

# Conceptual Business Document Modeling using UN/CEFACT's Core Components

Philipp Liegl

Institute of Software Technology and Interactive Systems  
Business Informatics Group  
Vienna University of Technology,  
Favoritenstrasse 9-11/188, A-1040 Vienna,  
Email: liegl@big.tuwien.ac.at

## Abstract

Before two businesses can engage in a business-to-business process an agreement about the process execution order and the business documents exchanged in the collaborative process must be found. Although several initiatives from different industries have started standardization initiatives for business documents a set of shortcomings still remain. (1) The different standards do not have a common semantic basis causing inter-operability problems between them. (2) Furthermore, they try to include every possible element any industry might need into the business document standard. (3) Moreover, most of the standards are transfer syntax specific and do not provide a conceptual representation mechanism. In this article a new concept for the standardization of business documents called UN/CEFACT's Core Components Technical Specification is presented which solves these shortcomings. Using Core Components the business document modeler can unambiguously define documents with a common semantic basis on a conceptual level. In order to allow for a better integration into UML modeling tools we introduce the UML Profile for Core Components. With the UML based core component model and an XML schema generator the modeler can derive XML schema artifacts from the conceptual model.

*Keywords:* Business Document Modeling, Business Document Meta Modeling, UN/CEFACT's Core Components

## 1 Introduction

If two businesses want to get involved in an automated B2B process they first have to agree upon a common choreography uniquely defining the exchange order of the different business documents. Several approaches for the standardization of a business choreography exist nowadays e.g. (UN/CEFACT 2006b), (Jung et al. 2004) or (Rinderle et al. 2006). While a process choreography describes the exchange order of business documents in detail, little to nothing is said about the harmonization of business documents which are being exchanged. One of the best known approaches for the standardization of exchanged data is UN/EDIFACT (Berge 1994) maintained by the United Nations Center for Trade Facilitation and Electronic Business (UN/CEFACT). The UN/EDIFACT standard provides a set of syntax rules used

to structure business document data. The document format uses designated symbols and letter codes as delimiters between the different data fields.

Since XML was introduced in 1996 (W3C 2006) its popularity has constantly increased due to its versatility, flexibility and easy applicability. An additional boost has been brought by the introduction of Web Services and their related technologies such as WSDL (W3C 2007b), SOAP (W3C 2007a) and UDDI (OASIS 2007). In particular in the context of Web Services the clear and precise definition of a business document is of importance. Usually interfaces defined by WSDL import the appropriate XML schema defining the type of business document the interface accepts.

Given the popularity of XML as the representation format of choice for data, several initiatives have been started in order to standardize exchanged data using XML. An overview of different XML based standards for describing data and business documents is given by (Li 2000). However, the transition from a delimiter based approach such as UN/EDIFACT to an XML based solution did not solve the interoperability problems between business documents. We address the following shortcomings in regard to business document standardization:

(1) *Standard incompatibilities.* Due to the multiple initiatives which have been started, several XML based business document representation mechanisms exist, which are competing against each other. Eventually this results in large incompatibilities between the different standards.

(2) *All-in-one approach.* Furthermore a lot of standards aim at the integration of every possible element into a standardized business document, resulting in a strong document overhead. E.g. a cross industry invoice which should be applicable in any industry context has to include every possible element any of the different industries might need. Whereas for instance `number of nights per person` is critical in a tourism context this attribute is rather unlikely to be needed in an oil industry context. However, in order to be cross-industry compatible every possible element has to be included in the standardized invoice. A partial solution is given by so called message implementation guidelines (MIG), cutting down a standard to a set of agreed elements which are used between a well defined subset of business partners. However, an extensive use of different MIGs undermines the idea of a holistic standard and results in a multitude of different and incompatible standard subsets.

(3) *Lack of conceptual document description.* Standards such as UN/EDIFACT or XML based solutions for business documents are tightly bound to the implementation syntax. Often the document semantics are defined on the logical level (e.g. XML schema) instead of being defined on an higher, conceptual level. Changes in the transfer syntax therefore result in re-engineering tasks for the standard,

making it inflexible to future adaptations. In regard to implementation tasks, a logical level business document model is difficult to communicate between software developers and other stakeholders in the implementation process.

Knowing these limitations UN/CEFACT started the development of the so called Core Components Technical Specification (UN/CEFACT 2003). The idea is to develop an ontology of re-usable building blocks for business documents. Using these building blocks, a shared library is built from which modelers can retrieve artifacts in order to assemble a business document.

The development of the core components standard started in the late nineties as part of the ebXML (OASIS 2001b) initiative. The main goal of ebXML was to provide a framework allowing potential business partners to engage in B2B processes in an interoperable, secure and consistent manner. One part of the ebXML technology stack were so called core components, used to uniquely define the exchanged data between two enterprises. UN/CEFACT's Technologies and Methodologies group, of which we are members of, continued the development of core components and today the standard is known as the Core Components Technical Specification (CCTS). The most recent version of the standard is 2.01 (UN/CEFACT 2003) with the development of version 3.0 (UN/CEFACT 2008) currently going on.

In this paper we present the UN/CEFACT Core Component Technical Specification and a UML profile which is built on the technical specification. It will be shown how core components can help to overcome the four limitations mentioned above and how XML schema specifications can automatically be derived from a core component model. The remainder of this article is structured as follows: section 2 gives an overview about related work in the field of conceptual XML schema modeling and section 3 introduces the core components approach. The UML Profile for Core Components is outlined in section 4 and an example is given in section 5. The derivation of XML schema artifacts from core components is shown in section 6 and section 7 concludes the paper and gives an overview about future work.

## 2 Background - Related Work

A general introduction into business document modeling is given by (Glushko & McGrath 2005). Glushko and McGrath provide a thorough and holistic overview about current approaches for business document modeling, document model interoperability and integration into business processes.

The conceptual modeling of data has existed for a while and forms an integral part of data engineering. One of the most important methodologies for data modeling is the so called entity relationship model (Chen 1976) used to design a relational database model. The entity relationship model (ER) provides its own modeling methodology consisting of entities, attributes belonging to entities, and relationships between the different entities. A database modeler uses the entity relationship model to derive the appropriate data definition language (DDL) artifacts for creating the database model. The main goal of a database is to reliably store and retrieve information from it. If a hierarchical business document is stored in a database it is first broken up into the relational model and then stored in the appropriate database tables. Retrieving the document means querying the database for the relevant information parts and re-assembling the business document. The relational database model has therefore less context than the

business document model because its main goal is to store and retrieve pure information and avoid inconsistencies.

