



2

ISO/IEC JTC 1/SC 32 N **0018**

Date: 1997-11-10

CD 13238-1

ISO/IEC JTC 1/SC 32/WG 3 (N2115)

Secretariat: SCC-Canada

**Information Technology — Data Management Export/Import — Part 1:  
Standardization Framework**

*Technologies de l'information — Échange (export/import) de données — Partie 1: Cadre pour la normalisation*

Document type: International Standard  
Document subtype: Not applicable  
Document stage: (30) Committee  
Document language: E

## Contents

1	Scope.....	1
1.1	Field of application .....	1
1.2	Audience and purpose.....	1
1.3	Related documents .....	2
1.4	Structure of this international standard.....	2
2	Conformance.....	2
3	Normative reference(s) .....	2
4	Term(s) and definition(s) .....	2
4.1	From Other Standards .....	3
4.1.1	ISO/IEC 9075.....	3
4.1.2	ISO/IEC 8824-1.....	3
4.1.3	ISO/IEC 9075.....	3
4.1.4	ISO/IEC 10027.....	3
4.1.5	ISO/IEC 15475-1.....	3
4.2	For this standard.....	4
5	Symbols (and abbreviated terms) .....	5
5.1	Diagramming notations .....	5
5.2	Abbreviations.....	5
6	Concept and Facilities .....	6
6.1	Data Communication/Interchange in a Client/Server Environment .....	6
6.1.1	Communication mechanisms.....	6
6.1.2	Communication Model.....	6
6.1.3	Interchange Model .....	7
6.1.4	Components of complete data interchange.....	8
6.2	Export/ Import Architecture .....	8
6.2.1	Overall Architecture.....	8

1	<b>6.2.2</b>	<b>Response Mechanisms</b> .....	<b>9</b>
2	<b>6.2.3</b>	<b>Human-readable X/I transfer file</b> .....	<b>9</b>
3	<b>6.2.4</b>	<b>Transfer of Data Schema</b> .....	<b>9</b>
4	<b>6.3</b>	<b>Processes Associated with Data Management Export/Import</b> .....	<b>10</b>
5	<b>6.3.1</b>	<b>Identification of the nature of the service request</b> .....	<b>10</b>
6	<b>6.3.2</b>	<b>Selection of data to be exported</b> .....	<b>10</b>
7	<b>6.3.3</b>	<b>Extraction of the selected data to the export file</b> .....	<b>10</b>
8	<b>6.3.4</b>	<b>Export of the schema along with the data.</b> .....	<b>10</b>
9	<b>6.3.5</b>	<b>Transfer of the file to the Importing System</b> .....	<b>10</b>
10	<b>6.3.6</b>	<b>Identification of the nature of the service request</b> .....	<b>11</b>
11	<b>6.3.7</b>	<b>Import of schema information</b> .....	<b>11</b>
12	<b>6.3.8</b>	<b>Import of data to the importing Data Management System</b> .....	<b>11</b>
13	<b>6.4</b>	<b>Scope of Data Management Export/Import Standards</b> .....	<b>11</b>
14	<b>7</b>	<b>Standardized Components of a DM Export/Import Environment</b> .....	<b>12</b>
15	<b>7.1</b>	<b>Standardization Approach</b> .....	<b>12</b>
16	<b>7.1.1</b>	<b>Applicability to all level pairs</b> .....	<b>12</b>
17	<b>7.1.2</b>	<b>Applicability to all modeling facilities</b> .....	<b>12</b>
18	<b>7.1.3</b>	<b>Applicability to all applications</b> .....	<b>12</b>
19	<b>7.1.4</b>	<b>Modularity and Partitioning</b> .....	<b>12</b>
20	<b>7.1.5</b>	<b>Leveling of complexity</b> .....	<b>13</b>
21	<b>7.1.6</b>	<b>Profiling and Conformance</b> .....	<b>13</b>
22	<b>7.1.7</b>	<b>Integration with the environment</b> .....	<b>13</b>
23	<b>7.2</b>	<b>Architecture of the EI standards</b> .....	<b>13</b>
24	<b>7.3</b>	<b>Interface and Communication Standards</b> .....	<b>15</b>
25	<b>7.3.1</b>	<b>The Interchange Modeling Facility Definition</b> .....	<b>15</b>
26	<b>7.3.2</b>	<b>The E/I Transfer File</b> .....	<b>15</b>
27	<b>7.3.3</b>	<b>Transfer header</b> .....	<b>18</b>
28	<b>7.3.4</b>	<b>Transfer component</b> .....	<b>19</b>
29	<b>7.3.5</b>	<b>Transfer component header</b> .....	<b>19</b>

7.3.6	Transfer Data Text.....	20
7.3.7	Transfer Data Tables.....	20
7.3.8	Transfer Table Header .....	20
7.3.9	Transfer Table Columns .....	21
7.3.10	Transfer Data Table Rows .....	23
7.3.11	Transfer table row header.....	23
7.3.12	Transfer table row data.....	23
7.4	Service and Process Standards .....	23
7.4.1	Export Services.....	24
7.4.2	Import Services .....	25
7.4.3	Convert Services.....	28
7.5	Semantic and Content Standards .....	28
8	Export/Import Standards .....	28
8.1	Existing parts of this standard .....	28
8.1.1	SQL Export/Import (13238 Part-2) .....	28
8.1.2	IRDS Export/Import (13238 Part 3) .....	28
8.2	Planned future parts .....	28
8.3	Other Standards.....	28
8.3.1	CDIF Transfer Format (15476-Part 1,2,3).....	28
9	Notes and Tables .....	28
Annex A (normative) Rationale and Requirements .....		30

## 1 Foreword

2 *Boilerplate text for JTC 1 standards:*

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

9 International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

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

## 13 Editor's Foreword to the working draft

14 *N01- Editor's note This foreword will be removed in the final document* ||

15 This document reuses and adapts some text originally published under the title:

16 Data Management Export/Import : Generic  
17 (ISO/IEC JTC1/WG3 N807)

18 This document is based on WG3 N1537, a Canadian National Body contribution to the WG3 Yokohama meeting  
19 (93.06.15). It has been revised as per the UK contribution to the WG3 EI meeting in Southampton (94.07.15), and  
20 editorially revised to follow ITTF conventions.

21 This document has been sent out for review and comment as per recommendation xx of the WG3 Ottawa Plenary  
22 (95.07.17).

## 23 Editor's Foreword to this committee draft

24 *N02- Editor's note This foreword will be removed in the final document* ||

25 This document incorporates the changes recommended (KAN-07) as a result of the circulation of the working draft.  
26 It also reflects changes resulting from the impact of the progression of the two other parts (SQL and IRDS)

27 Jean Bérubé                      jberube@ibm.net

## Introduction

*N03- Editor's note This will be replaced at the DIS stage by the ITTF approved text*

In this standard *export/import* is understood in the broad sense as concerning

- the transfer data from one Data Management System (DMS) to another **without** establishing an association between the two data management systems for the duration of the transfer
- the sharing of a clear understanding between the exporting system and the importing system of the structure and the meaning of the data to be transferred

The Standardization Framework deals with the generic aspects of data and metadata interchange. It represents the view of the interchange of data that is required for standards management purposes.

The content of this standard has been developed over a number of years in JTC1/SC21, the international committee responsible for <...> standardization. The Framework described in this international standard is one of several ways of viewing the subject matter; other ways are possible. The publication of this part of ISO 13238 is intended to facilitate trial use and feedback, to enable the Framework to be refined as Data Management standardization itself evolves.

# Information Technology — Data Management Export/Import — Part 1: Standardization Framework

## 1 Scope

### 1.1 Field of application

Export and import of bulk data are essential activities wherever bulk data is shared between information systems, within or between real systems. Whether and to what extent a uniform and standardized approach can be used in export/import has become an important issue in the broader context of open systems and information technology standardization.

The basic concept of export/import does not depend on the application, the type of bulk data to be exported/imported, or the medium used for transfer. Furthermore, export and import do not imply any predetermined relationship between the exporting and importing systems but assume that semantic integrity of the data is fully preserved in the process.

Aspects to be examined include:

- a) Export/Import as a generic concept applicable to a variety of data management environments and data transfer contexts.
- b) Aspects of export/import (e.g., Services, file formats, application specific aspects, etc.). Identification of aspects amenable to standardization.
- c) Existing standards that might be relevant to export/import and why.
- d) Whether new standards of some kind or other are needed, and if so how to go about defining them and getting them accepted.

### 1.2 Audience and purpose

This framework is written for standards makers in the data management domain and in domains that interface with or overlap with data management. The audience will be primarily ISO and IEC committees, but national bodies, professional bodies, trade associations and others involved in standards making may find value in the framework.

This international standard introduces an overall framework of Export/Import as a generic concept applicable to a variety of data management environments and data transfer contexts. It also contains a clear and concise statement of requirements and issues.

This international standard deals with the identification of aspects amenable to standardization (e.g., services, file formats, application specific aspects, etc.), and with the question whether new standards of some kind or other are needed.

The need for some kind of framework for standardization (often called a reference model) to provide an overview of the available and required standards in a particular domain has long been recognised within ISO and IEC. Such frameworks have proved to be useful tools when partitioning the work to be done into projects and also in developing a suitable administrative structure in terms of working groups and rapporteur groups.

### 1.3 Related documents

Standards committees working within, interfacing with or overlapping with this aspect of data management domain include the following (the list is not exhaustive):

#### ISO/IEC JTC1

SC14	Data Element Principles
SC18	Document Processing and Related Communication
SC21	Information Retrieval, Transfer and Management for OSI
SC7	Software Engineering

#### ISO

TC184	Industrial Automation Systems and Integration
-------	---

#### Associations and Industry Consortia

EIA	CDIF
ECMA TC33	PCTE
OMG	OOAD, MOF

### 1.4 Structure of this international standard

Clauses 0 to 4 are standard ISO/IEC clauses. Clause 5 outlines....

Reference material has been confined to the annexes of this international standard. Annex A contains ....

## 2 Conformance

There is no conformance clause in this international standard.

## 3 Normative reference(s)

There are no normative references in this international standard.

