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1 About this document

This user guideline describes how to define and apply restrictions and extensions to code lists in UN/EDIFACT messages as well as UN/CEFACT XML messages. In addition, it describes example processes for validating those messages. The process could be done in one-phase, for which message structure and value constraints are validated simultaneously (so-called ‘coupled’) or in two-phases, for which these constraints are validated separately (so-called ‘decoupled’).

Parts in this document are excerpts from the XML Naming and Design Rules (UN/CEFACT XML NDR Rules 2.1), UN/EDIFACT Syntax Implementation Guidelines and OASIS Genericode/CVA. They give guidance on how to apply these rules in a real-life environment. The latest version of the UN/CEFACT XML NDR Rules, version 2.1.1, allows decoupling of selective or all qualified data types from a set of value enumerations.

1.1 Executive summary

Codes are an essential component of any Machine-To-Machine information flow. Codes have been developed over time to facilitate the flow of compressed, standardized values that can be easily validated for correctness to ensure consistent semantics. In a real-life environment, there exist external circumstances (business needs, laws) that require the extending or restricting (sub-setting) of standardized code lists in UN/EDIFACT or UN/CEFACT XML messages. Many international, national and sectoral agencies create and maintain code lists relevant to their area. If required to be used within an information flow, these code lists will be stored in their own environment and referred to as external code lists. Although the standardization procedures define how extensions can be realized by starting a Data Maintenance Request (DMR) there may be time constraints that solutions need to be found for the time until the final update of the standardized code lists are published.

The UN/CEFACT Code Management project defines the procedures, rules and methodologies for the following identified issues.

1. Version compatibility
The ability to use any version of a code list in association with any version of a message, i.e. decoupling the versioning of code lists from the business message versions.

2. Extending code lists
Evaluate if permanent extensions are possible and desirable.

3. Restricting code lists
Provide rules and methodology for restricting code lists for use within specific context. Users of the UN/CEFACT libraries may identify any sub-set they wish from a specific code list for their own community requirements.

4. Code list validation rules
Provide rules and methodology for how to validate instance documents against an XML Schema or UN/EDIFACT message type in respect to code lists.

5. Temporary codes
Provide rules and methodology for the inclusion of temporary codes that will be replaced by a permanent code at the next UN/CEFACT standardized release, in essence a temporary extension.
6. Externally maintained code lists
Define rules and procedures for referencing code lists maintained by organizations external to UN/CEFACT, e.g. ISO, ICC, W3C, UNECE.

7. Publication format for code lists
A standard exchange format for code lists.

1.2 Status of this document
This document has been developed in accordance with the UN/CEFACT/TRADE/22 Open Development Process for Guidelines and approved for publication by the UN/CEFACT Bureau.

1.3 Revision history

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2 Project Team

2.1 Disclaimer

The views and specification expressed in this document are those of the authors and are not necessarily those of their employers. The authors and their employers specifically disclaim responsibility for any problems arising from correct or incorrect implementation or use of this technical specification.

2.2 Project Team Participants

Project Team Lead:
Rolf Wessel

Lead editor:
Gerhard Heemskerk

Editing Team:
Akio Suzuki
Andreas Pelekies
Eric Cohen
Tayfun Mermer
Mary Kay Blantz
Sue Probert
Niki Dieckmann
Frans van Diepen
Gait Boxman
G. Ken Holman
Lance Thompson
Jörg Walther
3 Introduction

The main audiences for this document are primarily:
- Corporate Chief Technology Officers - Government
- Corporate Chief Technology Officers – Private Sector
- UN/CEFACT Bureau and Vice Chair persons

3.1 Structure of this document

- Chapter: 4 User Requirements
- Chapter: 5 Using code lists in a real-life environment
- Chapter: 6 Annex - Validating UN/EDIFACT document instances
- Chapter: 7 Annex - Validating UN/CEFACT XML document instances
- Chapter: 8 Annex - Publication Format Code Lists
- Chapter: 9 Definition of terms

3.2 Related Documents

- UN/EDIFACT Directory, Part 4 United Nations Rules for Electronic Data Interchange for Administration, Commerce and Transport, Chapter 2.3 - UN/EDIFACT Syntax Implementation Guidelines.
- UN/CEFACT XML Naming and Design Rules for CCTS 2.01 Version 2.1.1.
- ISO 20625 EDIFACT - Rules for generation of XML scheme files (XSD) on the basis of EDIFACT implementation guidelines
- Schematron ISO/IEC 19757-3
- OASIS Context/value association using Genericode 1.0
- OASIS Genericode 1.0