Both, the business document model and the relational database model serve their own purpose. On the one hand the relational model focuses on a multitude of business documents and not on a single instance, since its goal is the consistent storage of normalized data in the large scale. Thus, the avoidance of large scale data redundancy is an integral part of the relational model. In some cases business document models must deliberately allow data redundancy due to the requirements of a given business case. As an example an `invoice bundle` is taken which groups `invoices` of the same enterprise. The left hand side of figure 1 shows an `invoice bundle` containing multiple instances of `invoices` numbered 1, 2 and 3. Each instance of the `invoice` contains the same `tax number` (3) although all `invoices` are of the same enterprise and hence the `tax number` is the same for each `invoice`. Since the `invoice` itself has to be a self contained document, the `tax number` cannot be stored in the embracing `invoice bundle` but must be part of the `invoice`. In comparison the right hand side of figure 1 shows the relational model for the same scenario. An `invoice bundle` groups multiple `invoices` of the same enterprise. Since the data is stored normalized, the `tax number` is part of the `invoice bundle` and not of the `invoice`. It follows, that the relational model is not well suited for business document modeling and a more appropriate approach must be found.

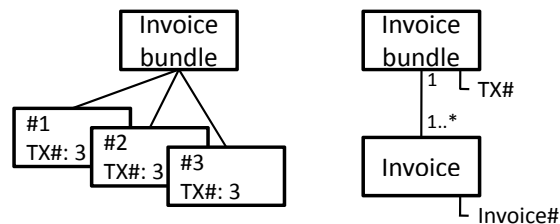


Figure 1: Business document model vs. relational model

Related work in the field of conceptual XML schema modeling concentrates on two main fields. On the one side research is conducted in the area of forward engineering e.g. deriving XML schema artifacts from conceptual models such as UML. On the other side a lot of effort is invested in the reverse engineering approach e.g. generating conceptual models such as UML class diagrams from XML schema artifacts. An overview on research on the reverse engineering of XML schemes to conceptual models such as UML class diagrams is given in (Yu & Steele 2005). The authors examine different reverse engineering approaches and assess their applicability. Although several techniques for a forward engineering from conceptual models to XML representations exist today, only a few solutions are available for transformations in the opposite direction. The generation of UML models out of XML schema data proves to be difficult since not all of the features of an XML schema can be represented in a UML diagram. E.g. UML does not support the concept of inheritance by restriction as XML schema does. Another open issue is the ordering of attributes which is important in an XML schema but not supported by UML class diagrams. A thorough solution for a reverse engineering approach is presented by (Salim et al. 2004). Using a set of transformation rules for the corresponding XML schema elements, the authors present appropriate representation solutions in UML. However, the authors do

not address the representation of an `<xs:restriction>` which cannot be demonstrated in UML.

In contrast to the reverse engineering of conceptual UML models from XML schema several approaches exist for the forward engineering approach. One of the first research propositions for the representation of XML using UML has been presented by (Skogan 1999). Built upon these research results (Combi & Oliboni 2006) introduce the so called UXS model (UML & XML Schema) based on UML. UXS is a methodology for designing XML documents using a set of graphical elements which correspond to the appropriate XML schema components. Furthermore a translation mechanism is introduced allowing the generation of XML schema artifacts according to the three well known patterns "Russian Doll", "Salami Slice", and "Venetian Blind" (Malik 2003).

Although several approaches for the conceptual modeling of XML schema exist, only a few of them consider the semantic data modeling aspects. A mutation analysis model used to verify the general semantic correctness of an XML schema is introduced by (Li & Miller 2005). Using their approach (Li & Miller 2005) compare different XML schema validators in regard to their effectiveness in finding semantic errors within XML schemas. A formalization for a data modeling approach is introduced by (Mani et al. 2001), also taking into account the semantic dependencies between the different elements within an XML schema. The introduced methodology called *XGrammar* allows for a precise definition of features necessary for data modeling such as n-ary relationships, generalizations etc. The application of the Active XML Schema approach for the semantic enrichment of XML schema documents is discussed in (Bernauer et al. 2003). In their paper the authors examine the trade-off between semantic enrichment of XML schema and its interoperability.

A similar approach to UN/CEFACT's Core Components is pursued by OASIS and has become known as the Universal Business Language (OASIS 2006) (UBL). UBL is a standard for XML document formats based on UN/CEFACT's core components and provides a mapping of the syntax neutral core components to real XML constructs. The initiative follows a similar approach as the naming and design rules (UN/CEFACT 2006c) (NDR) provided by UN/CEFACT. In order to overcome the redundancies in regard to standardization a merger of the UBL initiative with the core components initiative of UN/CEFACT has been decided during the UN/CEFACT Forum meeting 2007 in Stockholm.

In regard to domain specific business standards several initiatives have been started in recent years. RosettaNet Business Documents (RosettaNet 2006) is an initiative of the electronic components and telecommunications industry. In the insurance domain the ACORD (ACORD 2007) standard plays a significant role and CIDX (CIDX 2007) is pursuing document standardization for the chemical industry. Other initiatives include SWIFT (SWIFT 2007) from the finance industry, HL7 (HL7 2007) from the health care industry, Papinet (papiNet 2007) from the forest and paper industry, and PIDX (PIDX 2007) from the oil and gas industry.

As outlined in this section several approaches to the conceptual modeling of business documents and XML and the forward and reverse engineering thereof exist. Although applicable to the general purpose of XML modeling, the different approaches do not consider the business semantics and business requirements necessary for business document modeling. The following section will introduce the core components standard as a methodology of choice for the concise modeling of business documents exchanged in

inter-organizational business processes.

### 3 UN/CEFACT's Core Components

#### 3.1 The core component meta model

*Core Components* form the central building blocks of the Core Components Technical Specification (CCTS) (UN/CEFACT 2003). By definition *core components* are syntax and platform independent and the standardization of *core components* is done using regular spreadsheets. If a *core component* is used in a certain business context it becomes a so called *business information entity*. The two packages in the CCTS meta model in figure 2 show the two fundamental concepts of a core and a business context.

As shown on the left hand side of figure 2 the core components standard distinguishes between three different types of core components: *aggregate core components* (ACC), *basic core components* (BCC) and *association core components* (ASCC). An *aggregate core component* forms a self contained entity which consists of several *basic core components*. For example an *address* would be an *aggregate core component* whereas the different details of an *address* such as *street*, *postal code* etc. would be *basic core components*. In order to build relationships between different *aggregate core components* the concept of so called *association core components* is used. An *association core component* may for instance relate the two *aggregate core components* *person* and *address*. A *basic core component* such as *postal code* in *address* has a certain type - a so called *core data type*. *Core data types* are based on primitive types referred to as *Core Component Types*. *Core Component Types* are e.g. *Integer*, *String*.