## 4 Term(s) and definition(s)

For the purposes of this international standard, the following definitions apply. Unless otherwise noted, the definitions are specific to this international standard.

## 1 **4.1 From Other Standards**

### 2 **4.1.1 ISO/IEC 9075**

3 This part of ISO/IEC 13238 makes use of the following terms defined in ISO/IEC 9075:

### 4 **4.1.2 ISO/IEC 8824-1**

5 This part of ISO/IEC 13238 makes use of the following terms defined in ISO/IEC 8824-1:

6 **encoding;**  
7 **type;**  
8 **value.**

### 9 **4.1.3 ISO/IEC 9075**

10 This part of ISO/IEC 13238 makes use of the following terms used extensively in ISO/IEC 9075 but not included in  
11 the list of formal definitions in that International Standard.

12 Note: ISO/IEC 9075 uses angle brackets to indicate that a term is used in the standard with a special meaning. A term in  
13 angle brackets is a BNF non-terminal (node) defined in ISO/IEC 9075:1992; the BNF itself is defined in clause 3.2 of that  
14 standard. The same angle bracket convention is used in this part of ISO/IEC 13238.

#### 15 **4.1.3.1**

##### 16 **Table**

17 A multi-set of rows. A table is either a base table, a viewed table or a derived table. A base table is either a  
18 persistent table, a global temporary table, a created local temporary table or a declared local temporary table. (see  
19 ISO/IEC 9075, clause 4.9)

#### 20 **4.1.3.2**

##### 21 **Column**

22 A multi-set of values that may vary over time. All values of the same column are of the same data type or domain  
23 and are values in the same table. (see ISO/IEC 9075, clause 4.8)

### 24 **4.1.4 ISO/IEC 10027**

25 This part of ISO/IEC 13238 makes use of the following terms from ISO/IEC 10027 IRDS Framework

#### 26 **Application level**

##### 27 **IRD level**

### 28 **4.1.5 ISO/IEC 15475-1**

29 This part of ISO/IEC 13238 makes use of the following terms (without the CDIF prefix) from ISO/IEC 15475-1 CDIF  
30 General Rules for Transfer and Encoding:

#### 31 **4.1.5.1**

##### 32 **Character Set**

33 A character set is a collection of characters used in an Encoding to represent terminal symbols. The character set  
34 used is significant in the encoding of text and string meta-attributes for a CDIF Transfer.

#### 35 **4.1.5.2**

##### 36 **Clear Text**

37 A form of encoding where the resulting physical file is human-readable.

### 4.1.5.3

#### **Encoding**

An encoding defines how the elements of a syntax are physically represented using an identified character set. Details of representation of the various terminal symbols and data types in the syntax's grammar are provided.

### 4.1.5.4

#### **Syntax**

A syntax is a definition of the format of information in a CDIF transfer. The definition is in the form of a grammar. It is specified with regard to ordering and repetition, down to the level of terminals, but does not specify the representation of any of the terminal objects in the grammar. Those decisions are defined in the encoding of the syntax.

## 4.2 For this standard

For the purpose of this part of ISO/IEC 13238 the following definitions apply:

### 4.2.1

#### **Transfer file**

A file containing data to be interchanged. It is made up of a header, and a number of components. Components contains either data, or data definition data.

### 4.2.2

#### **DMEI Transfer file**

A transfer file conforming to IS 13238

### 4.2.3

#### **CDIF Transfer file**

A transfer file conforming to IS 15475

### 4.2.4

#### **DMEI/SQL transfer file**

A file containing data which defines and describes the content of an SQL database, or a subset of such database. It is made of a header, and at least one of two components: transfer file SQL-schema definition and transfer file SQL-data .

### 4.2.5

#### **DMEI/IRDS transfer file**

A file containing data which defines and describes the content of an IRD or a subset of an IRD. It is made up of a header, and at least one of multiple components. There are two types of components: transfer file IRD definition component, and transfer file IRD content component.

### 4.2.6

#### **DMEI Transfer file header**

The first part of a transfer file. The header contains data that uniquely defines the transfer file. It also contains details about the source of the transfer file (the exporter) and source-defined parameters.

### 4.2.7

#### **Export process**

The process of generating a transfer file from a source environment.

### 4.2.8

#### **exporter**

The agent of the export process.

**4.2.9****import process**

The process of incorporating the content of a transfer file into a target environment.

**4.2.10****importer**

The agent of the import process.

**4.2.11****clear text file encoding**

A class of techniques for representing data based on first defining a human readable representation using some specific character repertoire and then defining an encoding for that repertoire.

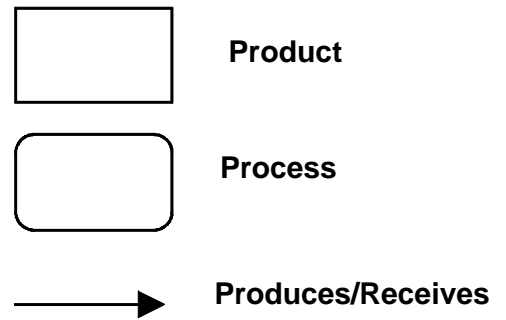
**5 Symbols (and abbreviated terms)****5.1 Diagramming notations**

A system model is used to identify and position the main E/I functions or processes, with the associated input and output products or interfaces. The modeling is done at an implementation-independent level.

Processes (functions, procedures, activities, tasks) are shown as boxes with rounded corners.

Square-cornered boxes are used for products (data).

Circles, ellipses and other shapes are used for anything that is not data or a process.



**Figure 1 — System Modeling Notation**

- 1) Two products or two processes cannot be associated by the produces/receives association.
- 2) When introducing boundaries, thereby creating aggregate components, all components at the boundary must be of the same type. The aggregate component is of that type.

**5.2 Abbreviations**

The following abbreviations are used in this international standard:

API Application Programming Interface

DBMS Database Management System

DMS Data Management System

E/I Export/Import

RDA Remote Database Access

RPC Remote Procedure Call

## 6 Concept and Facilities

The purpose of an Export/Import facility is to transfer data and/or data definitions from one Data Management System to another *without*:

- 1 direct communication between the two systems;
- 2 establishing an association between the two DMSs for the duration of the transfer.

Although most of the discussion is done using the notion of transfer of data through space, the same concepts apply to transfer of data through time. That is exporting data from a system, and importing the same data to the same system later. Backup and recovery are a manifestation of that type of export/import.

Data transfer in which such an association *is* established is considered a function of Remote Database Access, and/or other communication standards, rather than Export/Import, and is therefore not addressed by this framework.

This Export/Import framework defines generic facilities that may be used by any system based on the Reference Model of Data Management.

This framework describes a common approach to E/I, and makes provisions for parts that are generic, and parts that make provisions for specialization to support the specific requirements of other standards, such as IRDS and SQL.

### 6.1 Data Communication/Interchange in a Client/Server Environment

#### 6.1.1 Communication mechanisms

There are different levels of automated connection between importer and exporter. The minimum level is where the liaison has been established by human beings, which know what to do with the Export/Import file. At the highest level, the E/I file contains requests and responses following a protocol known to both entities, and identified on the file.

There is a dependency between the level of association and the media used, for instance from shared memory to removable magnetic media.

#### 6.1.2 Communication Model

Export/import is defined as a special case of the more generic communication model illustrated below. This approach facilitates reuse of what has already been defined, for instance in RDA.

Service requests and responses are exchanged with data, in "chunks", and whether there is one or many "chunks", or whether the "chunk" is on a diskette, in memory, or travels on a network, is just a variant

Not all the four messages involved need be automated. For instance, for the most simple case of producing a file on diskette (data response), the three other messages are eye-readable, and not machine readable. They have to be interchanged by human being to complete the communication