3.3 Purpose and scope

The business goals of this document are:
- To summarize the steps for creating and/or using extended, restricted, user-defined (permanent or temporary) code lists and code lists published by other organizations in a real-life environment.
- To give guidance for validating electronic documents (electronic business messages) where the steps above are applied.
4 User requirements

The essence of all user requirements is flexibility to handle external circumstances (urgent business needs, laws) that require the extension, restriction of standardized code lists and/or user-defined code values (permanent or temporary).

The requirements gathering phase of the Code Management Project has provided below list:
- Using own code lists
- Referring to the code list version actually used
- Extending code lists (extension)
- Restricting code lists (restriction)
- Combining code lists (union)
- Choosing code lists (choice)
- Allowing temporary codes
- Validating code constraints of above requirements
- Using internationally harmonized code lists (UN/CEFACT and others)
- Maintaining code lists in an easy manner
- Obtaining code lists from a standardized publication format

4.1 The challenge of Interoperability

Interoperability is looking at how disparate systems understand each other. In this respect, it is about receiving code values and behaving as expected. Code values take an important role in the exchange of transaction data between trading partners. For example, in the case of a Purchase Order, the receiving system understands the message so that it is now able to read the Order and start or continue the process at this stage in the Supply Chain.

The challenge is that most implementations are separate and different and no one major player is able to force alignment globally. Typically, misinterpretations occur both before and after implementations. User-defined code values are often misinterpreted because the use is not documented properly and therefore systems cannot process these values. The other challenge is that not everyone needs to implement all standardized code lists and/or code values specified in the standard as it may not be applicable to them.

4.2 The challenge of Conformance

Conformance is measuring how a document instance makes use of a given standard or specification. Compliant means that some features in the standard specification are not implemented, but all features implemented are covered by the specification, and in accordance with it.

![Figure 1: Compliant](image)

4.2.1 Conformance and UN/EDIFACT

In the case of UN/EDIFACT messages there is no technical link between the published message structure and codes used by it. The message structure and codes values used by a community are specified or referenced within the community Message Implementation Guide (MIG). In practice user communities often want to be compliant with a published
United Nations Standard Message (UNSM) whilst referring to any version of code lists, restricted, extended or user-defined code lists (permanent or temporary). To be compliant, the community message standard must be directly derived from an approved UNSM and having the same function. Therefore, a UN/EDIFACT document instance is commonly only conformant with a community MIG.

4.2.2 Conformance and UN/CEFACT XML

In the case of UN/CEFACT XML messages there is a technical link between the published message structure and codes used by it. Using other code values in a XML document instance than published for the data elements of the message will make the document non-conformant, unless ‘decoupling’ has been applied to the message standard (as described within the UN/CEFACT NDR Rules). The term “decoupling” used in this document refers to decoupling selective or all qualified data types from a set of value enumerations (in other words separating codes from the message).

4.2.3 Validation methods

This document provides example validation methods¹ to check whether a document instance conforms or complies to a published UN message standard. The validation of tools is out of scope of this document and so it is assumed some sort of testing will be carried out, which can help trading partners to understand and also verify they are conformant or compliant with the standard or specification.

It is, though, important that users will give a true reflection of the actual level of conformance. Therefore, the conformance statements made by each party should be able to express this in an unambiguous way.

- UN/EDIFACT document instance using code values specified or referred within the MIG is compliant with a published and approved UNSM in case the UN/CEFACT document instance is generate as a UNSM subset, as described in the UN/EDIFACT Message Design Guidelines. The document instance is conformant with a published and approved UNSM in case of pure UNSM, even if non-UN code lists or code values are specified within the MIG.

- UN/CEFACT XML document instance using the published code values of the message standard is conformant. It will be non-conformant in case it uses other code values than published for the message standard, unless ‘decoupling’ of code list enumerations (code values) has been applied, as described within the UN/CEFACT XML NDR Rules. Decoupling implies a two-phase validation process as it separates the checking of message structure constraints and code value constraints.