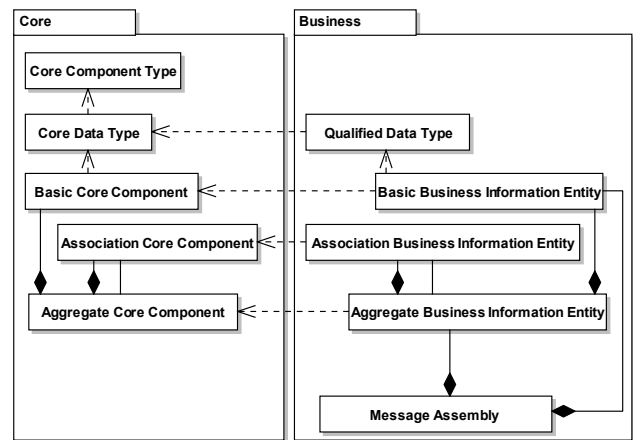


Figure 2: CCTS meta model

*Core components* are standardized by UN/CEFACT and are independent of a specific industry context or business domain. In order to derive a business document solution for a specific business context the business modeler takes a generic *core component* and tailors it to the specific need of a business domain. Hence *core components* serve as the generic basis for industry specific document formats.

If core components are put into a specific business context they become so called *business information entities*. As shown on the right hand side of figure 2 the core components standard differentiates between three different types of *business information entities*: *aggregate business information entities* (ABIE), *basic business information entities* (BBIE) and *association business information entities* (ASBIE). Similar to the concept of *core components* an *aggregate business information entity* forms a self contained block which

consists of several *basic business information entities*. For example a `cargo box` would be an *aggregate business information entity* whereas the different details of the `cargo box` such as `height` or `weight` would be *basic business information entities*. A *basic business information entity* has a certain type - a so called *qualified data type*. A *qualified data type* is based on a *core data type*. Similar to the relationship between a generic *core component* and a business context specific *business information entity*, a business specific *qualified data type* is based on a generic *core data type*.

Using *association business information entities* the modeler builds relationships between different *aggregate business information entities*. An *association business information entity* could for instance relate the two *aggregate business information entities* `cargo box` and `cargo good` in order to indicate the content of the `cargo box`.

The concept of a *message assembly* as shown on the lower right hand side of figure 2 is used to aggregate different *business information entities* together, forming the final business document.

The relationship between the core and the business context is denoted by the four dependencies in figure 2. As already mentioned a *qualified data type* is based on a *core data type*. Likewise a *basic business information entity* is based on a *basic core component* and an *association business information entity* is based on an *association core component*. Finally an *aggregate business information entity* is based on an *aggregate core component*. Since the specific dependencies between *core components* and *business information entities* are rather difficult to conceive on the meta level a simple example will be used in order to elaborate the basic concepts of *core components* and *business information entities*.

### 3.2 A simple core component example

In order to allow for a better understanding of the core components methodology we already use the UML based notation in this section as specified in the UML Profile for Core Components (UN/CEFACT 2006a). In order to give the reader a first impression about core components figure 3 shows a simple core component example. *Aggregate core components* are modeled using UML classes and *basic core components* are shown as attributes thereof. *Association core components* are denoted using compositions between UML classes.

On the left hand side two *aggregate core components* are shown - `invoice` and `line item`. In this example an `invoice` consists of three *basic core components*: an `invoice number`, a `country identifier`, and a `description`. In a real world example the `invoice` would contain more *basic core components* - for presentation purposes however they have been left out as indicated in figure 3. Furthermore an `invoice` has an *association core component* named `item` leading to the *aggregate core component* `line item`. `Line item` in turn also has three *basic core components*: `identifier`, `net price` and `description`. Due to space limitations only three *basic core components* are shown.

The two example core components shown on the left hand side of figure 3 are standardized independently of any business context by UN/CEFACT. These generic *core components* are used to derive industry specific business document formats. In our case an example from the United States tourism industry is used. On the right hand side of figure 3 the business context with two *aggregate business information entities* `US invoice` and `US line item` is shown.

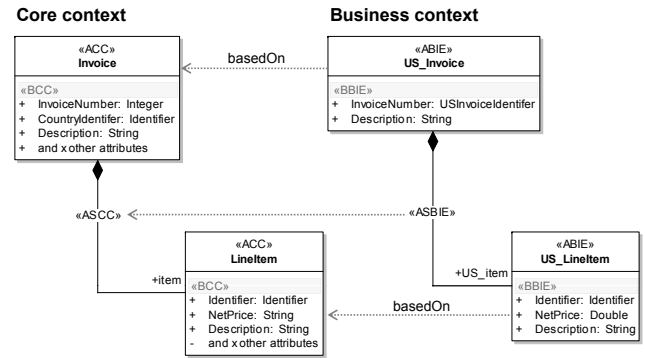


Figure 3: Dependency between core and business context

`US invoice` has two *basic business information entities* namely `invoice number` and `description`. Furthermore it has an *association business information entity* named `US item` connecting the two *aggregate business information entities* `US invoice` and `US line item`. The *aggregate business information entity* `US line item` has three different *basic business information entities*: `identifier`, `net price` and `description`.

The relationship between *core components* and *business information entities* is as follows. If a modeler constructs a business document for a certain business context or industry he first searches the generic core component library for an appropriate document representation of his business case. After having found an appropriate *core component*, the modeler restricts the *core component* to the specific needs of the business domain. Thereby the *core component* becomes a *business information entity*. A *business information entity* is always derived from a *core component* by restriction. Hence, a *business information entity* cannot contain any attributes which are not specified in the underlying *core component*. As shown in figure 3 the *aggregate business information entity* `US invoice` contains only two attributes namely `invoice number` and `description`, because it restricts the generic *aggregate core component* `invoice` to those types needed in the specific business context. The same applies to the *aggregate business information entity* `US line item` and its underlying *aggregate core component* `line item`. This specific relationship between *aggregate core components* and *aggregate business information entities* is denoted by the *basedOn* dependency in figure 3.

Likewise a *basic business information entity* is based on a *basic core component*. No *basedOn* dependencies between *basic business information entities* and *basic core components* are shown in figure 3, since the *aggregate core components* and *aggregate business information entities* containing the *basic core components* and *basic business information entities* are already connected using a *basedOn* dependency. The same *basedOn* relationship applies to *association core components* and *association business information entities* as shown in figure 3.

As business context for the *business information entities* in figure 3 we assume an example from the tourism industry. In order to help to distinguish *core components* from *business information entities* the concept of *qualifiers* is used for *aggregate business information entities* and *association business information entities*. The qualifier used in figure 3 is `us_` indicating a fictional invoice from the United States tourism industry. A qualifier can be chosen arbitrarily by the business document modeler and does not need to comply with any constraints.

*Basic business information entities* and *basic core*

*components* are of a certain type. The *basic core component invoice number* of the *aggregate core component invoice* is of type `Integer`. We refer to data types of *basic core components* as *core data types* (CDT). The *basic business information entity invoice number* of the *aggregate business information entity US invoice* is of type `US invoice identifier`. We refer to data types of *basic business information entities* as *qualified data types* (QDT). However, please note that a basic business information entity can also use a core data type if necessary. The example in section 5 further elaborates this necessity.