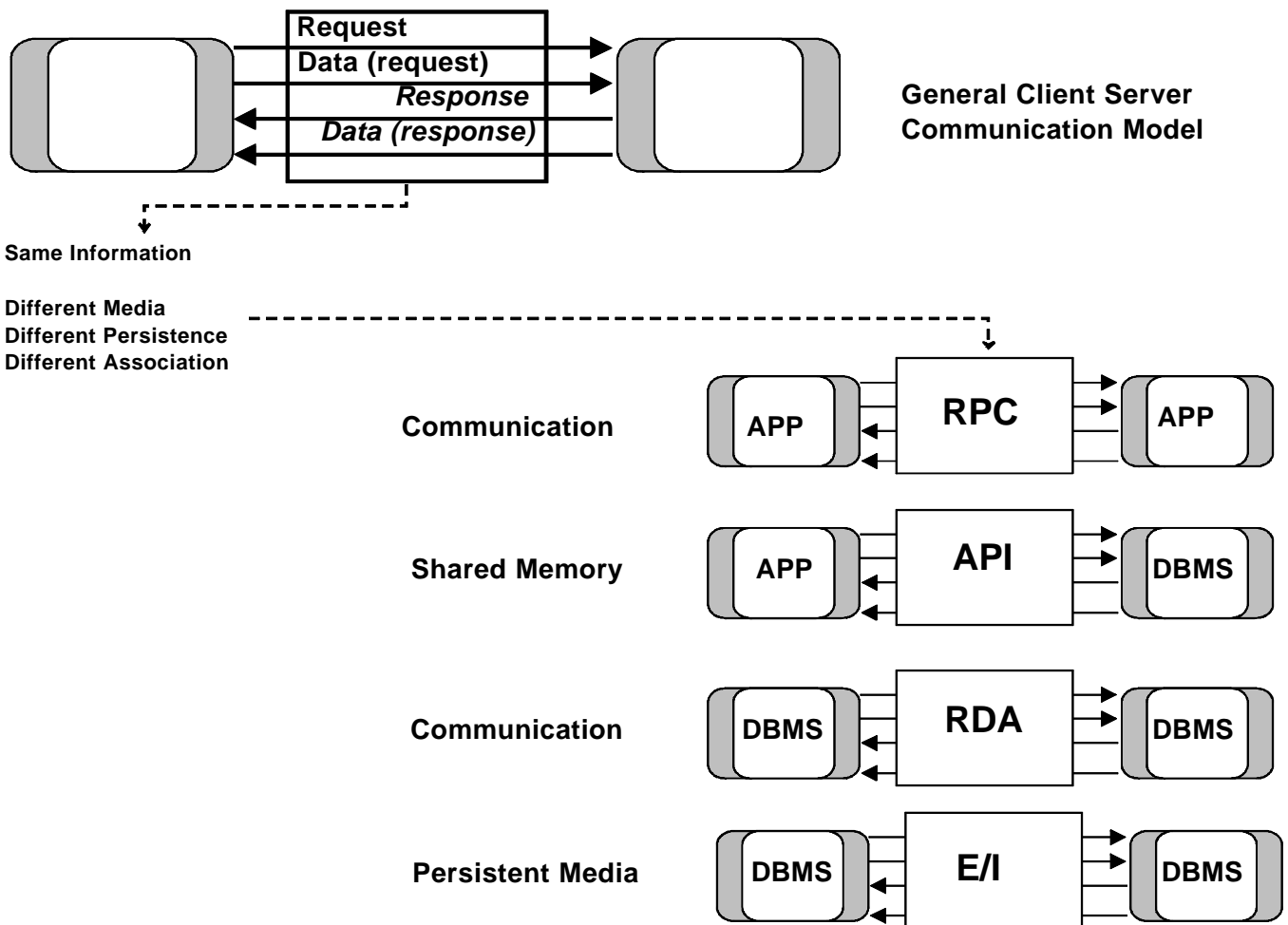


Figure 2 - Client Server Communication Model

6.1.3 Interchange Model

A common understanding between two systems does not require a common representation. It only requires that the separate representations be described in a way that is understandable by the two systems, and that is unambiguously transformable in the direction from the export representation to the import representation. If data is to be transferred in both directions, then the transformation must be unambiguous in both directions. (i.e., a one-to-one mapping must exist between the two representations).

This framework proposes a mean of establishing a common understanding through the means of an intermediate Export/Import File format. The export function will transform the data from the exporting system's format to the Export/Import File format, and the import function will transform the Export/Import File format to the importing system's format.

In order to transfer data, there must be a clear understanding between the exporting system and the importing system of the meaning of the data to be transferred.

In the context of the Reference Model for Data Management, data may be transferred at level n if, and only if, there is agreement on the definition of that data at level n+1. At some level, this agreement must be established independently of the Export/Import facility (i.e., by using the native facilities of the data management systems). However, once a common data model has been established at one level, the Export/Import facility may be used iteratively to establish such commonality at successively lower levels.

The existence of commonality at one data level does **not** imply that either higher or lower data levels also share commonality.

**6.1.4 Components of complete data interchange**

The components are:

- Data Messages (record instances, table rows, values,...)
- Definition of the Data Messages (Record types, Table column types, encoding, domain, labels, tags, ...)
- Semantic of the Data Messages (Global schema (Tables), references, rules, constraints, etc.). A conceptual schema could conceivably be exchanged, because it captures more of the semantics than the DB schema.

**6.2 Export/ Import Architecture**

**6.2.1 Overall Architecture**

The possible interactions (in the export/import domain) between two systems (the source and the target) are illustrated by the diagram below.

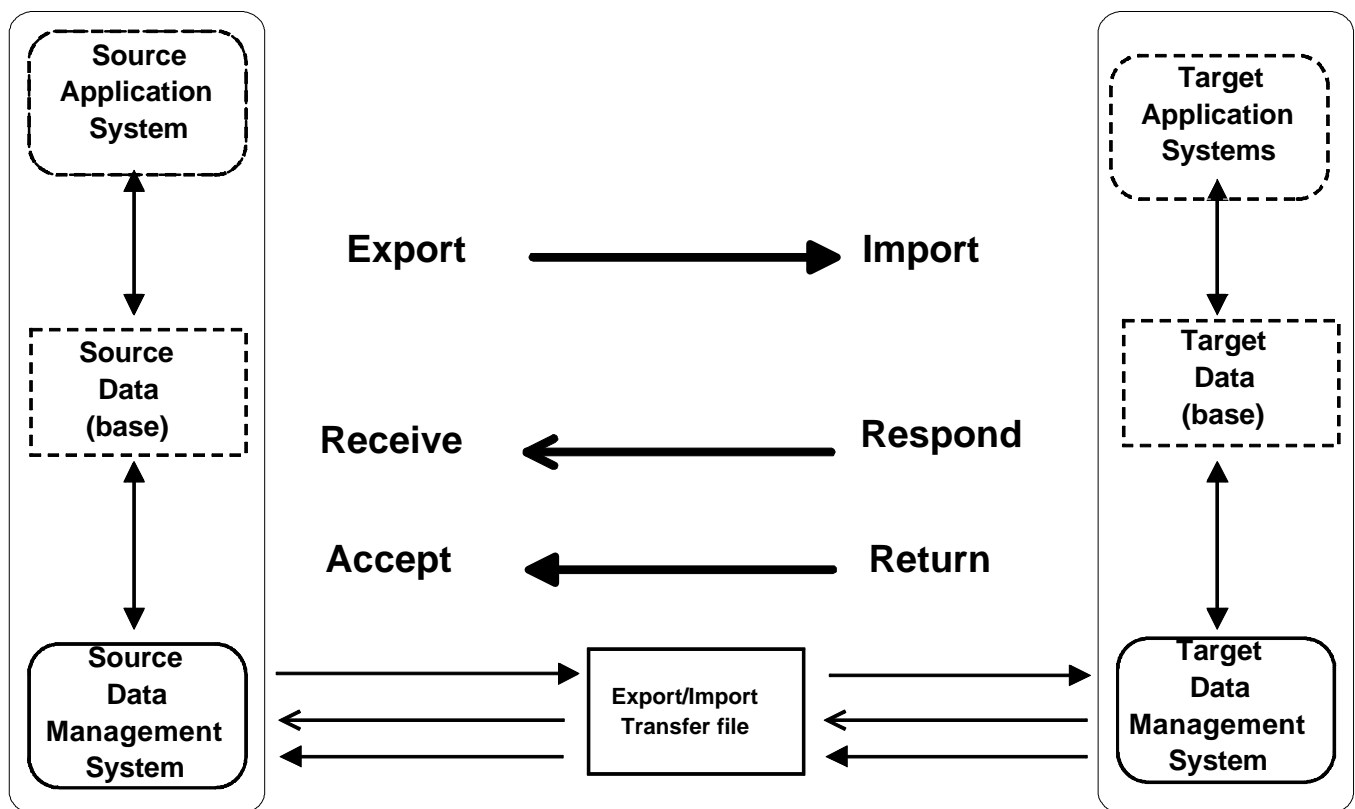
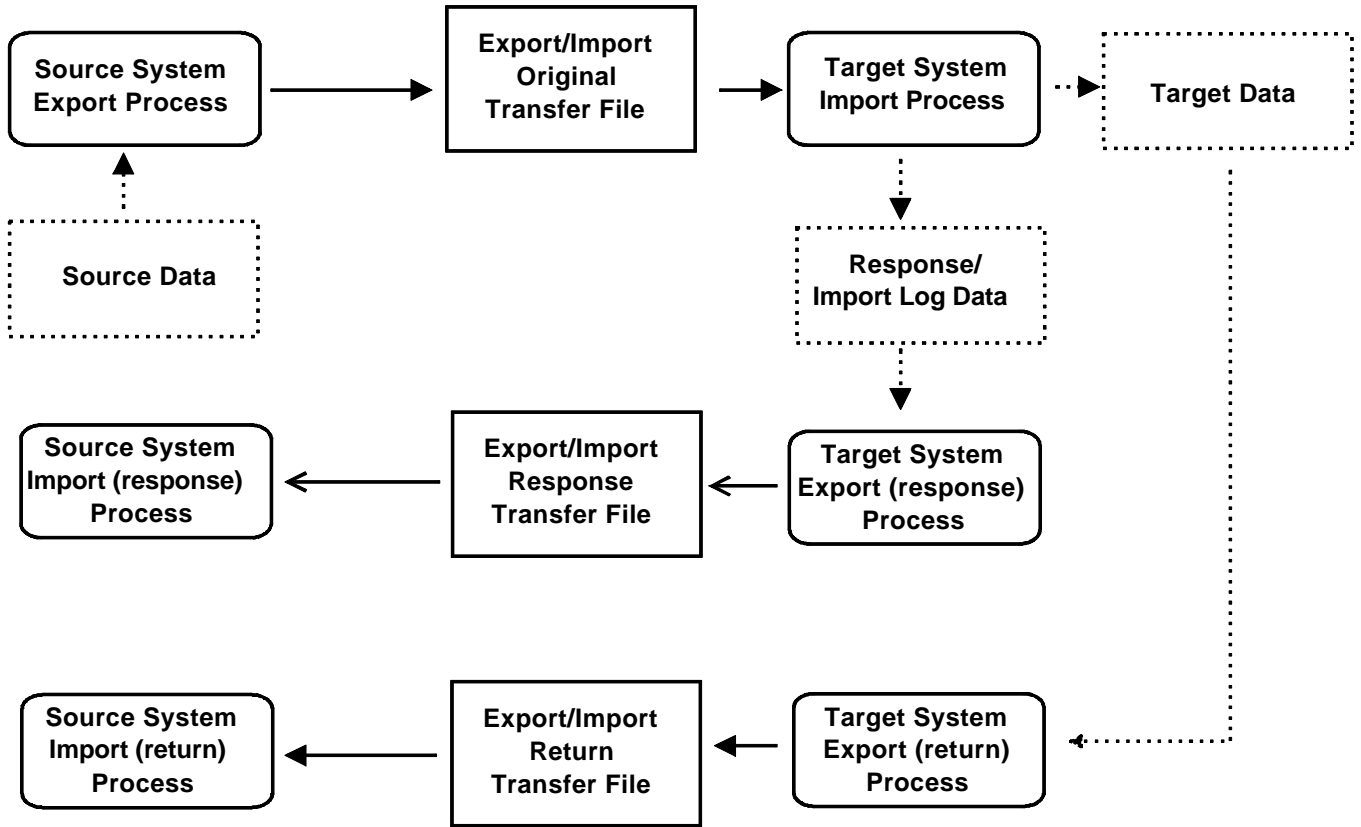


Figure 3 - Transfer-Related Operations

1 **6.2.2 Response Mechanisms**

2 As a result of accepting (importing) some data, the target system can produce a response, and send it back to the  
 3 source system. That response can be carried in a specialized transfer file. This also requires specialization of the  
 4 export process to prepare the response, and of the import process to receive the response.