Note:
A two-phase validation process consists of checking the well-formedness of an XML instance document and the message structure constraints. These checks are done at the same time (first phase). In addition, the value constraints, including code lists, will be checked within this process (second phase).

¹ See annexes
5 Using code lists in a real-life environment

5.1 Introduction

Codes (or enumerated values) are an integral component of any business-to-business information flow. Not only should they be understood by humans but also, they should be fully validated. International standardized codes are harmonized and unambiguous in order to enforce global trade. International standards organizations, but also many international, national and sectoral agencies create code lists. The meaning of a code is essential, and its metadata must be available for the code itself and for the list in which it is adopted. Only then a code could be fully validated for correctness to ensure consistent data. When used within an information flow, these code lists will be explicitly referred to.

5.2 Extended, restricted, user-defined and other organizations code lists

Users of the UN/CEFACT library may identify any sub-set (restriction) or superset (extension) they wish from a specific code list for their own user community requirements by defining code lists. These specific code lists could be based on standardized or user-defined code lists (permanent or temporary). Each type of code list can easily be accommodated with the solutions described in the next chapters.

Note:
The term ‘code lists’, used in this document applies to code lists and identifier lists.
6 Annex - Validating UN/EDIFACT document instances

6.1 Introduction
UNSMs are structured in such a way that they can be used by companies, governmental agencies and/or other organizations in many different industries. For most industries, a subset of the UNSM has been created because of the restrictive use of the message structure.

Users must bear in mind that to comply with the spirit of sub-sets, any sub-set must always be more restrictive than its parent UNSM. Though validation of restricted, extended, user-defined and other organizations code lists or code values is done against the ones specified within the MIG.

For UN/EDIFACT message implementations five possible scenarios are clearly defined in respect to code lists.

6.2 Restricted code lists
In order to identify the restricted UNSM code list(s), the user community concerned should consider:
- specifying or referring to the restricted code lists or codes values within the MIG.
- referring to above in a Trading Partner Agreement.

6.3 Extended code lists
Since the standards maintenance time-scales may delay the implementation of the required modifications to the UNSM and the code lists repository for some time, users may wish to implement the needed code list(s) and/or code values immediately so that the message can be used in their application.

In order to identify the extended code lists during the interim period, the user community concerned should consider:
- specifying or referring to the extended code lists or code values within the MIG.
- including an appropriate code in element ‘1131 Code Lists Identification Code’ and/or ‘3055 Code List Responsible Agency’ (if available), in order to identify the code list properly.
- referring to above in a Trading Partner Agreement.

Note on the use of 1131/3055:
This implies such extension is being expressed per individual code list appearing in such message, combined with the more global indication on the message basis. Whenever data element 3055 is used, data element 1131 is mandatory.

6.4 Choosing or combining code lists
Users may want to choose another code list for an element than published by UN/CEFACT or they even want to combine values from different code lists (example: UNCL Transport Means Type code list and the Transport Means Type code list of UN/CEFACT recommendation 28). Most common is choosing another code list than the published one or creating a user-defined code list for the applicable element. The user community concerned should consider:

---

2 To provide a unique identification for any particular sub-set of a UNSM, users may wish to assign a code for use in the ‘Association assigned code’ field of the UNH and/or UNG segments.
3 See ANNEX A (Informative) Usage of data elements 1131/3055 of the UN/EDIFACT Message Design Guidelines
- specifying or referring to the applicable code list or combined code lists within the
  MIG. Combined code values from different code lists can be regarded as a user-
  defined code list (see next paragraph).
- including an appropriate code in element ‘1131 Code Lists Identification Code’
  and/or ‘3055 Code List Responsible Agency’ (if available), in order to identify the
  code list properly.
- referring to above in a Trading Partner Agreement.

Note on the use of 1131/3055:
This implies such choice or combination is being expressed per individual code list
appearing in such message, combined with the more global indication on the message
basis. Whenever data element 3055 is used, data element 1131 is mandatory.

In practice, a combination of code values from different code lists will be stored as a user-
defined code list and referred to within the MIG. As an alternative EDIFACT document
instances and code list could be converted to XML where ‘unions’ could be created by the
validation process.

6.5 User-defined code lists (permanent or temporary)

User-defined code lists (permanent or temporary) are not uncommon. They often exist in
specific industries. If needed, users could create such code lists and specify the code list for
the applicable element in the MIG. These code lists should be identified as described in
previous paragraph 6.4.