As indicated on the left hand side of figure 3 the *basic core component invoice number* of the *aggregate core component invoice* is of type `integer`. However, the *basic business information entity invoice number* of the *aggregate business information entity US invoice* as shown on the right hand side of figure 3 is of type `US invoice number`. Hence, the modeler has the possibility to restrict the data type of a *basic business information entity* to the specific needs of a certain business context. Not shown in figure 3 is the fact, that the modeler can also restrict which *association core components* are becoming *association business information entities*. It follows, that an *aggregate business information entity* does not necessarily has to have all associations like the underlying *aggregate core component*.

This section has given an overview about the fundamental principles of the *core components* standard. Since *core components* are standardized independently of any implementation platform or technology a representation mechanism for *core components* had to be found. The next section will introduce the UML Profile for Core Components.

#### 4 UPCC - A UML Profile for Core Components

Recent years have shown an increasing trend toward the usage of UML in the area of business process modeling and business document modeling. Several tool vendors have developed UML modeling tools supporting the most recent version of the UML meta model (OMG 2007). In order to allow for an easy integration of the core components methodology into such tools, a representation mechanism for *core components* using the UML syntax had to be found.

As indicated in the previous section, *core components* are standardized independent of any business context or specific syntax using regular spreadsheets. The core components technical specification defines its own MOF-like meta model as shown in figure 2. However this MOF-like meta model is entirely independent of the UML meta model. Therefore no unique representation mechanism for *core components* in UML is given. If every modeler defines its own UML representation mechanism the different *core component* models are unlikely to match. Furthermore, the storage and retrieval of *core component* artifacts in a central and public accessible registry is impossible since no commonly agreed representation format for *core components* is available. This represents a strong contradiction to the initial purpose of *core components*: cross-industry alignment and reusability of business documents and business information.

Therefore a unique representation mechanism for *core components* in UML is necessary. The authors of this article, together with other contributors, have submitted a UML representation format for *core components* to UN/CEFACT. Since then this proposal has become known as the UML Profile for Core Components (UPCC) standard (UN/CEFACT 2006a). A

UML profile customizes the UML meta model to the specific needs of a certain application scenario. Using stereotypes, tagged values, and OCL constraints the generic UML meta model is tailored to the specific needs of business document modeling. Figure 4 gives an overview of the different stereotypes used in the UML Profile for Core Components. Since the full names of the different stereotypes are rather long, abbreviations have been used. Stereotypes representing modeling artifacts are presented using a black background. In UPCC modeling artifacts are structured using the concept of packages. In the meta-model these packages are shown with a white background.

The UPCC standard aims at a precise and unambiguous representation of *core components* in UML. Where possible, native concepts of UML have been used to depict *core component* principles. The very basic stereotype is a *primitive type* (PRIM). A PRIM is used to express basic types such as `String`, `Integer` and is very similar to the UML concept of a *type*. The *core component* standard defines six *primitive types* partly overlapping with the types defined in UML. In order to restrict a *primitive type* to a specific set of values an *enumeration* (ENUM) is used. Thereby the modeler can restrict a *primitive type* to a specific set of valid values e.g. ISO 3166 (ISO 2007) for valid country codes. In UPCC an *enumeration* is represented using the UML concept of an *enumeration*.

In contrast to an *enumeration* or a *primitive type* a *core data type* (CDT) can express a more meaningful type. A *core data type* is modeled using classes and consists of multiple attributes. Thereof exactly one attribute is stereotyped as *content component* (CON) and multiple attributes can be stereotyped as *supplementary components* (SUP). The *content component* represents an atomic value and *supplementary components* are used to provide meta information about the *content component*. An example *core data type* might for instance be `measurement`. The *content component* would be the number `12`. Additional *supplementary components* could be `measurement type` (temperature) and `measurement unit` (Fahrenheit). Hence the three basic values are combined in order to form a more complex type - a core data type.

UML requires, that each attribute of a class has a certain type. In case of *content components* and *supplementary components* the valid type is either a *primitive type* (PRIM) or an *enumeration* (ENUM). As already outlined in the introduction to core components an *aggregate core component* (ACC) is modeled using UML classes. The attributes of an *aggregate core components* are stereotyped as *basic core components* (BCC). A *basic core component* attribute has a certain type - a so called *core data type* (CDT). In order to build a hierarchical structure between different *aggregate core components* it is possible to use the concept of a UML composition stereotyped as *association core component* (ASCC). By definition every *association core component* must have a `source` and a `target`.

Analogue to the concept of a *core data type* (CDT) a *qualified data type* (QDT) consists of exactly one *content component* (CON) and multiple *supplementary components* (SUP) which follow the same purpose as a *core data type*. Similar to the concept of *core components* an *aggregate business information entity* (ABIE) is modeled using a UML class. It consists of several attributes which are stereotyped as *basic business information entities* (BBIE). A BBIE attribute has a certain type - a so called *qualified data type* (QDT). In order to build a hierarchy of different *aggregate business information entities* UML compositions stereotyped as *association business information entities* (ASBIE) are used. Again it is required that there is exactly one *aggregate business informa-*

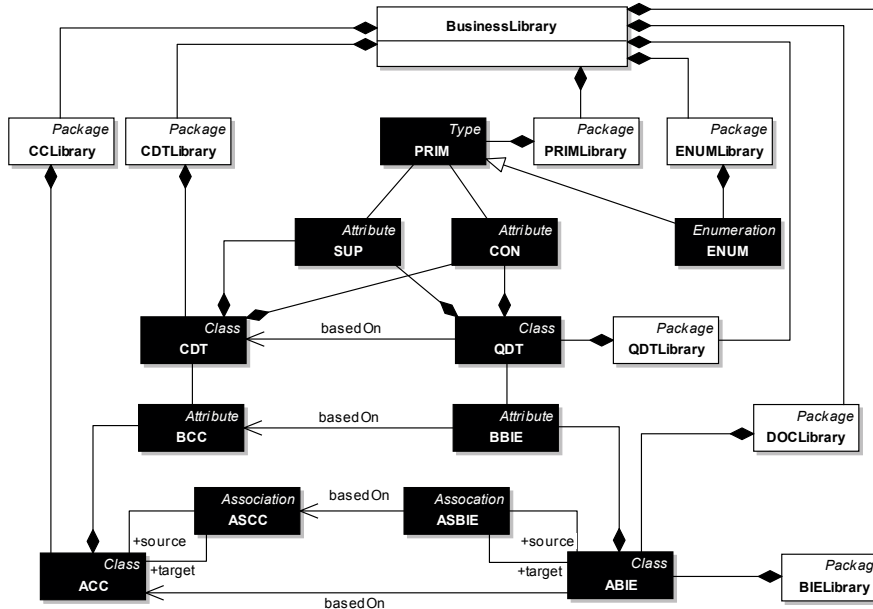


Figure 4: UPCC meta model

tion entity as source and one as target.