5  
6 **Figure 4 - Responses**

7 The imported data can be returned to the source system at a later time. For this to be done in an orderly fashion,  
 8 control information is required. This can be carried back in a transfer file with the proper fields populated. This also  
 9 requires specialization of the export process to prepare the data to return, and of the import process to accept and  
 10 process the returned data.

11 **6.2.3 Human-readable X/I transfer file**

12 Any information required to process the X/I transfer file that is not included within the automated file has to be  
 13 communicated by the exporter to the importer human readable information.

14 **6.2.4 Transfer of Data Schema**

15 When the schema (definition) of the data need to be exported with the data, it is done using standardized tables,  
 16 such as the SQL:92 Information Schema, or the IRDS IRD Definition tables. It can therefore be manipulated using  
 17 the same mechanisms as the application data. A different component is added to the transfer file.

18 In the absence of standardized ways of transferring the full semantic of the transferred data, over and above what  
 19 is possible to convey in a database schema, such semantic has to be transferred as human readable material.

### 6.3 Processes Associated with Data Management Export/Import

The transfer of data from one Data Management System to one or more other Data Management Systems can be divided into major functions, each of which is described briefly below.

#### 6.3.1 Identification of the nature of the service request

Requesting an Export service involves recognition of different options, associated with different types of service requests.

#### 6.3.2 Selection of data to be exported

Selection of the data to be exported is viewed as preceding the export itself. It involves the types of selection criteria that must be supported, and the manner in which the selected data is to be identified to the export function.

Many possibilities can be considered, such as:

- Data without schema information

- Data with relevant schema information

- Schema information

- Schema with associated data

#### 6.3.3 Extraction of the selected data to the export file

The data identified by the previously defined selection criteria is to be extracted from the Exporting System to the Export/Import file. The data will be reformatted to the standard Export/Import file format.

This function optionally supports the following features:

- Addition of protocol information

- Addition of administration information

- Marking of the selected data as 'booked out' (AKA 'checked out'), if there is an intent to return the data later, with updates.

#### 6.3.4 Export of the schema along with the data.

Some service requests cause the schema information to be exchanged. This is a process analogous to the previous one.

#### 6.3.5 Transfer of the file to the Importing System

This step is listed for completeness only, and is outside the scope of this framework.

Transfer of the file is applicable only if the exporting and importing Data Management Systems reside on different real systems. If they reside on the same real system, then the same file could be shared.

The manner in which the file is transferred is immaterial. However, two general methods are possible:

- transferring the physical file on a removable media, or

- transmitting the data to a different physical file at the importing system.

1 In all case, the file is considered to have been logically transferred.

### 2 **6.3.6 Identification of the nature of the service request**

3 Requesting an Import service involves recognition of different options, associated with different types of service  
4 requests.

### 5 **6.3.7 Import of schema information**

6 If present, schema information needs to be processed first. This processing might be only a consistency check, or  
7 might actually involve the definition of a data base in which to load the data. It also involves the definition of the  
8 interchange definition as a view to the receiving database, if such a facility is used.

### 9 **6.3.8 Import of data to the importing Data Management System**

10 The data will be reformatted from the standard Export/Import file 1 format, into the format used by the Importing  
11 System, using the view definitions. If more conversion is required, then it is conceivable that a conversion service  
12 might be required.

13 This function optionally supports the following features:

#### 14 Trial import

15 A trial import is provided to allow the execution of the import function for validation purposes only, without  
16 committing any updates.

#### 17 Book-in facility (AKA 'Check-in').

18 If a Data Management system supports a book-out facility as part of the export function, it also supports a book-in  
19 facility as part of the import function. Data that has been previously 'booked out', is imported only when 'book in' is  
20 specified.

#### 21 Data Merging

22 The option to import data into an already populated database. Where a particular object already exists in the  
23 database, and is also on the import file, the following options are available depending on parameters specified  
24 when the import was initiated, and/or commands embedded in the import file:

25       Reject the incoming object

26       Overwrite the existing object

27       Create a new version of the object.

### 28 **6.4 Scope of Data Management Export/Import Standards**

29 The objective of export/import standards is to encourage the provision of general purpose export/import facilities.

30 An export/import facility that is developed without reference to any standard will likely be usable only in conjunction  
31 with the specific tools for which it was developed. As the number of systems to be interfaced increases, the number  
32 of interfaces will increase factorially if each pair of tools has to be interfaced directly.

33 The number of interfaces between  $n$  products is given by:  $n(n-1)/2$ .

With the provision of a standard interface format, each new tool need provide only one interface, to that standard format, to be able to interface to all other tools that have interfaces to the same standard format. Thus, the number of interfaces required in this case will be equal to n.

However, it is still necessary that the export and import systems have compatible data models for data to be transferable.

This standard defines the format of a generic Export/Import file, and the functions that must be supported in conjunction with the export or import of such a file. Specialization of this standard will define specific formats of the Export/Import data file for particular data modeling facilities. e.g., IRDS and SQL.

## **7 Standardized Components of a DM Export/Import Environment.**

### **7.1 Standardization Approach**

The approach to standardization in this area can be summarized in the following set of general rules.

#### **7.1.1 Applicability to all level pairs**

Data base schemas are just one kind of data. They should be exchanged using the same formats and mechanisms as data ( as schema table definitions, for instance).

#### **7.1.2 Applicability to all modeling facilities**

The file format has to be considered an external presentation format. It is analogous to a screen layout, where data elements are arranged as fields, but may be structured in a different way that they are for storage.

As such, an Export/Import facility is a Data Modeling Facility, with a set of data structuring rules, and a set of operations.

The data structuring rules, or the export/import format should be completely neutral, and enable isolating the exporter from the importer.

The best candidate for those data structuring rules is a subset of the relational model as implemented in SQL. Organizing data in tables, with columns, and making associations between tables explicit as table references (Fkey) should be robust enough to transfer any data.

The description of the structure of the export/import file is not a database schema, it is the transfer schema for that file. If database schemas need be exchanged, or conceptual schemas, these are just different applications of the export/import facility.

#### **7.1.3 Applicability to all applications**

There is something common to the export/import of data, independent of what the data describes. This is why the core of export import is a data management facility, and the export/import format and basic services should be independent of the applications (including IRDS).

A definition of the E/I file should be independent of the services that created the file. That is the same file definition method should be useful, whether the file contains SQL data, IRDS data, or application specific data.

#### **7.1.4 Modularity and Partitioning**

The first partitioning required is to separate Export, Import, and the interchange format, as three distinct sets of standards.

1 However the set of operations to create an export file, or receive one, could conceivably be specialized by  
2 applications, over and above basic data management services. For instance, an IRDS export service could ask for  
3 the identification of an IRD object, and use that to select all the relevant tables from the IRDS. Similarly, on the  
4 import side, the services offered could use IRDS specific facilities such as version control.

### 5 **7.1.5 Leveling of complexity**

6 Inside the three sets of standards, there should be different standardized level of sophistication, so that compliance  
7 to a simple standard, to answer simple requirements, is possible.

8 Furthermore there should be a form of downward compatibility, such that even if a file was created using a  
9 sophisticated export and file format, embedding commands, and administration information, the same file can be  
10 used as input for a simple import, who could ignore the information that is not needed.

### 11 **7.1.6 Profiling and Conformance**

12 Not all components of an export/import need be standardized, nor should an Export/Import facility forced to comply  
13 with all possible standards. Specific implementation could conform to various profiles. It should be possible to  
14 read/write a standard export/import file by a non standard application with that application not using any data  
15 management or communication facility. That is the minimum level of compliance is the export/import file format  
16 alone.

### 17 **7.1.7 Integration with the environment**

18 There is something common to all transfer of data between applications, from a bound local, from a bound local  
19 API using shared memory, to RDA, FTAM, and to a connectionless/protocol-less export import. These are just  
20 specialization of a set of basic structuring rules and operations that are applicable to any data (byte) stream

## 21 **7.2 Architecture of the EI standards**

22 The first architectural subdivision is based on the nature of the potential standards. The categories used are:

- 23 1 The transfer file format used for transfer
- 24 2 The services creating the transfer file (Exporting)
- 25 3 The services accepting the transfer file (Importing)

26 The second dimension is the level of complexity of the services, and consequently of the required transfer format.  
27 The following levels have been identified:

- 28 1 The transfer file format used does not contain action request, or check-in/check-out information
- 29 2 The exporter includes action requests in the transfer file format, and expects the importer to process them and  
30 provide a response.
- 31 3 The exporter and the importer want to keep their data synchronized through multiple transfer cycles, and  
32 therefore include and process check-in/check-out data.

33 The third dimension is based on the relative independence of the transfer tables vis-à-vis the table definition as  
34 present in the importer or the exporter system. The following levels are identified:

- 35 1 The transfer tables correspond base table or predefined views in the importing and exporting system, and the  
36 data definition of the base tables have to be shared between the two systems, in addition to the data itself. In  
37 summary, one transfer component is not self-defining.

- 2 The transfer data tables does not correspond to predefined views or base tables from the exporting system. These transfer tables may or may not correspond to predefined views or base tables in the importing system. To enable processing by the importer, the definition of the transfer table must be present within the transfer component, and the transfer component is self defining. For each table, the definition of the columns precedes the collection of rows.

The fourth dimension is based on the level of standardization of the exporting and importing applications. The impact on the EI standards is that if these applications refer to already standardized data components, then only references need to be transferred, in lieu of the detailed definitions. The following cases have been identified:

- 1 The exporter does not assume for the importer a standardized data management system nor a standardized application. In such a case, the transfer file has to be portable across applications and across data management systems.
- 2 The exporter assumes for the importer a standardized application, such as banking, library, IRDS, CDIF.
- 3 The exporter assumes for the importer a standardized data management system.
- 4 The exporter assumes for the importer both a standardized data management system and a standardized application.

