS-  
508 BusinessActivity message types:

509 Non-terminal notification messages

- 510 • MUST include a [source endpoint] property whose [address] property is not set to  
511 'http://www.w3.org/2005/08/addressing/anonymous' or 'http://www.w3.org/2005/08/addressing/none'

512 Both terminal and non-terminal notification messages

- 513 • MUST include a [reply endpoint] property whose [address] property is set to  
514 'http://www.w3.org/2005/08/addressing/none'

515 Notification messages used in WS-BusinessActivity MUST include as the [action] property an action URI  
516 that consists of the wsba namespace URI concatenated with the "/" character and the element name of  
517 the message. For example:

518 `http://docs.oasis-open.org/ws-tx/wsba/2006/06/Complete`

519 Notification messages are normally addressed according to section 3.3 of WS-Addressing by both  
520 coordinators and participants using the Endpoint References initially obtained during the Register-  
521 RegisterResponse exchange. If a [source endpoint] property is present in a notification message, it MAY  
522 be used by the recipient. Cases exist where a Coordinator or Participant has forgotten a transaction that  
523 is completed and needs to respond to a resent protocol message. In such cases, the [source endpoint]  
524 property SHOULD be used as described in section 3.3 of WS-Addressing 1.0 -- Core **[WSADDR]**.  
525 Permanent loss of connectivity between a coordinator and a participant in an in-doubt state can result in  
526 data corruption.

527 Protocol faults raised by a Coordinator or Participant during the processing of a notification message are  
528 terminal notifications and MUST be composed using the same mechanisms as other terminal notification  
529 messages.

530 All messages are delivered using connections initiated by the sender.

---

## 531 7 Glossary

### 532 **Cancel**

533 Back out of a business activity.

### 534 **Close**

535 Terminate a business activity with a favorable outcome.

### 536 **Compensate**

537 A message to a Completed participant from a coordinator to execute its compensation. This  
538 message is part of both the BusinessAgreementWithParticipantCompletion and  
539 BusinessAgreementWithCoordinatorCompletion protocols.

### 540 **Complete**

541 A message to a participant from a coordinator telling it that it has been given all of the work for  
542 that business activity. This message is part of the  
543 BusinessAgreementWithCoordinatorCompletion protocol.

### 544 **Completed**

545 A message from a participant telling a coordinator that the participant has successfully executed  
546 everything asked of it and needs to continue participating in the protocol. This message is part of  
547 both the BusinessAgreementWithParticipantCompletion and  
548 BusinessAgreementWithCoordinatorCompletion protocols.

### 549 **Exit**

550 A message from a participant telling a coordinator that the participant does not need to continue  
551 participating in the protocol. This message is part of both the  
552 BusinessAgreementWithParticipantCompletion and  
553 BusinessAgreementWithCoordinatorCompletion protocols.

### 554 **Fail**

555 A message from a participant telling a coordinator that the participant could not execute  
556 successfully.

### 557 **BusinessAgreementWithParticipantCompletion protocol**

558 A business activity coordination protocol that supports long-lived business processes and allows  
559 business logic to handle business logic exceptions. A participant in this protocol knows when it  
560 has completed with its tasks in a business activity.

### 561 **BusinessAgreementWithCoordinatorCompletion protocol**

562 A business activity coordination protocol that supports long-lived business processes and allows  
563 business logic to handle business logic exceptions. A participant in this protocol relies on its  
564 coordinator to tell it when it has received all requests to do work within a business activity.

### 565 **Scope**

566 A business activity instance. A scope integrates coordinator and application logic. A web  
567 services application can be partitioned into a hierarchy of scopes, where the application  
568 understands the relationship between the parent scope and its child scopes.

569

---

## Appendix A. Acknowledgements

570 This document is based on initial contribution to OASIS WS-TX Technical Committee by the  
571 following authors: Luis Felipe Cabrera (Microsoft), George Copeland (Microsoft), Max Feingold  
572 (Microsoft), Robert W Freund (Hitachi), Tom Freund (IBM), Sean Joyce (IONA), Johannes Klein  
573 (Microsoft), David Langworthy (Microsoft), Mark Little (JBoss Inc.), Frank Leymann (IBM), Eric Newcomer  
574 (IONA), David Orchard (BEA Systems), Ian Robinson (IBM), Tony Storey (IBM), Satish Thatte (Microsoft).