The different modeling artifacts are aggregated using packages. Indicated by its name each package aggregates a certain type of artifact or is itself aggregated by another package. Two packages have a particular role: *DOCLibrary* and *BusinessLibrary*. A *DOCLibrary*, shown on the lower right hand side of figure 4, is used to aggregate different *business information entities* forming a self contained business document. Each *DOCLibrary* therefore represents exactly one type of business document.

The different packages are eventually aggregated in the so called *BusinessLibrary*. The business document modeler constructs all necessary business documents of a given business collaboration in the business library which may be integrated in a business process model. The business process model specifies the exact exchange order of the different business documents. However the business process perspective and its methodology are not subject to this article. For an integration of a business document model in a business process model we would like to refer the interested reader to (Hofreiter et al. 2006). Having clarified the different stereotypes of the UML Profile for Core Components the following section will outline a holistic example from the sales domain.

## 5 Core Components by example

In figure 5 the example package structure of a business document model, using the UML Profile for Core Components is shown. The scenario is taken from a purchase order process taking place between a buyer and a seller where the buyer sends a purchase order to the seller. The example used in this article has been created using the UML modeling tool Enterprise Architect (Sparx 2008). The relevant diagrams contained in the different packages in figure 5 are shown in figure 6. Using the numbered dots the packages in figure 5 are connected to the pertaining diagrams in figure 6.

First the modeler searches in the existing *core component* library which is maintained by UN/CEFACT for a *core component order*. The existence of a generic *aggregate core component order* as shown in (A) is assumed. The *aggregate core component order* consists of several *basic core components* and *associa-*

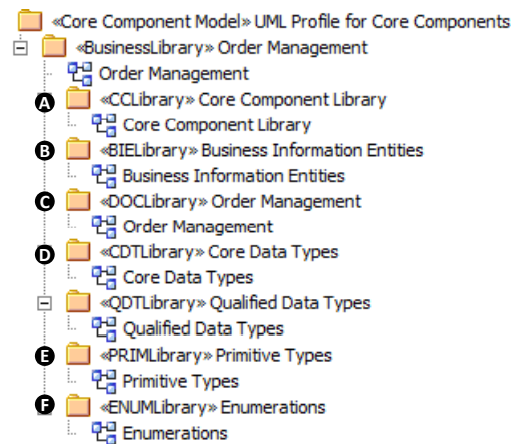


Figure 5: UPCC example package structure

tion core components. For the purchase order scenario not all of the *basic core components* and *association core components* are needed. Hence, the modeler restricts the generic *aggregate core component order* (A) to the business context specific *aggregate business information entity purchase\_order* (B).

As outlined in (B) the *aggregate core component charge* and several *basic core components* from the different *aggregate core components* in (A) have not become part of the final business document model (B). Furthermore qualifiers such as `purchase_order` or `purchaseorder` are used for the *aggregate business information entities* in (B) in order to allow for a better differentiation between core components and business information entities in the overall model.

In order to comply with the specific requirements of a purchase order the modeler derives a *qualified data type purchase order identifier* from the generic *core data type identifier* in (D). Similar to the relationship between a *core component* and a *business information entity* a *qualified data type* is always derived from a *core data type* by restriction.

The *core data type identifier* is used several times in the core component model (A) as indicated by an exemplary dotted line. For the specific needs of the *aggregate business information entity product unit-*



identity the specialized *qualified data type* `purchase_order.identifier` is used instead of the generic type `identifier`. Hence the modeler can restrict the type of a *basic core component* when transferring it to a *basic business information entity*. Please note, that some of the *basic core components* and their types remain unchanged and are simply taken over from the core component model (A) to the business information entity model (B). Where no specialization of a data type is necessary, the *basic business information entities* simply use the *core data type* of the underlying *basic core component*. An *aggregate core component* `address` (A) becomes a `tendering_address` when used in the `purchase_order` context. The *aggregate business information entity* `tendering_address` restricts the generic *aggregate core component* to two *basic business information entities* namely `country_name` and `postcode`. While the type of `postcode` remains a *core data type* and therefore unchanged (`code`), the `country_name` becomes a *qualified data type* in (B) namely `country_code`. The *qualified data type* `country_code` is not shown in figure 6.

*Primitive types* (E) are used to set the type of *supplementary components* and *content components* in *core data types* (CDT) and *qualified data types* (QDT) as shown in (D). The *enumeration* `country_codes` (F) is used to restrict the *supplementary component* `code` of the *qualified data type* `purchase_order.identifier` as shown in (D). Finally the business document is assembled in (C). The business message is a `purchase_order_request_message` which has a `standard_business_document_header` and a regular `header`. Both header elements carry additional meta information about the actual business document `purchase_order_header` and `purchase_order` are connected to the `purchase_order_request_message` using two *association messaging business information entities* (ASMBIE). The concept is the same as the one of an *association business information entity*, only the naming is different when used in the context of a business message.

The *business message type* `purchase_order_request_message` as well as the `header` and `standard_business_document_header` as shown in (C) in figure 6 are forming the embracing part of the actual business document. The actual payload of the `purchase_order_request_message` is the *aggregate business information entity* `purchase_order` and all its relating aggregate business information entities as shown in (B) in figure 6. The next section will introduce the usage of naming and design rules in order to uniquely derive XML schema artifacts from a core component model.

## 6 Deriving XML artifacts from Core Components

The previous sections introduced the core components methodology and the UML profile for core components. Using the core components methodology, the modeler can define a business document on a conceptual level in a unique and semantically precise manner. For the exchange of business documents between companies and B2B systems, however, a logical level representation of business documents is needed. This section will outline how the conceptual core component model can be used to derive XML schema artifacts. These XML artifacts form the logical level business document model to which every document instance exchanged between two B2B systems must conform to.

In order to allow for a unique representation of core components in XML, UN/CEFACT suggests the use of so called Naming and Design Rules (NDR) (UN/CEFACT 2006c). Along with each new release of the Core Components Technical Specification and

its UML Profile, UN/CEFACT delivers pertaining Naming and Design Rules.

Since a real world core component example can easily become extensive and complex a manual transformation of core components represented in UML to the appropriate XML schema artifacts is not efficient. In order to overcome the limitations of a manual transformation we have built an XML schema generator. The XML schema generator is part of a larger set of tools, supporting the modeler in inter-organizational business process and business data modeling, known as the UMM Add-In (RSA 2007). As already outlined in figure 5 a core component model is defined using stereotyped packages which follow a rigid structure. Using the UMM Add-In the user simply clicks on a package and initiates the transformation of core components to the appropriate XML schema representation. The XML schema generator automatically detects dependencies in the core component model and generates additional XML schema files, containing data type definitions, core component definitions etc.