The diagram below illustrates some of these architectural elements:

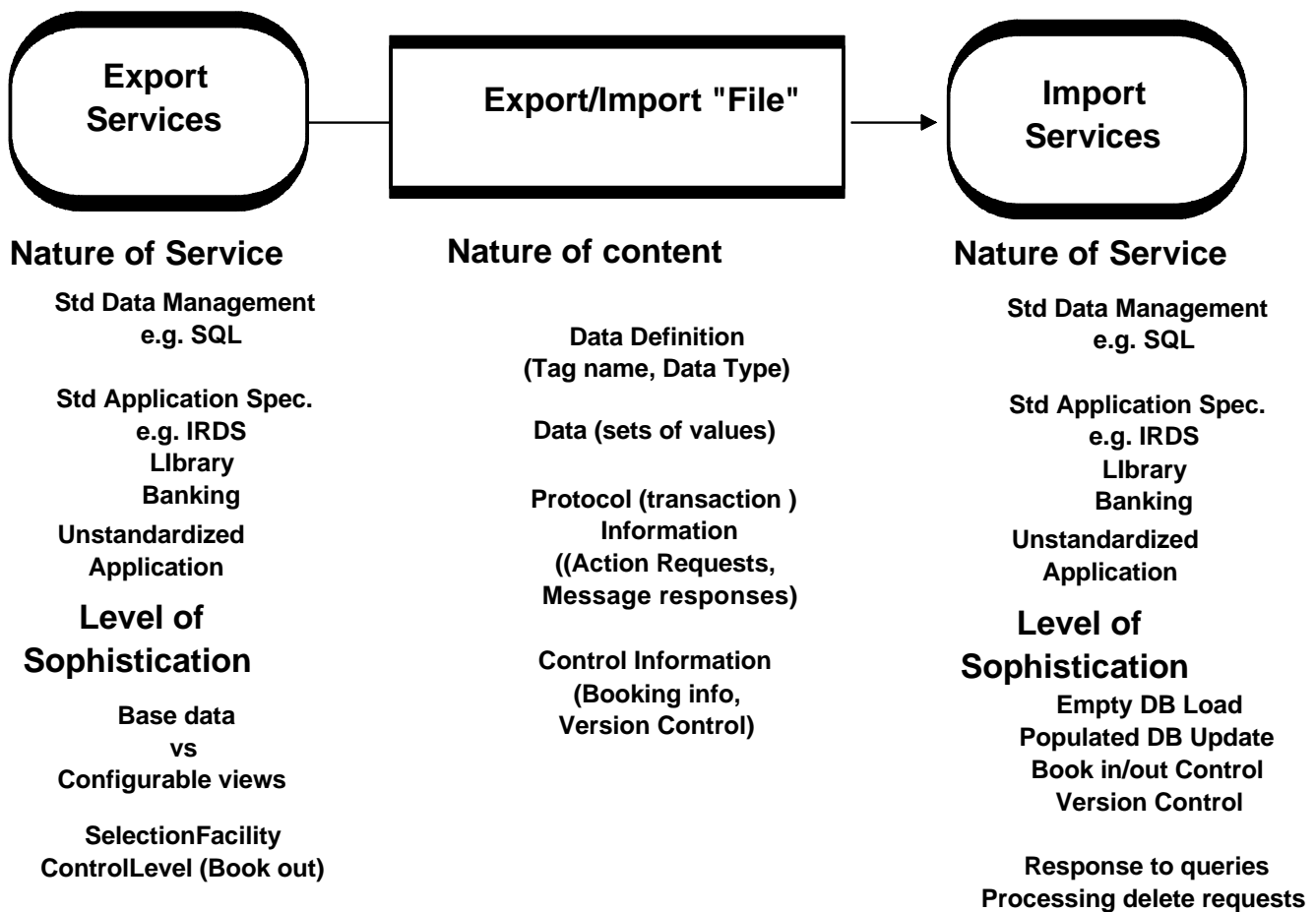


Figure 5 - Export/Import Standardization

## 7.3 Interface and Communication Standards

### 7.3.1 The Interchange Modeling Facility Definition

Data is generally exchanged in files, made of records. Record types are made of fields, and each field associated with a value in the record. For the purpose of this standard, the SQL (relational) terminology is used, both for practical and consistency reasons.

The consistency reason is that if this is done, then the interchange format can be expressed as a view over a database schema. This facilitates the positioning of the export/import standard in the family of standards required for a standardized data management environment.

The following terminology equivalence is used:

“Table” is used instead of “record type”

“Rows” is used instead of “record”

“Column” is used instead of “fields”

The practical reason is that such a format is nearly identical to what is in use, and can accommodate the data part of most modeling facilities. For instance data describing entities and relationships (as in the ER model) can be exchanged using two types of table in the transfer format.

### 7.3.2 The E/I Transfer File

Because an actual exchange can include many different "files", a structured format has to be used. The complete exchange is called a file, a file has components, components contains the transferred data. Structural information and headers are possible at each level. Note that this is a convention for the purpose of definition and specification of the transfer format. The term file should not be equated to "operating system" file.

The transfer file is the result of one transfer event, that is one request from the E/I agent to the export services. As noted earlier, this machine-readable file is always accompanied by a human-readable transfer file. The sum of both files is a complete E/I "transaction".

The overall structure of the E/I Transfer File is illustrated in the diagram on the next page.

One characteristic of this structure is property inheritance. When the same property, for instance the "data manipulation action" (insert, delete, select, update, compare), is specified at one level of the structure, it becomes the default for all contained (inside its scope) structural units (which inherits it). It can be overridden by the specification of another action code inside its scope.

For instance, if a (machine-readable) transfer file does not contain any action code, it inherits the action code of the human-readable file, that is the protocol agreed to between E/I Agents, and supplied through the E/I Agent Interface. At the other extreme, an action code specified on one row of a Transfer Data Table could override any other action code in the file.

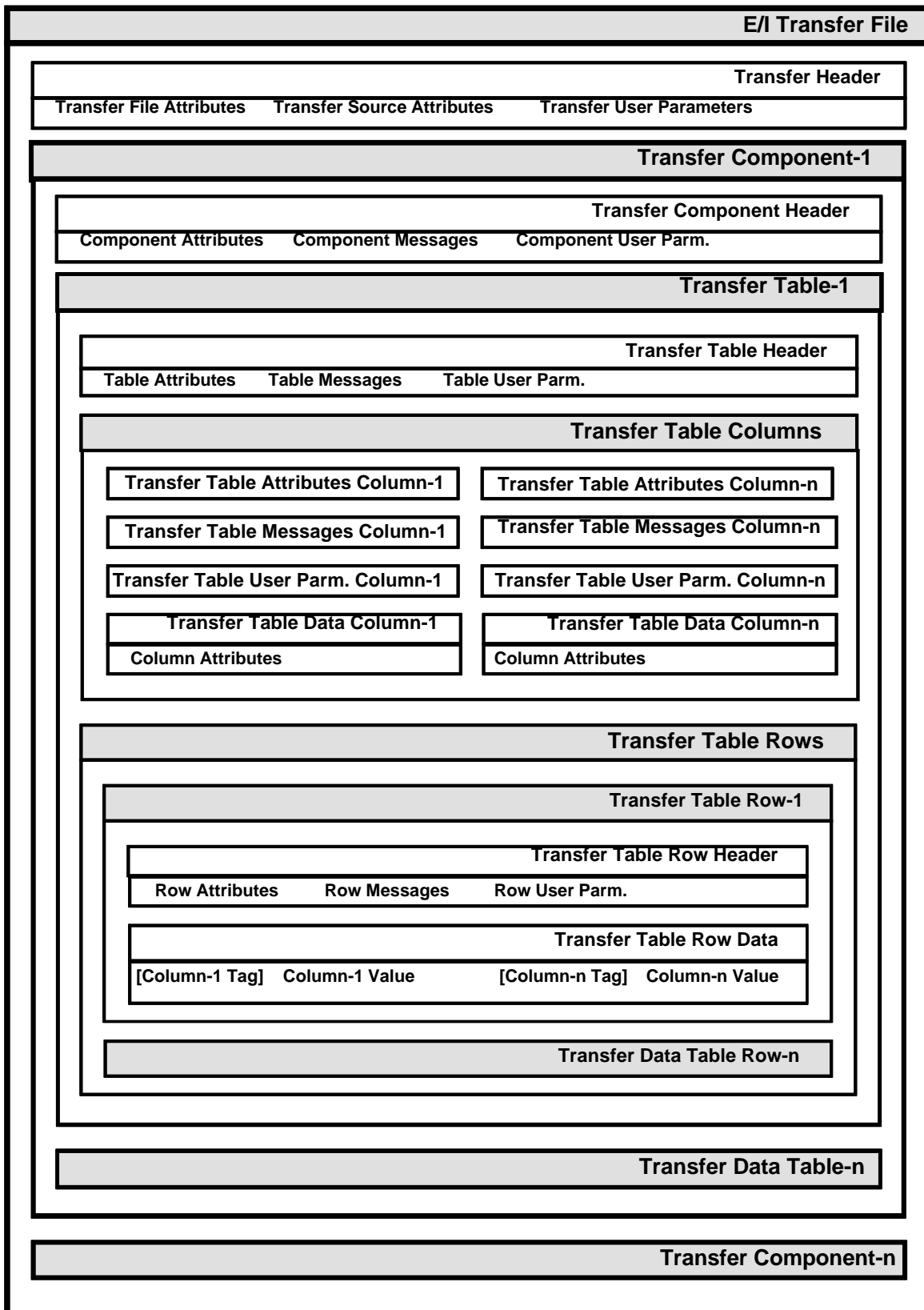


Figure 6 - Overall structure of the E/I Transfer File

1 The transfer file is structured as follows:

- 2       one transfer header
- 3             transfer file attributes
- 4             transfer source attributes
- 5             transfer user parameters
- 6       one or many transfer components.
- 7             one transfer component header
- 8                 component attributes
- 9                 component messages
- 10                component user parameters
- 11       one transfer text, or one or more transfer tables
- 12             one transfer table header
- 13                 table attributes
- 14                 table messages
- 15                 table user parameters
- 16             none, one or more column definitions
- 17                 transfer table attribute columns
- 18                 transfer table message columns
- 19                 transfer table user parameter columns
- 20       one or more table rows
- 21             one row header
- 22                 row attributes
- 23                 row messages
- 24                 row user parameters
- 25             none, one or many row columns
- 26                 none or one row column tag
- 27                 one row column value