6.6 Code lists published by other organizations

For referencing code lists maintained by organizations external to UN/CEFACT, e.g. ICC,
W3C, CODEX, CITES etcetera the same principle as described for user-defined code lists
could be applied.

6.7 Validating document instances

During the decades of implementing EDIFACT messages many software tools were created
for validating the document instances..

For users, the below options are available for validating EDIFACT files:
- Traditional in-house validation.
- Software tools provided validation techniques.
- ISO 20625: Converting EDIFACT document instances to XML document instances.
  By applying this transformation standard validation tools for XML validation can be
  applied.

For users which have XML parsers in use, the application of ISO 20625 will ease the
processing of these documents. The validation of code values might by done by the software
tool, using XSLT or by the inhouse application.
7 Annex - Validating UN/CEFACT XML document instances

7.1 Introduction

UN/CEFACT XML messages are structured in such a way that they can be used by companies, governmental agencies and/or other organizations in many different industries. The user requirements regarding code management (see chapter 4), can all be fulfilled when for these UN/CEFACT XML messages ‘decoupling’ has been applied. The present published versions of UN/CEFACT XML message standards validates the messages structure and code values of a document instance simultaneously. Decoupling separates code value validation from message structure validation.

The latest UN/CEFACT XML NDR version allows flexible use of code values, code lists and identifier lists by allowing ‘decoupling’ of code values.

This chapter highlights the example methodologies that could be applied for restricted, extended, user-defined (permanent or temporary) code lists and other organizations code lists or code values.

Users of a ‘coupled’ version of the message standard may even want to restrict or extend code values to the code lists schemas or even introduce other code list schemas. By changing the published message standard, the validation process will be non-conformant with the published message standard. In order to be conformant with the published message standard, these users should implement a ‘decoupled’ version of the message standard. The validation process becomes then a two-phase process.

In the below simplified fragment of the qualified data type schema (left column), the qualified data type ‘DocumentCodeType’ is ‘coupled’ by means of the specified code list module (clm61001) which is being imported. The namespace, import declaration and extension base are marked grey.

In the right column, the qualified data type ‘DocumentCodeType’ is ‘decoupled’ by removal of the code list module import and namespace declaration. The extension base ‘DocumentCodeContentType’ is no longer linked to the code list module. Therefore, a simple type ‘DocumentCodeContentType’ has been specified. In addition, the simple type for the list agency ID ‘DocumentCodeListAgencyIDContentType’ does not have any enumeration values.

<table>
<thead>
<tr>
<th>Qualified data type schema: coupled version</th>
<th>Qualified data type schema: decoupled version</th>
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<tr>
<td><code>&lt;xsd:import namespace=&quot;urn:un:unece:uncefact:data:standard:UnqualifiedDataType:21&quot; schemaLocation=&quot;UnqualifiedDataType_21p0.xsd&quot;/&gt;</code></td>
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<td><code>&lt;xsd:simpleType name=DocumentCodeListAgencyIDContentType/&gt;</code></td>
<td><code>&lt;xsd:simpleType name=DocumentCodeContentType/&gt;</code></td>
</tr>
</tbody>
</table>
In the case of coupled code list modules, the supplementary components of the qualified data type have ‘fixed’ values (marked blue). Using other values in the XML document instance will invoke a validation error during validation.

In the case of decoupled code list modules, the supplementary components of the qualified data type have ‘default’ values (marked yellow), which have to be changed by the user when other codes values are used than those in the referenced code list. This is necessary to avoid misinterpretations.

In the below example, the latest version ID of the code list ‘D17B’ is specified instead of the default ‘D16B’ version. In addition, the code value ‘889’ from code list ‘D17B’ is used for the element ‘TypeCode’.

The use of default values in the supplementary components of the qualified data reminds the user of UN/CEFACT available code lists and recommendations.

In below examples, a combination and alternative usage of code lists is specified by XML declarations in the qualified data type. The code list metadata, such as agency ID, is not specified because multiple code lists are declared for a single qualified data type. By this, the metadata of the code lists becomes unambiguous and cannot be validated.

A two-phase validation process, which uses ‘decoupling’ and a rule-based validation language, such as Schematron, solves the problem for these scenarios.
7.2 One-phase validation process

In order to fulfill all user requirements, as described in chapter 4, existing published standardized code lists have to be changed and “saved as” when choosing for a one-phase validation process method.