Listing 1 shows the XML schema representation of the example model shown in (B) in figure 6. As outlined by the dotted arrow from (B) to (C) in figure 6 this code is attached to the final `purchase_order_request_message` in (C). The XML schema generator iterates over every *aggregate business information entity* in (B) and constructs a `complexType` with a `sequence` for each. The six complex types are shown in line 5, 14, 22, 30, 37 and 43 in listing 1. The root element of the business document is shown in line 4.

For each *basic business information entity* an element is created in the `sequence` of the embracing *aggregate business information entity's* `complexType`. Since every *basic business information entity* has a certain type (either *core data type* or *qualified data type*) the necessary `complexType`s have to be referenced. As shown in figure 6 the *qualified data types* and *core data types* are defined in a separate library to the *business information entity library*. The generator automatically detects these dependencies, creates the necessary auxiliary schemes, and imports them into the final schema. In listing 1 the *core data type library* is imported in line 2 and the *qualified data type library* is imported in 3.

For each *association business information entity* an element in the `complexType's` `sequence` of the *aggregate business information entity* is created as well. As outlined in figure 6 the *aggregate business information entity* `purchase_order` has two *association business information entities* namely `ship_from` (`tendering_address`) and `product` (`purchase_order_line_item`). As shown in line 10 and 11 in listing 1 or each *association business information entity* the correct `complexType` is set.

Since the final *business information entity* schema uses *core data types* and *qualified data types*, auxiliary schema files have to be created for each data type library. Listing 2 shows a cut-out from the *core data type library* imported in line 2 in listing 1. As outlined in the introduction to the UML profile for core components every *core data type* and every *qualified data type* consists of exactly one *content component* and multiple *supplementary components*. As shown in listing 2 the XML schema generator maps the *content component* to an `extension` (line 53) and the *supplementary components* to `attributes` (line 54 to 56) for the *core data type* `code` type. The *core data type schema* is imported into the final *business information entity* schema as shown in listing 1 and its data types are used for several *basic business information entities* (line 27 and line 46 in listing 1). The specific data type of a *content component* or a *supplementary component* can either be a *primitive type* or an

enumeration.

Listing 1: Purchase\_Order XML schema

```

1 <xs:schema xmlns:cdt="sample:cdtlibrary" xmlns:bie="
  sample:bielibrary" xmlns:qdt="sample:qdtlibrary"
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  targetNamespace="sample:bielibrary"
  elementFormDefault="qualified"
  attributeFormDefault="unqualified" version="
  notSpecified">
2 <xs:import namespace="sample:cdtlibrary" schemaLocation
  ="CDTLibrary_3.0.xsd"/>
3 <xs:import namespace="sample:qdtlibrary" schemaLocation
  ="QDTLibrary_3.0.xsd"/>
4 <xs:element name="Purchase_Order" type="
  bie:Purchase_OrderType"/>
5 <xs:complexType name="Purchase_OrderType">
6 <xs:sequence>
7 <xs:element name="Cancelled" type="cdt:IndicatorType"
  minOccurs="0"/>
8 <xs:element name="Comment" type="cdt:TextType"
  minOccurs="0"/>
9 <xs:element name="Identification" type="
  cdt:IdentifierType"/>
10 <xs:element name="ProductPurchaseOrder_Line_Item"
  type="bie:PurchaseOrder_Line_ItemType" minOccurs
  ="0" maxOccurs="unbounded"/>
11 <xs:element name="ShipFromTendering_Address" type="
  bie:Tendering_AddressType"/>
12 </xs:sequence>
13 </xs:complexType>
14 <xs:complexType name="PurchaseOrder_Line_ItemType">
15 <xs:sequence>
16 <xs:element name="ExtendedTrade_Price" type="
  bie:Trade_PriceType" minOccurs="0"/>
17 <xs:element name="Identification" type="
  cdt:IdentifierType" minOccurs="0"/>
18 <xs:element name="SpecifiedBilled_Delivery" type="
  bie:Billed_DeliveryType" minOccurs="0"/>
19 <xs:element name="SuppliedProduct_Unit_Identity" type
  ="bie:Product_Unit_IdentityType" minOccurs="0"
  maxOccurs="unbounded"/>
20 </xs:sequence>
21 </xs:complexType>
22 <xs:complexType name="Trade_PriceType">
23 <xs:sequence>
24 <xs:element name="Basis" type="cdt:QuantityType"
  minOccurs="0"/>
25 <xs:element name="Charge" type="cdt:AmountType"/>
26 <xs:element name="Net_Price" type="cdt:IndicatorType"
  minOccurs="0"/>
27 <xs:element name="Type" type="cdt:CodeType" minOccurs
  ="0"/>
28 </xs:sequence>
29 </xs:complexType>
30 <xs:complexType name="Billed_DeliveryType">
31 <xs:sequence>
32 <xs:element name="Billed" type="cdt:QuantityType"
  minOccurs="0"/>
33 <xs:element name="Delivered" type="cdt:DateTimeType"
  minOccurs="0"/>
34 <xs:element name="Despatched" type="cdt:DateTimeType"
  minOccurs="0"/>
35 </xs:sequence>
36 </xs:complexType>
37 <xs:complexType name="Product_Unit_IdentityType">
38 <xs:sequence>
39 <xs:element name="ManufacturerAssignedID" type="
  qdt:PurchaseOrder_IdentifierType" minOccurs="0"/>
40 <xs:element name="SupplierAssignedID" type="
  qdt:PurchaseOrder_IdentifierType" minOccurs="0"/>
41 </xs:sequence>
42 </xs:complexType>
43 <xs:complexType name="Tendering_AddressType">
44 <xs:sequence>
45 <xs:element name="Country_Name" type="
  qdt:CountryCodeType" minOccurs="0"/>
46 <xs:element name="Postcode" type="cdt:CodeType"
  minOccurs="0"/>
47 </xs:sequence>
48 </xs:complexType>
49 </xs:schema>

```

Listing 2: Core Data Type Schema

```

50 <xs:schema xmlns:udt="sample:cdtlibrary" xmlns:xs="http:
  //www.w3.org/2001/XMLSchema" targetNamespace="
  sample:cdtlibrary" elementFormDefault="qualified"
  attributeFormDefault="unqualified" version="
  notSpecified">
51 <xs:complexType name="CodeType">
52 <xs:simpleContent>
53 <xs:extension base="xs:string">
54 <xs:attribute name="
  ListAgencyIdentifier"
  type="xs:string"
  use="optional"/>
55 <xs:attribute name="
  ListVersionIdentifier"
  type="xs:string"
  use="optional"/>
56 <xs:attribute name="
  ListIdentifier"
  type="xs:string"
  use="optional"/>
57 </xs:extension>
58 </xs:simpleContent>
59 </xs:complexType>
60 [...]
61 </xs:schema>

```

In listing 2 both, the *content component* and the *supplementary components*, used the *primitive type string*. In case a *primitive type* is set, the XML generator uses the built-in data type of the XML schema specification (W3C 2001). Sometimes the definition

of a *primitive type* is too weak e.g. in case the modeler wants to restrict the value of a *supplementary* or a *content component* to a specific set of values. In this case the concept of a so called *enumeration* is used. Listing 3 shows the XML representation of the *enumeration* shown in (F) in figure 6. In listing 3 the XML generator creates a *simpleType* for each *enumeration* (line 63) and uses the concept of a *restriction* (line 64) to define a set of valid values (line 65-67).