### 7.3.3 Transfer header

The Transfer Header contains the information required to identify and process the transfer. Its content is classified in three groups of attributes:

- 1 transfer file attributes
- 2 transfer source attributes
- 3 transfer user parameters

#### 7.3.3.1 Transfer file attributes

DMEI signature:	a constant to identify the file as a standardized Data Management Export/Import transfer;
DMEI title:	a constant to identify to which part of the standard the file is conforming to;
DMEI syntax identifier:	this attribute identifies which set of structuring are used for the file (e.g. BNF, ASN.1, ...)
DMEI encoding identifier:	this attribute identifies how primary tokens of the syntax are encoded in the file (e.g. CLEAR for readable text, BINARY, ...)
DMEI codeset identifier	this attribute identifies the codeset and the codeset encoding used in the transfer file components, for instance "ISO 10646 part-1 level-1 UCS-2", or ISO 646.
file timestamp	this attribute provides the date and time that the file was created in a standardized format (as defined in ISO/IEC 8601). This is always expressed in UTC.

#### 7.3.3.2 Transfer source attributes

source name	This is used to identify the person or group responsible for the preparation of the transfer file, generally designated as the "publisher".
source system name	This is the unique identifier assigned to the source's system, such as an OSI Directory name, a DNS name, or an IP Address. Besides its documentation utility, such an attribute enables the generation of unique keys at import time, to facilitate processing and integration in the target system.
source file version	This is a version number assigned to the file by its source
source environment	This identifies the hardware/system software platform of the program used by the publisher (e.g. Intel Win95, MAC, SUN Solaris)
source program name	This is a unique identifier for the exporting tool or product
source program version	This enables the exporter program name to be qualified with a version identifier
source program vendor	This identifies the provider of the program used by the publisher

### 1 **7.3.3.3 Transfer user parameters**

2 The user parameters, are optional. The value of these, if present, is freely determined by the exporter. The  
3 selection criteria, scope of export and other values may be included as a user parameter.

### 4 **7.3.4 Transfer component**

5 The Transfer Component is the unit of transfer. It is made of a header and a content section. The header includes a  
6 set of descriptive and control attributes, and a component transfer message/response section (used also for  
7 Response). The content is either text (for instance a set of SQL statements) or one or more transfer data table  
8 sections.

9 Components can contain data, or what is identified as definition data, that is metadata defining some other data,  
10 present or not in the same transfer file.

### 11 **7.3.5 Transfer component header**

12 The transfer component header contains the supplementary information required to identify and process the  
13 component. Its content is classified in three groups of attributes:

14 1 component attributes

15 2 component messages

16 3 component user parameters

#### 17 **7.3.5.1 Component attributes**

18 Typical transfer component attributes are:

19 component type	20 This attribute identifies if the component was considered application data or 21 definition data at the time of the creation of the transfer file. Note that this 22 typing is relative at import time. For instance definition data (the database 23 schema) for the export of application data (a client database) could be 24 considered application data by an importer who want to import it in a dictionnary.
25 component title	26 This identifies the standards to which the content of this component 27 conforms. For instance the content could conform to the SQL standard (9075)
28 component identifier	29 This uniquely identifies the component within the transfer file
29 component name	30 This is a name that uniquely (within the context of the transfer file) identifies this component.
31 component definition name	32 This is a name that uniquely identifies the component where the definition of the data in this component can be found.
33 component structure	34 This is where one would indicate that the component is made of unstructured (within the context of the EI transfer file) text.
35 component syntax identifier	36 This attribute gives the opportunity to override the equivalent parameter in the transfer header.

component encoding identifier	This attribute gives the opportunity to override the equivalent parameter in the transfer header.
component codeset identifier	This attribute gives the opportunity to override the equivalent parameter in the transfer header.
component rows column tags	This indicates a default option for the presence of tags in the table section of the component. It has values such as FULL, when the full name of a column precedes the corresponding value in each row, to UNLABELLED, when such tags are absent. Other options are user defined tags, abbreviations, numbers,...

### 7.3.5.2 Component Message

This section is used to describe the control elements applicable to the transfer component. These control elements are different whether the component is a transfer component, a request component, or a response component. Typical message, response and control elements include:

component action:	This could be, for instance, an SQL <<Query Expression>>, if the purpose of the component is to cause the export of the result of such query from the target system.
component response	This could be a return code in a response component, giving the exporter the result of an import.
component transfer protocol	This could identify the presence in the component of control records, such as checkpoints, checksums, etc.

### 7.3.5.3 Transfer User parameters

The user parameters, are optional. The value of these, if present, is freely determined by the exporter.

### 7.3.6 Transfer Data Text

This type of component enables the transfer of bulk text between the exporter and the importer. In such a situation, this syntax of this text may be completely implementor or user defined, or may follow other industry standards.

### 7.3.7 Transfer Data Tables

This section contains the data accompanying a request, or a response, when required. The term "Transfer Table" is used, to benefit from the already defined relational (SQL) terminology. However the E/I transfer format is independent of the source and target system modeling facility, and comprehensive enough to transfer any of the ones currently in use. A component can contain many tables.

The Transfer Table has a header section containing descriptive or control attributes, a section defining the definition of the transfer data table columns, and a section containing the rows of the table.

Different syntax, and corresponding encoding, schemes can be used for the transfer data tables. These schemes have different level of encoding/decoding complexity, and different level of efficiency, when a large number of rows are transmitted. The range varies from the case where the full column definition (name and domain) is carried with each column of every row, to the case where each row contains only delimited values, and matching with column definition is based on position.

### 7.3.8 Transfer Table Header

The transfer component header contains the supplementary information required to identify and process the component. Its content is classified in three groups of attributes:

1 1 table attributes

2 2 table messages

3 3 table user parameters

#### 4 **7.3.8.1 Transfer Table Attributes**

5 Typical Transfer Data Table Attributes are:

6 Table name This is a name that uniquely (within the context of the transfer file) identifies  
7 this table.

8 table type This relates the semantics of the data group represented by the transfer  
9 table in the source system. For instance, if the source DMF is E/R (Entity-  
10 Relationship) then at least two table types would be used, one for entities,  
11 and one for relationships. Similar considerations would apply to records and  
12 sets in a network model.

13 Table key type Identifies whether the table has a unique identifier or not, and whether it is  
14 the concatenation of other columns, or a special column. The term key is  
15 used here to designate the unique identifier of a row, and has no access  
16 connotation.

17 table rows column tags This enables the override at the table level the default option set at the  
18 component level for the presence of tags in the table section of the  
19 component.

20 table unique identifier If agreed between parties, this unique identifier enables transfer without  
21 either a definition component, or transfer column definitions. This name  
22 could also be a registered, or standardized name. For instance the SQL  
23 Information Schema Table, or application level registered messages ( as in  
24 EDI).

#### 25 **7.3.8.2 Transfer table message**

26 This section is used to describe the control elements applicable to the transfer table. These control elements are  
27 different whether the component is a transfer component, a request component, or a response component. They  
28 override similar attributes set at the component level. Typical message, response and control elements include:

29 table action: This could be a request to delete the table, to add to or to update it.

30 table response This could be a return code in a response, giving the exporter the result of  
31 an import for that table.

#### 32 **7.3.8.3 Transfer table user parameters**

33 The user parameters, are optional. The value of these, if present, is freely determined by the exporter.

#### 34 **7.3.9 Transfer Table Columns**

35 This section contains the definition of each of the possible columns in the transfer data table. Four types of columns  
36 can be defined:

37 1 transfer table attributes columns

38 2 transfer table message columns

3 transfer table user parameters columns

4 transfer table data columns

### 7.3.9.1 Attributes Columns

If required the following attribute can be used to uniquely identify each row:

row key Added to each row, if required, to provide a unique identifier

The following columns are required if data is loaned (checked-out, booked-out) to the target system, with the intent of processing an eventual return.

source system last action code

source system last action time stamp

target system last action code

target system last action time stamp

### 7.3.9.2 Message columns

Standardized columns definition (action section) are added to the application data columns. Their reserved column names are:

row action code This identifies what the importer is to do with the values in the rows (ADD, DELETE, UPDATE, SELECT).

row response code This column enables the importer to confirm the result of the import by creating a response component with this additional message.

### 7.3.9.3 User parameters columns

Columns added by the exporter (other than data columns) are defined in this section.

### 7.3.9.4 Data columns

This section contains the definition of the data transferred, as opposed to the previous columns, who were targeted at the import process.

For each of the four types of columns, the following descriptive attributes could be used:

column name This is a name that uniquely (within the context of the transfer file) identifies this column

column unique identifier This could be used for matching columns to standardized data elements, across columns, across systems and applications;

column data type Integer, character, etc.

column domain used if domains are registered between parties. If applicable to a specific file, then a Transfer Data Table Domain section need be added;

key column sequence If the column is part of the key, then it identifies the concatenation sequence.

1	column tag	If column tags are used in the rows, then this attribute can be used to define
2		a short form tag. It will be used to map columns in rows to the corresponding
3		column definition;
4	column sequence	If no tags are used, this attribute enable the processing of the sequence of
5		unlabelled column values in the row.
6	column position	If no tags are used, and the values appear in the row at specified positions,
7		then this attribute combined with the following one (column length) identifies
8		the beginning and the end of the value in the row.
9	column length	see above.

### 10 **7.3.10 Transfer Data Table Rows**

11 This section of the component contains rows of values corresponding to the transfer table columns.

12 If that correspondence is established by position, then each row contains only a set of values. In this case, the  
13 values could appear at fixed positions, or be separated by delimiters.