575

576 The following individuals have provided invaluable input into the initial contribution: Francisco Curbera  
577 (IBM), Doug Davis (IBM), Gert Drapers (Microsoft), Don Ferguson (IBM), Kirill Gavrylyuk (Microsoft), Dan  
578 House (IBM), Oisin Hurley (IONA), Thomas Mikalsen (IBM), Jagan Peri (Microsoft), John Shewchuk  
579 (Microsoft), Stefan Tai (IBM).

580

581 The following individuals were members of the committee during the development of this  
582 specification:

### 583 **Participants:**

584 Martin Chapman, Oracle  
585 Kevin Conner, JBoss Inc.  
586 Paul Cotton, Microsoft Corporation  
587 Doug Davis, IBM  
588 Colleen Evans, Microsoft Corporation  
589 Max Feingold, Microsoft Corporation  
590 Thomas Freund, IBM  
591 Robert Freund, Hitachi, Ltd.  
592 Peter Furniss, Choreology Ltd.  
593 Marc Goodner, Microsoft Corporation  
594 Alastair Green, Choreology Ltd.  
595 Daniel House, IBM  
596 Ram Jeyaraman, Microsoft Corporation  
597 Paul Knight, Nortel Networks Limited  
598 Mark Little, JBoss Inc.  
599 Jonathan Marsh, Microsoft Corporation  
600 Monica Martin, Sun Microsystems  
601 Joseph Fialli, Sun Microsystems  
602 Eric Newcomer, IONA Technologies  
603 Eisaku Nishiyama, Hitachi, Ltd.  
604 Alain Regnier, Ricoh Company, Ltd.  
605 Ian Robinson, IBM  
606 Tom Rutt, Fujitsu Limited  
607 Andrew Wilkinson, IBM

608

## Appendix B. Revision History

Revision	Date	Editor	Changes Made
01	11/22/2005	Tom Freund	Initial Working Draft
02	01/26/2006	Tom Freund	WS-TX: Issue #17, Specification Inconsistencies
03	03/03/2006	Tom Freund	WS-TX: Issue #7. Added resolution text WS-TX: Issue #15. Namespace & Action URI's
04	03/10/2006	Tom Freund	WS-TX: Issue #9. WS-Addressing Headers
cd-01	03/15/2006	Tom Freund	Updates to produce CD-01
05	04/xx/2006	Tom Freund	WS-TX: Action Item #31: State tables in MS-Word format WS-TX: Issue #27: Visible URL's in Reference section WS-TX: Issue #42: Swap state tables rows and columns
06	05/xx/2006	Tom Freund	WS-TX: Issue #1: Description of Status WS-TX; Issue #23: Definition of Expires WS-TX: Issue #26: Zipfile (PDF, XSD, & WSDL) WS-TX: Issue #28: Update WS-Addressing Reference WS-TX: Issue #30: One-Way Message Replies
07	06/xx/2006	Tom Freund	Accept previous changes WS-TX: Issue #45: Meaning of wsp:Optional
cd-02	06/13/2006	Tom Freund	Updates to produce CD-02
08	08/29/2006	Tom Freund	Namespace update 2006/06
09	09/14/2006	Tom Freund	WS-TX: Issue #66: Inconsistency on wsba use of fault (including wsba.wsdl & wsba.xsd) WS-TX: Issue #67: Inconsistency between schema & text (wsba.xsd) WS-TX: Issue #68: Distinguish fault conditions WS-TX: Issue #71: Remove Presumed-nothing rqmnt. WS-TX: Issue #75: Sub-Coordination undefined WS-TX: Issue #85: Protocol messages redefined WS-TX: Issue #86: Allow Fail response to Cancel msg WS-TX: Issue #87: Clarify Expires attribute WS-TX: Issue #88: Presumed-nothing contradicted WS-TX: Issue #89: Reference SOAP1.1 Addressing schema location (wsba.wsdl) Acknowledgements – Added participant list Copyright update Editorial changes

10	09/21/2006	Tom Freund	Accept all changes subsequent to CD-02
11	10/03/2006	Tom Freund	WS-TX: Issue #92: Revert to Presumed-nothing rqmnt WS-TX: Issue #94: WS-BA State Table Errata (including wsba.xsd)
cd-03	10/13/2006	Tom Freund	Updates to produce CD-03
cd-04	11/08/2006	Tom Freund	WS-TX; Issue #97: RFC 2119 Keyword updates WS-TX: Issue #98: wsdl & xsd updates WS-TX: Issue #99: Clarify wsa:Action WS-TX: Issue #102: Editorial updates WS-TX: Issue #104: Remove wsaw:Action attribute WS-TX: Issue #105: Clarify standard fault requirements

---

## 611 Appendix C. State Tables for the Agreement Protocols

612 The following state tables show state transitions that occur in the receiver when a protocol message is  
613 received or in the sender when a protocol message is sent.