Listing 3: Enumeration Schema

```

62 <xs:schema xmlns:qdt="sample:qdtlibrary" xmlns:enum="
  sample:enumlibrary" xmlns:ccts="
  urn:un:unc:unefact:documentation:standard:CCTS:2
  " xmlns:xs="http://www.w3.org/2001/XMLSchema"
  targetNamespace="sample:enumlibrary"
  elementFormDefault="qualified" attributeFormDefault
  ="unqualified" version="notSpecified">
63 <xs:simpleType name="CountryCodesType">
64 <xs:restriction base="xs:token">
65 <xs:enumeration value="BS"/>
66 <xs:enumeration value="BH"/>
67 <xs:enumeration value="BD"/>
68 </xs:restriction>
69 </xs:simpleType>
70 [...]
71 </xs:schema>

```

*Qualified data types* are used to further restrict a *core data type* to the specific needs of a certain industry or business domain. Since *basic business information entities* can either have a *core data type* or a *qualified data type* as designated type, an auxiliary schema for *qualified data types* has to be created as well. Listing 4 shows a cut-out from the *qualified data type* schema which is imported in the final business document model in line 3 in listing 1.

As mentioned before *supplementary components* and *content components* can be restricted using the concept of enumerations. Line 74 in listing 4 shows how a *qualified data type* is restricted to a set of valid values. The *complexType* is restricted using the concept of a *simpleContent* which is based on an *enumeration* (line 76 in listing 4). The necessary enumeration is automatically detected by the XML schema generator and imported into the *qualified data type* schema (line 73 in listing 4).

In (D) in figure 6 the derivation of a *qualified data type* (purchase order.identifier) from a generic *core data type* (identifier) has been shown. The XML generator automatically detects the necessary dependencies and generates a *complexType* for each *qualified data type*. The *complexType* for the *qualified data type* purchase order.identifier type is shown in line 79 to 86 in listing 4. In listing 4 the content component of the qualified data type is depicted using an extension (line 81) and the supplementary components are specified using attributes (line 82-83).

Line 83 shows how the generic code attribute is restricted to a set of country codes.

Listing 4: Qualified Data Type Schema

```

72 <xs:schema xmlns:qdt="sample:qdtlibrary" xmlns:enum="
  sample:enumlibrary" xmlns:xs="http://www.w3.org
  /2001/XMLSchema" targetNamespace="sample:qdtlibrary"
  elementFormDefault="qualified"
  attributeFormDefault="unqualified" version="
  notSpecified">
73 <xs:import namespace="sample:enumlibrary"
  schemaLocation="ENUMLibrary_3.0.xsd"/>
74 <xs:complexType name="CountryCodeType">
75 <xs:simpleContent>
76 <xs:extension base="
  enum:CountryCodesType"/>
77 </xs:simpleContent>
78 </xs:complexType>
79 <xs:complexType name="
  PurchaseOrder_IdentifierType">
80 <xs:simpleContent>
81 <xs:extension base="xs:string">
82 <xs:attribute name="
  SchemeIdentifier"
  type="xs:string"
  use="optional"/>
83 <xs:attribute name="Code"
  type="
  enum:CountryCodesType"
  use="required"/>
84 </xs:extension>
85 </xs:simpleContent>
86 </xs:complexType>
87 [...]
88 </xs:schema>

```

The XML artifacts for a core component library are constructed similarly to a business information entity library. Due to space limitations however these generation artifacts are not shown in this article. This section has shown how the XML schema generator can be used to automatically generate a 1:1 representation of the conceptual level core component model in logical level XML schema syntax.

## 7 Conclusion and Future Trends

In this article we presented UN/CEFACT's core components technology. Using the concept of core components business documents can be defined on a conceptual and syntax independent level. In order to allow for an integration of the core components technology into a UML modeling tool, the UML Profile for Core Components has been developed. Using the UML profile the modeler can retrieve existing generic core components from a standardized library. The generic core components are further restricted in order to create industry and context specific business information entities.

We introduced our tool based XML generator which follows the guidelines specified in the Naming and Design Rules of UN/CEFACT. Using a single mouse click the XML generator automatically iterates over a complete core component model and generates XML schema files. The schema files are used to validate the exchanged business documents in an actual B2B collaboration. Furthermore they are needed for the definition of entry/exit points in a service oriented architecture e.g. the generated schema is imported into a WSDL file. If both B2B partners have the same business document definitions the entry/exit points of both business partners match.

The contribution of our approach in regard to the stated shortcomings of current business document modeling approaches is therefore as follows:

(1) *Standard incompatibilities.* Since core components define a business document on a conceptual level and not on the logical level (e.g. XML schema file) there cannot be any inconsistencies in regard to the representation of a specific business document. This is a major advantage over standards based on pure implementation logic (e.g. XML).

(2) *All-in-one approach.* Similar to EDI approaches UN/CEFACT defines a set of normative core components which are defined for a whole industry domain e.g. steel industry. Due to the derivation by restriction mechanism of core components no overhead occurs in a well defined business context. The generic industry specific core component is tailored to a business information entity for a given business domain. Since every business information entity has a *basedOn* dependency to its underlying generic core component the common semantic basis for every business information entity is given, hence allowing a matching even between business information entities from different business contexts.

(3) *Lack of conceptual document description.*

Core components are defined on a conceptual meta level, independent of any transfer syntax. With every release of the core components standard UN/CEFACT releases a set of well defined Naming and Design rules, allowing the mapping to a logical level implementation of core components. In case of a change in the transfer syntax only the mapping rules have to be altered instead of a complete standard re-engineering.

Furthermore the UML profile for Core Components can be used to easily assemble business documents using UML artifacts. Such models can be handed over to other business modelers, software de-

velopers and stakeholders in order to communicate the structure and semantics of specific business documents. Using such a conceptual business document representation greatly facilitates and enhances a software implementation process through increased legibility and apprehension.