14 If the correspondence is established by the presence of tags, such as the name of the column, a user defined  
15 abbreviation or a sequence number, then each rows contains a set of pairs of values (column tag, column value).  
16 Since this is done to avoid the restriction of a fixed format, and the waste of space when a column has no value for  
17 a specific row, the values and the tags are separated by delimiters.

18 Each row is made of a header part, and a data part.

19 The transfer format for rows has three complexity variants:

- 20 1 The basic format contains only data, without any instructions (protocol, message).
- 21 2 The second level contains data management operators, such as add, delete, update and query.
- 22 3 The third level contains control information to enable book-in, book-out (which is a kind of delayed commit),  
23 version control, etc.

### 24 **7.3.11 Transfer table row header**

25 The row header section contains, for each row, the value corresponding to the header columns as defined in the  
26 columns section.

### 27 **7.3.12 Transfer table row data**

28 The row data section contains, for each row, the value corresponding to the data columns as defined in the  
29 columns section.

## 30 **7.4 Service and Process Standards**

31 Although the discussion below tends to describe export and import in the most simple case, where export  
32 corresponds to an extract, and import to the population of an empty database, one must consider this as a special  
33 case.

34 Sending a query expression, or a set of, and returning query results, is also a special case of export import.  
35 Similarly, having an importing system return to the exporting a set of responses to indicate success or failure of  
36 importing operations is also a special case.

Although the file format has to be independent of the nature of both the exporting and importing systems, the definition of the services is not. The following description of services is intended to be generic, although examples are drawn from SQL environments.

## 7.4.1 Export Services

### 7.4.1.1 Basic Services

A simple set of services provides for the definition of the export file and a population by selective extraction. Defining the export file could be done by a mechanism similar to the current SQL mechanism to define temporary tables (views). Selection and population by a mechanism similar to the SQL SELECT. The following general capabilities should be supported:

- 1 Selection of some or all the data types defined by the specified schema, subschema and user view.
- 2 Selection of some or all of the data values that exist for the selected data types.

The manner in which selection criteria are to be specified has yet to be determined. The export standard should use an abstract specification technique. Specialization of this standard may use concrete specification techniques.

An export file must be created, into which the data to be exported will be placed. The manner in which the file is created and identified is implementation dependent.

It is **usual, but not** necessary, for the export file be created on the same real system on which resides the Exporting System. To do otherwise implies some sort of remote data access capability, which is not described by this framework. Such a capability would effectively combine the file transfer function with the export function.

Every export file will contain components, and file header information. These will be described in file format standards.

The data selected in the previous steps must be converted to the standard Export/Import File format. This conversion process is data model dependent, and the rules for any particular data model are contained in the specialization of this standard.

Encryption of the export file is optional, but is recommended to maintain data security while the file is being transferred from one system to another.

### 7.4.1.2 Schema Services

Schema information may be part of a transfer, either as a side product, accompanying the data, or as the main product. Schema information has to be understood as:

- 1 a reference to a schema known to both parties
- 2 extensions to a schema known to both parties
- 3 view definitions, making one schema a view on another schema
- 4 base table definitions

The term schema information is used here in an abstract manner, and not in the SQL sense, where it is a partitioning of the schema (meta) information.

A data transfer might require extraction of schema information from many SQL "schemas"

Schema information uses the same interchange format as data. Definition of the file to exchange schema information is standardized, not user controlled (based on schema information tables), and selection and population

1 should be automatic in some scenarios. Thus a very simple service definition, or an option on the data transfer  
2 service, is sufficient.

3 The importing system must be able to identify the schema to which the export file contents conform. Either the  
4 identification must have been previously agreed between the two systems, or the schema information must be  
5 transferred with the Export file. This is a recursive problem. At some level, the two systems must already have a  
6 common understanding, as discussed before.

7 This framework does not restrict the number of data levels for which data may be exported at one time. For  
8 example, data from level 'n' can be exported as the schema for level 'n-1', which in turn is exported as the schema  
9 for 'n-2'. The Export/Import file format reflects this recursive structure. However, specialization of this standard may  
10 restrict the number of data levels that may be exported at one time, as may be appropriate for the Data  
11 Management Systems they are intended to support.

12 Before an export function can be initiated, the schema, subschema and user view to be used must be identified.

### 13 **7.4.1.3 Administration services**

14 A third level of services would include control information with the data exported, and also update the exporting  
15 database with control and status information.

16 A 'book-out' facility is provided for situations where the exported data is to be re-imported at a later date, and it is  
17 desired to prevent changes to the data within the exporting system in the meantime. Each data item exported will  
18 be marked as 'not-updateable' until such time as the data is re-imported, or the mark is explicitly removed.

### 19 **7.4.1.4 Manipulation services**

20 The Export/Import file may contain embedded commands to control the action to be taken by the importing system.  
21 These commands could apply to the whole file, be applicable to each record in the file, or to sets of related records.

22 The basic data management operations(get, modify, add and delete) have to be supported. A facility is needed to  
23 enable the transfer of information about data objects that have been 'logically deleted' (obsoleted ?) at the  
24 Exporting System, in order that they may be similarly deleted at the Importing system.

25 The import function may specify periodic commit points based on criteria such as number of records updated. The  
26 exact definition of a 'record' will be specified in the appropriate standards.

27 This facility must take account of logical dependencies between records. (e.g., A referencing object cannot be  
28 committed unless the referenced object has already been committed, or is to be committed simultaneously.)

## 29 **7.4.2 Import Services**

30 The data in the import file is to be copied to the importing Data Management System. The importing system may or  
31 may not already contain data. Several possibilities exist, such as:

### 32 **1. Import into an empty database**

33 This is the simplest situation since it requires no comparison of old and new data, but it is of use only when  
34 creating a new copy of an existing database.

### 35 **2. Import into an already populated database, using 'Book-out/Book-in'**

36 This facility allows the update of data that was previously exported for exclusive use.

### 37 **3. Import into an already populated database, using 'Data Merging'**

38 This facility allows the integration of an unsolicited import file with the existing database contents, based on  
39 certain specified rules for the action to be taken when duplicate records are encountered.

The above three facilities are mutually exclusive. Only one or the other may be used for any one invocation of the import function.

Errors may be detected during the import function. The following error handling options will be specifiable:

1. Halt the import immediately, and backout all changes to the last commit point.
2. Report the error, but continue to allow detection of other- errors. Do not commit any further changes, and backout existing changes to the last checkpoint.
3. Report all errors encountered, but apply all other updates as if no error had been encountered.

Reporting errors, or even success, might involve the creation of a new export file, containing the service responses to the service requests contained in the import file.

It should be possible to evaluate the impact of an import, before actually committing to the changes. This can be done by a "trial import" facility.

The purpose of this function is to verify that the import will execute successfully. All validation performed during an actual import will be performed during the trial import, including but not limited to:

- 1 Ensuring that the data in the import file is in fact compatible with the importing system's schema.
- 2 Ensuring the validity of all embedded commands.

In terms of data management services, we can think of three levels of complexity. Level one requires only one service, and it populates an empty database (creating it from the schema information, or schema reference provided). Level two can insert the data in an existing data base, coping with operations such as add, delete, update, either implicit or explicit (encoded in the export file). Level three would cope with control, booking and version information.

#### **7.4.2.1 Basic Services**

The import file header may contain a schema name identifying the schema at the originating system. Verification of the schema name can be performed if the name is meaningful to the importing system.

The manner in which the importing schema is identified will depend on the manner in which the Import is initiated. This will be specified in the appropriate standards.

Note: It is not necessary that the originating schema have the same name as the schema at importing system, only that the two schemas be compatible.

If the file was encrypted, then decryption must take place.

#### **7.4.2.2 Schema Services**

If present, schema information has to be processed first. Processing could range from simple identification, to update, or creation of a new schema and corresponding database.

It could also be a verification process, whose purpose of this function is to ensure that the schema used to create the export file is compatible with the schema to be used to import the data.

The schema to schema compatibility check will usually be performed only when initially establishing an understanding between the two systems, or when one or other of the schemas are changed, and the database administrator wishes to verify that they are still compatible. If Export/Import is to be performed on a regular basis between the two systems, this function may be bypassed.

### 1 **7.4.2.3 Manipulation Services**

2 If data is imported into an already populated database using the 'Data Merge facility', the action taken when a  
3 match is found on keys will depend on the options specified. Possible options include:

- 4 1 Reject the incoming occurrence
- 5 2 Replace the existing occurrence with the incoming occurrence
- 6 3 Reject or replace depending on a comparison of date-time stamps. keep whichever is more recent)
- 7 4 Create new version based on incoming occurrence, while retaining existing occurrence

8 In the case where specific commands are embedded with the records, then this facility is not used

9 The import file may contain embedded commands, the format of which is prescribed by a file format standard.  
10 These commands include:

#### 11 1 Book-in

12 This command indicates that the associated data is being returned to a Data Management system from which  
13 it was previously booked-out.

#### 14 2 Commit

15 This command indicates that the data imported up to this point represents a logical unit of work and can be  
16 committed independently of the remainder of the Export/Import file.

#### 17 3 Logical Delete

18 This command indicates that the associated data item has been logically deleted at the exporting system, and  
19 is to be logically deleted at the importing system also.

#### 20 4 New version

21 This command indicates that a new version of the corresponding data item is to be created, rather than  
22 replacing an existing version.

23 This is mutually exclusive with 'Book-in'.

#### 24 5 Update

25 This command indicates that an existing data item is to be updated

#### 26 6 Add

27 This command indicates that a data item should be absent from the importer data, and added

#### 28 7 Select

29 This command cause the creation of a response export file, with the deleted data items

### 30 **7.4.2.4 Administration Services**

31 Data that has been exported using the Book-out facility may be reimported using the Book-in facility. When data is  
32 imported into an already populated database using the book-in facility, any existing data whose keys match those  
33 of some incoming data must be marked as "booked-out" to the system from which the incoming data originates. If  
34 this is not the case, then that portion of the data will be rejected.