614 Each table uses the following convention:



615  
616 Each state supports a number of possible events. Expected events are processed by taking the  
617 prescribed action and transitioning of the next state. Unexpected protocol messages MUST result in a  
618 fault message as defined in the state tables. These faults MUST use a standard fault code defined in  
619 [WS-COOR].

620 The following rules need to be applied when reading the state tables in this document:

- 621 • For the period of time that a protocol message is in transit the sender and recipient states will be  
622 different.

623 The sender of a protocol message transitions to the "next state" when the message is first sent.

624 The recipient of a protocol message transitions to the "next state" when the message is first received.

- 625 • As described earlier in this document, if the coordinator receives a protocol message from the  
626 participant that is consistent with the former state of the coordinator then the coordinator reverts to its  
627 prior state, accepts the notification from the participant, and continues the protocol from that point.

628 The GetStatus and Status protocol messages are not included in the tables as these never result in a  
629 change of state.



## C.1. Participant view of BusinessAgreementWithParticipantCompletion

BusinessAgreementWithParticipantCompletion protocol (Participant View)										
Inbound Events	States									
	Active	Canceling	Completed	Closing	Compensating	Failing (Active, Canceling)	Failing (Compensating)	NotCompleting	Exiting	Ended
<b>Cancel</b>	Canceling	Ignore Canceling	Resend Completed Completed	Ignore Closing	Ignore Compensating	Resend Fail Failing-*	Ignore Failing- Compensating	Resend CannotComplete NotCompleting	Resend Exit Exiting	Send Canceled Ended
<b>Close</b>	Invalid State Active	Invalid State Canceling	Closing	Ignore Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing- Compensating	Invalid State NotCompleting	Invalid State Exiting	Send Closed Ended
<b>Compensate</b>	Invalid State Active	Invalid State Canceling	Compensating	Invalid State Closing	Ignore Compensating	Invalid State Failing-*	Resend Fail Failing- Compensating	Invalid State NotCompleting	Invalid State Exiting	Send Compensated Ended
<b>Failed</b>	Invalid State Active	Invalid State Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Ended	Ended	Invalid State NotCompleting	Invalid State Exiting	Ignore Ended
<b>Exited</b>	Invalid State Active	Invalid State Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing- Compensating	Invalid State NotCompleting	Ended	Ignore Ended
<b>NotCompleted</b>	Invalid State Active	Invalid State Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing- Compensating	Ended	Invalid State Exiting	Ignore Ended

634

635

<b>BusinessAgreementWithParticipantCompletion protocol (Participant View)</b>									
<b>Outbound Events</b>	<b>States</b>								
	<b>Active</b>	<b>Canceling</b>	<b>Completed</b>	<b>Closing</b>	<b>Compensating</b>	<b>Failing (Active, Canceling, Compensating)</b>	<b>NotCompleting</b>	<b>Exiting</b>	<b>Ended</b>
<b>Exit</b>	Exiting	<i>Invalid State</i> Canceling	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> NotCompleting	Exiting	<i>Invalid State</i> Ended
<b>Completed</b>	Completed	<i>Invalid State</i> Canceling	Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Invalid State</i> Ended
<b>Fail</b>	Failing- Active	Failing- Canceling	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	Failing- Compensating	Failing-*	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Invalid State</i> Ended
<b>CannotComplete</b>	NotCompleting	<i>Invalid State</i> Canceling	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	NotCompleting	<i>Invalid State</i> Exiting	<i>Invalid State</i> Ended
<b>Canceled</b>	<i>Invalid State</i> Active	Ended	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	Ended
<b>Closed</b>	<i>Invalid State</i> Active	<i>Invalid State</i> Canceling	<i>Invalid State</i> Completed	Ended	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	Ended
<b>Compensated</b>	<i>Invalid State</i> Active	<i>Invalid State</i> Canceling	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	Ended	<i>Invalid State</i> Failing-*	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	Ended