Although the current implementation of the UML Profile for Core Components together with the XML generator provides a solid basis for business document modeling and schema artifact generation, several tasks are planned for the future. On the one hand the current UML Profile for Core Components (UPCC) is based on the Core Component Technical Specification (CCTS) version 2.01 (UN/CEFACT 2003). Since CCTS 3.0 will be released this year, the UML profile has to be updated to meet the requirements of the new core component version. Every core component release also includes updated Naming and Design Rules. Therefore the XML schema generator has to be updated accordingly.

In order to further foster the dissemination of the core component technology the usability of the UML Profile for Core Components must be enhanced. A first step allowing inexperienced users to use the core components technology is the implementation of a validation routine for the core component's UML profile.

Since the core component model of a business document is independent of any implementation syntax the derivation of other artifacts than XML schema could be possible as well. Following modified Naming and Design Rules the core component model may be used to derive Relax NG (OASIS 2001a), UBL (OASIS 2006) or EDIFACT (UN/CEFACT 2007) artifacts as well.

## References

- ACORD (2007), *ACORD Insurance Data Standards*.
- Berge, J. (1994), *The EDIFACT Standards*, 2 edn, Blackwell Publishers, Cambridge, MA, USA.
- Bernauer, M., Kappel, G. & Kramler, G. (2003), Approaches to implementing active semantics with XML schema, in 'Proceedings of the 14th International Workshop on Database and Expert Systems Applications DEXA03, Prague, Czech Republic, September 1-5', Springer, Berlin, pp. 559-565.
- Chen, P. P.-S. (1976), 'The Entity Relationship Model: Towards a unified view of data', *ACM Transactions on Database Systems* 1(1), 9-36.
- CIDX (2007), *Chemical Industry Data Exchange Standard*.
- Combi, C. & Oliboni, B. (2006), Conceptual modeling of XML data, in 'Proceedings of the ACM symposium on applied computing SAC06, Dijon, France, April 23-27', ACM, USA, pp. 467-473.
- Glushko, R. & McGrath, T. (2005), *Document Engineering*, 2 edn, Massachusetts Institute of Technology, USA.
- HL7 (2007), *Health Level Seven*.
- Hofreiter, B., Huemer, C., Liegl, P., Schuster, R. & Zapletal, M. (2006), UN/CEFACT's Modeling Methodology (UMM): A UML Profile for B2B e-Commerce, in 'Advances in Conceptual Modeling - Theory and Practice, ER 2006 Workshops BP-UML, Tucson, United States, November 6-9', Springer, Berlin, pp. 19-31.

- ISO (2007), *ISO 3166 List of country names and code elements*.
- Jung, J.-Y., Hur, W., Kang, S.-H. & Kim, H. (2004), 'Business process choreography for B2B collaboration', *IEEE Internet Computing Journal* 8, 37–45.
- Li, H. (2000), 'XML and Industrial Standards for Electronic Commerce', *Knowledge and Information Systems* 2(4), 487–497.
- Li, J. B. & Miller, J. (2005), Testing the semantics of W3C XML schema, in 'Proceedings of the 29th Annual International Computer Software and Applications Conference COMPSAC2006, Edinburgh, U.K., July 26-28', IEEE, USA, pp. 443–448.
- Malik, A. (2003), 'XML Schemas in an Object Oriented Framework', *XML Journal*.  
**URL:** <http://xml.sys-con.com/read/40580.htm>
- Mani, M., Lee, D. & Muntz, R. R. (2001), Semantic Data Modeling Using XML Schemas, in 'Proceedings of the 20th International Conference on Conceptual Modeling ER 2001, Yokohama, Japan, November 27-30', Vol. 2224, Springer, Berlin, pp. 149–163.
- OASIS (2001a), *RELAX NG Specification*, Organization for the Advancement of Structured Information Standards.
- OASIS (2006), *Universal Business Language v2.0*, Organization for the Advancement of Structured Information Standards.
- OASIS (2007), *Universal Description, Discovery, and Integration*, Organization for the Advancement of Structured Information Standards.
- OASIS, U. (2001b), *ebXML - Technical Architecture Specification*, Organization for the Advancement of Structured Information Standards, United Nations Center for Trade Facilitation and Electronic Business.
- OMG (2007), *Unified Modeling Language 2.1*, Object Management Group.
- papiNet (2007), *papiNet*.
- PIDX (2007), *Petroleum Industry Data Exchange*.
- Rinderle, S., Wombacher, A. & Reichert, M. (2006), On the Controlled Evolution of Process Choreographies, in 'Proceedings of the 22nd International Conference on Data Engineering ICDE06, Atlanta, Georgia, April 3-8', IEEE, USA, pp. 124–124.
- RosettaNet (2006), *RosettaNet Business Documents*.
- RSA (2007), *The UMM Add-In 1.0*, Research Studios Austria.  
**URL:** <http://ummmaddin.researchstudio.at>
- Salim, F., Price, R., Krishnaswamy, S. & Indrawan, M. (2004), UML Documentation Support for XML Schema, in 'Proceedings of the Australian Software Engineering Conference ASWEC2004, Melbourne, Australia, April 13-16', Vol. 2, Australia, pp. 211–220.
- Skogan, D. (1999), UML - A Schema Language for XML based Data Interchange, in 'Proceedings of the Second International Conference on the Unified Modeling Language UML99, Colorado, USA, October 28-30', Vol. 2, USA, pp. 211–220.
- Sparx (2008), *Enterprise Architect*, Sparx Systems.
- SWIFT (2007), *Society for Worldwide Interbank Financial Telecommunication*.
- UN/CEFACT (2003), *Core Components Technical Specification 2.01*, United Nations Center for Trade Facilitation and Electronic Business.
- UN/CEFACT (2006a), *UML Profile for Core Components 1.0*, United Nations Center for Trade Facilitation and Electronic Business.
- UN/CEFACT (2006b), *UN/CEFACT's Modeling Methodology 1.0*, United Nations Center for Trade Facilitation and Electronic Business.
- UN/CEFACT (2006c), *XML Naming and Design Rules 2.0*, United Nations Center for Trade Facilitation and Electronic Business.
- UN/CEFACT (2007), *UN/EDIFACT D.07B*, United Nations Center for Trade Facilitation and Electronic Business.
- UN/CEFACT (2008), *Core Components Technical Specification 3.0*, United Nations Center for Trade Facilitation and Electronic Business.
- W3C (2001), *XML Schema Language*, World Wide Web Consortium.
- W3C (2006), *Extensible Markup Language*, World Wide Web Consortium.
- W3C (2007a), *Simple Object Access Protocol*, World Wide Web Consortium.
- W3C (2007b), *Web Services Description Language*, World Wide Web Consortium.
- Yu, A. & Steele, R. (2005), An overview of research on reverse engineering XML schemas into UML diagrams, in 'Proceedings of the Third International Conference on Information Technology and Applications ICITA 2005, Sydney, Australia, July 4-7', Vol. 2, Australia, pp. 772–777.