The import function may specify periodic commit points based on criteria such as number of records updated. The exact definition of a 'record' will be specified in the appropriate specialization of this standard.

This facility must take account of logical dependencies between records. (e.g., A referencing object cannot be committed unless the referenced object has already been committed, or is to be committed simultaneously.)

### 7.4.3 Convert Services

*N04- This section is for discussion*

The definition of the structure of the E/I file is not the same as the definition of the schema of the exporting or importing database. In fact the general case is where all three are different.(but compatible, that is the E/I structure can be expressed as a view on both exporting and importing data base).

These differences may be syntactic, such as different naming conventions, different value sets, etc.

There may be a requirement for a standard way of specifying conversion tables, and a standard service definition. Since the E/I file format is standardized, it is possible to produce such standards.

Such services could also do the mapping between data modeling facilities, although that might be out of scope of this work

### 7.5 Semantic and Content Standards

A separate set of standards is needed for the exchange of the definition of the data. These will not only have container specifications (which would probably be the one specified above), but also content definition.

This means that it is expected that something analogous like the definition schema table could be used to exchange schema definition, even between non-compliant SQL systems.

## 8 Export/Import Standards

*N05- This section needs to be completed by contributions*

### 8.1 Existing parts of this standard

#### 8.1.1 SQL Export/Import (13238 Part-2)

#### 8.1.2 IRDS Export/Import (13238 Part 3)

### 8.2 Planned future parts

### 8.3 Other Standards

#### 8.3.1 CDIF Transfer Format (15476-Part 1,2,3)

## 9 Notes and Tables

### Table of Illustrations

1 Figure 1 — System Modeling Notation ..... 5

2 Figure 2 - Client Server Communication Model..... 7

3 Figure 3 - Transfer-Related Operations ..... 8

4 Figure 4 - Responses ..... 9

5 Figure 5 - Export/Import Standardization ..... 14

6 Figure 6 - Overall structure of the E/I Transfer File ..... 16

7

8 **Table of Tables**

9 Error! No table of figures entries found.

10

## Annex A (normative)

### Rationale and Requirements

#### A.1 Audience and User Communities

Organisations concerned with standards fall into two categories - *users of standards* and *providers of standards*. Both may form the audience for standards products.

**Standards users** can be categorised as standards implementors, standards beneficiaries, and certification bodies. *Standards implementors* are the providers of products and services which conform to the standards, while *standards beneficiaries* are the procurers and users of those products and services. *Certification bodies* undertake conformance testing and the certification of products and services.

Implementors may implement a standard internally within their organisation, in which case they constitute a *single user*. Cases where provider and client agree to use a standard for a particular contract constitute *dual users*. *Multiple users* arise where widespread consensus exists, where particular suppliers dominate a market, or where governments and other regulatory bodies impose the use of standards on procurers and/or providers (for public health and safety, trade regulation, etc.).

**Standards providers** are those organisations concerned with the production, registration and distribution of standards products. *Standards makers* are the committees and groups of a standards organisation, while the standards organisation itself acts as the *publisher* of standards.

#### A.2 Current Issues

Although many products/standards have similarities (overall architecture, services offered, encoding mechanisms), nobody offers, in this area, a solution that is so widespread or exceptional that we can anticipate the emergence of a unique approach and solution.

Further more there are no generic data management export/import mechanisms.

However this area appears conceptually simple, and one has to conclude that the absence of any widely used transfer standard is due to the fact that there are more important, or spectacular issues in data management.

Traditionally, users and manufacturers have coped with ad hoc export, or import, by ad hoc programming or facilities. It is only since the explosion of personal computers, and the introduction of distributed architecture, that a generic facility is becoming essential.

##### A.2.1. The Interested Parties

As in all IT standardization efforts, the interested community includes:

Users

Procurers

Suppliers

Standards makers

### 1 **A.2.2. The Current Situation**

2 There are four categories of standards germane to export/import:

3 1 Application Specific standards

4 Application Data Standards (Banking, Library, etc.)

5 CDIF -- EIA (Standardized CASE Interchange Metamodel)

6 EDI

7 2 Enabling and support standards

8 SQL2,3

9 ASN.1

10 3 Related Standards

11 RPC

12 RDA

13 MHS

14 CLI

15 4 Architecture standards

16 RM for DM

17 RM for OSI

18 RM for ODP

19 RM for EDI

20 Among the different standardization groups, most everybody, except the Data Management group, have been  
 21 active one way or another in the area of interchange. However, in the absence of any recognized standard or  
 22 approach, everybody is tackling the issues in a different manner.

23 In the industry, there does not seem to be any form of common export/import format and/or facilities among the  
 24 suppliers of major hosts or LAN-based DBMS. However, in the PC world, the dBase file format, which is public  
 25 domain, is becoming the de facto standard for exchanging tabular data, not only between DBMSs, but also  
 26 between other packages, such as word processors and spreadsheets.

### 27 **A.2.3. The Perceived Trends**

28 There is no evidence resulting from the current trends and directions in the world of data management, and the  
 29 world of standardization, pointing to the availability of a standard, and associated products on the horizon.

30 This means some initiatives have to be taken, by users, suppliers, and standardization organizations, to materialize  
 31 some of the potential benefits, while avoiding painting oneself in a corner.

### A.3. Expressed Requirements

Different communities have different needs and perspectives in this area. Users and suppliers sometimes have conflicting interests, and those acting as procurers, that is those acting on behalf of users in dealing with suppliers, are caught in between. Again basic data transfer requirements have to be separated from standardization requirements.

Requirements can be categorized as follows

1 User Requirements for export/import and more generic transfer mechanisms

Productivity, work organization, sharing and control, integration, ...

2 Standardization Requirements

Productivity, Effectiveness, Communication, Openness, Quality

3 User Requirements for Standards

Communication vs. Portability

Metadata transfer

homogeneous vs. open environments

Timing requirements for data integration

### A.4 Benefits of Standardization

There are two primary reasons for standardization in any domain. These are *consumer protection* and *communication*, both of which have social and economic aspects.

#### A.4.1 Consumer protection

Consumer protection embraces quality, productivity and effectiveness.

#### A.4.2 Communication

Communication embraces both human and machine communication. *Openness* is the term most often used for automated processors which are able to communicate successfully (cf. OSI). Openness includes interoperability, portability (of people and tools) and scalability.

Standardized formalisms for models, specifications and documentation facilitate the communication of knowledge and the verification and reuse of models. Because of the substantial costs associated with software engineering, the economic gains to be made from the portability and reuse of software engineering products are large.

With the evolution of the concept of open systems, consumers no longer expect any one supplier of CASE tools to dominate the marketplace. Communication standards covering both the storage of machine-readable information and its transfer between tools ensure consumer choice.

1	<b>Editor's notes</b>	
2	<b>Notes for the reader</b>	
3	<b>N01-</b>	<b>Editor's note This foreword will be removed in the final document ..... v</b>
4	<b>N02-</b>	<b>Editor's note This foreword will be removed in the final document ..... v</b>
5	<b>N03-</b>	<b>Editor's note This will be replaced at the DIS stage by the ITTF approved text ..... vi</b>
6	<b>1</b>	<b>Scope..... 1</b>
7	<b>2</b>	<b>Conformance..... 2</b>
8	<b>3</b>	<b>Normative reference(s) ..... 2</b>
9	<b>4</b>	<b>Term(s) and definition(s) ..... 2</b>
10	<b>5</b>	<b>Symbols (and abbreviated terms) ..... 5</b>
11	<b>6</b>	<b>Concept and Facilities ..... 6</b>
12	<b>7</b>	<b>Standardized Components of a DM Export/Import Environment..... 12</b>
13	<b>N04-</b>	<b>This section is for discussion ..... 28</b>
14	<b>8</b>	<b>Export/Import Standards ..... 28</b>
15	<b>N05-</b>	<b>This section needs to be completed by contributions ..... 28</b>
16	<b>9</b>	<b>Notes and Tables ..... 28</b>
17	<b>Annex A (normative)</b>	<b>Rationale and Requirements..... 30</b>
18		
19		

**Control Fields (Show field codes to adjust)**

	ISO/IEC	
	ISO/IEC J	
<b>TC #</b>	1	
<b>SC #</b>	32	
<b>WG #</b>	3	
<b>Secretariat SC</b>	SCC-Canada	
<b>Doc Type</b>	International Standard	
<b>Doc Pub year</b>		
<b>Doc Edition #</b>	1	
<b>Doc Subtype</b>	Not applicable	
<b>Language</b>	E	
<b>Stage</b>	(30) Committee	
<b>Title (for Stage)</b>	COMMITTEE DRAFT	
<b>ISO Number</b>	CD 13238-1	
<b>English Title</b>	Information Technology — Data Management Export/Import — Part 1: Standardization Framework	
<b>French Title</b>	Technologies de l'information — Échange (export/import) de données — Partie 1: Cadre pour la normalisation	
<b>SC Doc Number</b>	0018	
<b>WG Doc Number</b>	2115	
<b>Document Date</b>	1997-11-10	
<b>Version</b>	LHR06 -- 97.09.15	
<b>Stamp</b>	97.10.23 18:43	

1 **Status Fields**

2

<b>Title:</b>	DMEI Standardization Framework	
<b>Subject:</b>	Output of London July 97 - Cd Circulation Sept	
<b>Keywords:</b>	ISO Template Version 3.2 1997-07-10 JBEV03	
<b>Comments:</b>		
<b>Version:</b>	LHR06 -- 97.09.15	
<b>Filename:</b>	32N0018_EI_Framework_323N2115_V10.do c	
<b>Template:</b>	DCISOV03.dot	
<b>Original Edit.:</b>	Jean Bérubé	
<b>Current Edit.:</b>	Jean Bérubé	
<b>Create Date:</b>	97.11.12 12:23	
<b>Save Date:</b>	97.11.12 13:08	
<b>Print Date:</b>	97.11.12 13:09	
<b>Stamp</b>	97.11.12 13:08	
<b>Modification:</b>	7	
<b>Edit Time:</b>	0.28 hr.	
<b>Num. char:</b>	61707	
<b>Num. words</b>	11477	
<b>Num. pages</b>	41	

3