636

637

638

## C.2. Coordinator view of BusinessAgreementWithParticipantCompletion

639

BusinessAgreementWithParticipantCompletion protocol (Coordinator View)										
Inbound Events	States									
	Active	Canceling	Completed	Closing	Compensating	Failing (Active, Canceling)	Failing (Compensating)	NotCompleting	Exiting	Ended
<b>Exit</b>	Exiting	Exiting	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> Failing-Compensating	<i>Invalid State</i> NotCompleting	<i>Ignore</i> Exiting	<i>Resend Exited</i> Ended
<b>Completed</b>	Completed	Completed	<i>Ignore</i> Completed	<i>Resend Close</i> Closing	<i>Resend Compensate</i> Compensating	<i>Invalid State</i> Failing-*	<i>Ignore</i> Failing-Compensating	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Ignore</i> Ended
<b>Fail</b>	Failing-Active	Failing-Canceling	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	Failing-Compensating	<i>Ignore</i> Failing-*	<i>Ignore</i> Failing-Compensating	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Resend Failed</i> Ended
<b>CannotComplete</b>	NotCompleting	NotCompleting	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> Failing-Compensating	<i>Ignore</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Resend NotCompleted</i> Ended
<b>Canceled</b>	<i>Invalid State</i> Active	Ended	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> Failing-Compensating	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Ignore</i> Ended
<b>Closed</b>	<i>Invalid State</i> Active	<i>Invalid State</i> Canceling	<i>Invalid State</i> Completed	Ended	<i>Invalid State</i> Compensating	<i>Invalid State</i> Failing-*	<i>Invalid State</i> Failing-Compensating	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Ignore</i> Ended
<b>Compensated</b>	<i>Invalid State</i> Active	<i>Invalid State</i> Canceling	<i>Invalid State</i> Completed	<i>Invalid State</i> Closing	Ended	<i>Invalid State</i> Failing-*	<i>Invalid State</i> Failing-Compensating	<i>Invalid State</i> NotCompleting	<i>Invalid State</i> Exiting	<i>Ignore</i> Ended

640

641

642

<b>BusinessAgreementWithParticipantCompletion protocol (Coordinator View)</b>									
<b>Outbound Events</b>	<b>States</b>								
	<b>Active</b>	<b>Canceling</b>	<b>Completed</b>	<b>Closing</b>	<b>Compensating</b>	<b>Failing (Active, Canceling, Compensating)</b>	<b>NotCompleting</b>	<b>Exiting</b>	<b>Ended</b>
<b>Cancel</b>	Canceling-Active	Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Close</b>	Invalid State Active	Invalid State Canceling	Closing	Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Compensate</b>	Invalid State Active	Invalid State Canceling	Compensating	Invalid State Closing	Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Failed</b>	Invalid State Active	Invalid State Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Ended	Invalid State NotCompleting	Invalid State Exiting	Ended
<b>Exited</b>	Invalid State Active	Invalid State Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Ended	Ended
<b>NotCompleted</b>	Invalid State Active	Invalid State Canceling	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Ended	Invalid State Exiting	Ended

643

644

### C.3. Participant view of BusinessAgreementWithCoordinatorCompletion

BusinessAgreementWithCoordinatorCompletion protocol (Participant View)											
Inbound Events	States										
	Active	Canceling	Completing	Completed	Closing	Compensating	Failing (Active, Canceling, Completing)	Failing (Compensating)	NotCompleting	Exiting	Ended
<b>Cancel</b>	Canceling	Ignore Canceling	Canceling	Resend Completed Completed	Ignore Closing	Ignore Compensating	Resend Fail Failing-*	Ignore Failing-Compensating	Resend CannotComplete NotCompleting	Resend Exit Exiting	Send Canceled Ended
<b>Complete</b>	Completing	Ignore Canceling	Ignore Completing	Resend Completed Completed	Ignore Closing	Ignore Compensating	Resend Fail Failing-*	Ignore Failing-Compensating	Resend CannotComplete NotCompleting	Resend Exit Exiting	Send Fail Ended
<b>Close</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Closing	Ignore Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Send Closed Ended
<b>Compensate</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Compensating	Invalid State Closing	Ignore Compensating	Invalid State Failing-*	Resend Fail Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Send Compensated Ended
<b>Failed</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Ended	Invalid State Ended	Invalid State NotCompleting	Invalid State Exiting	Ignore Ended
<b>Exited</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State NotCompleting	Invalid State Ended	Ignore Ended
<b>NotCompleted</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State Ended	Invalid State Exiting	Ignore Ended

648

649

BusinessAgreementWithCoordinatorCompletion protocol (Participant View)										
Outbound Events	States									
	Active	Canceling	Completing	Completed	Closing	Compensating	Failing (Active, Canceling, Completing, Compensating)	NotCompleting	Exiting	Ended
<b>Exit</b>	Exiting	Invalid State Canceling	Exiting	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Exiting	Invalid State Ended
<b>Completed</b>	Invalid State Active	Invalid State Canceling	Completed	Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Fail</b>	Failing-Active	Failing-Canceling	Failing-Completing	Invalid State Completed	Invalid State Closing	Failing-Compensating	Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>CannotComplete</b>	NotCompleting	Invalid State Canceling	NotCompleting	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Canceled</b>	Invalid State Active	Ended	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Ended
<b>Closed</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Completed	Ended	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Ended
<b>Compensated</b>	Invalid State Active	Invalid State Canceling	Invalid State Completing	Invalid State Completed	Invalid State Closing	Ended	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Ended

650

651

## C.4. Coordinator view of BusinessAgreementWithCoordinatorCompletion

BusinessAgreementWithCoordinatorCompletion protocol (Coordinator View)												
Inbound Events	States											
	Active	Canceling (Active)	Canceling (Completing)	Completing	Completed	Closing	Compensating	Failing (Active, Canceling, Completing)	Failing (Compensating)	NotCompleting	Exiting	Ended
<b>Exit</b>	Exiting	Exiting	Exiting	Exiting	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State NotCompleting	Ignore Exiting	Resend Exited Ended
<b>Completed</b>	Invalid State Active	Invalid State Canceling-Active	Completed	Completed	Ignore Completed	Resend Close Closing	Resend Compensate Compensating	Invalid State Failing-*	Ignore Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Ignore Ended
<b>Fail</b>	Failing-Active	Failing-Canceling	Failing-Canceling	Failing-Completing	Invalid State Completed	Invalid State Closing	Failing-Compensating	Ignore Failing-*	Ignore Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Resend Failed Ended
<b>CannotComplete</b>	NotCompleting	NotCompleting	NotCompleting	NotCompleting	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Ignore NotCompleting	Invalid State Exiting	Resend NotCompleted Ended
<b>Canceled</b>	Invalid State Active	Ended	Ended	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Ignore Ended
<b>Closed</b>	Invalid State Active	Invalid State Canceling-Active	Invalid State Canceling-Completing	Invalid State Completing	Invalid State Completed	Invalid State Ended	Invalid State Compensating	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Ignore Ended
<b>Compensated</b>	Invalid State Active	Invalid State Canceling-Active	Invalid State Canceling-Completing	Invalid State Completing	Invalid State Completed	Invalid State Closing	Ended	Invalid State Failing-*	Invalid State Failing-Compensating	Invalid State NotCompleting	Invalid State Exiting	Ignore Ended

656

657

BusinessAgreementWithCoordinatorCompletion protocol (Coordinator View)										
Outbound Events	States									
	Active	Canceling (Active, Completing)	Completing	Completed	Closing	Compensating	Failing (Active, Canceling, Completing, Compensating)	NotCompleting	Exiting	Ended
<b>Cancel</b>	Canceling- Active	Canceling-*	Canceling- Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Complete</b>	Completing	Invalid State Canceling-*	Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Close</b>	Invalid State Active	Invalid State Canceling-*	Invalid State Completing	Invalid State Closing	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Compensate</b>	Invalid State Active	Invalid State Canceling-*	Invalid State Completing	Invalid State Compensating	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Failed</b>	Invalid State Active	Invalid State Canceling-*	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Ended	Invalid State NotCompleting	Invalid State Exiting	Invalid State Ended
<b>Exited</b>	Invalid State Active	Invalid State Canceling-*	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State NotCompleting	Invalid State Ended	Invalid State Ended
<b>NotCompleted</b>	Invalid State Active	Invalid State Canceling-*	Invalid State Completing	Invalid State Completed	Invalid State Closing	Invalid State Compensating	Invalid State Failing-*	Invalid State Ended	Invalid State Exiting	Invalid State Ended

658

659