Changing existing message standards is for most users not preferable, because the XML document instance will be non-conformant with the published message standard. For those users, the two-phase validation process methods are available.

For UN/CEFACT XML message implementations five possible scenarios are clearly defined in respect to code lists.

7.2.1 Restricted code lists

In case of allowing users to change existing code list schemas, they could create additional schemas per code list defining those restricted code lists, as described in the NDR specification. The software performing the validation compares the XML message document instance against the restricted code list module schema.

To ensure interoperability the usage of restricted code lists must be agreed on in a Trading Partner Agreement and/or a MIG.

The following steps have to be performed for restriction of a published UN/CEFACT code list:

1. Create a new code list schema file for the restricted code list.
2. Modify the original qualified data type schema so that the corresponding type refers to the newly created code list schema.

7.2.2 Extended code lists

The same procedure as described in previous paragraph can be applied for extending existing code list module schemas. The software performing the validation compares the XML message document instance against the modified code list module schema and qualified data type schema.

7.2.3 Choosing or combining code lists

The UN/CEFACT NDR specification also describes choosing or combining values from different code lists by using either the xsd:choice or xsd:union elements. There are examples

---

Both message structure and code values constraints are validated simultaneously.

Message structure and code values constraints are validated separately.
provided in this document for these options (see §7.2). For further details we refer to the UN/CEFACT NDR specification. As mentioned in paragraph 7.2, the xsd:choice and xsd:union implementation within the qualified data type, do not address supplementary component differences, as they can only be declared for a single qualified data type.

### 7.2.4 User-defined code lists (permanent or temporary)

User-defined code lists, either permanent or temporary, are not uncommon. They often exist in specific industries. If needed, users could create such code lists modules for the applicable qualified data types specified within the qualified data type schema. A user-defined code list can often be regarded as an extended code list (see example §7.2.7). The user creates a new code list module and modifies the original qualified data type schema so that the corresponding type refers to the user-defined code list schema.

### 7.2.5 Code lists published by other organizations

For referencing code lists maintained by organizations external to UN/CEFACT, e.g. ICC, W3C, CODEX, CITES etcetera the same principle as described in the preceding paragraph would be applied. The user modifies the original qualified data type schema so that the corresponding type refers to the user-defined code list schema.

### 7.2.6 Example for a restricted code list

To demonstrate the methodology the use case of restricting the valid currencies in an XML document instance could be looked at. In this example only the use of the Euro currency should be valid in the corresponding user community. The corresponding schema then could look like shown in Figure 5. In this example, the code list schema is saved as Invoice_ISO_ISO3AlphaCurrencyCodeContentType_2012-08-31.xsd.

The schema for the qualified data types now needs to be adjusted to the new code list file. Only the relevant parts are shown in the following figure. It is allowed to alter the namespace prefix accordingly. For simplification, the original namespace prefix is kept.

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<thead>
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<th>Qualified data type schema</th>
<th>Code list schema</th>
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<td><code>&lt;/xs:schema&gt;</code></td>
</tr>
</tbody>
</table>

Figure 5: Restricted code list (code list schema and qualified data type)
### 7.2.7 Example for an extended code list

To demonstrate the methodology the use case of extending the valid VAT category codes in an XML document instance should be looked at. In this example, the existing code list should be valid and a new code value ‘BB’ should be added. The corresponding code list schema then could look like shown in Figure 6. In this example, the code list schema is saved as VATExtended_UNEC_DutyorTaxorFeeCategoryCode_D17B.xsd.

The schema for the qualified data types now needs to be adjusted to the new code list file. Only the relevant parts are shown in the following figure. It is allowed to alter the namespace prefix accordingly. For simplification, the original namespace prefix is kept.

```xml
<?xml version="1.0" encoding="UTF-8"?>
<xs:schema
  xmlns:clm65305="urn:un:unece:uncefact:codelist:standard:UNECE:
DutyorTaxorFeeCategoryCode:D17B:
VATEXTENDED"
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  targetNamespace="urn:un:unece:uncefact:
codelist:standard:UNECE:
DutyorTaxorFeeCategoryCode:D17B:
VATEXTENDED"
  elementFormDefault="qualified"
  version="1.5">
  <xs:import
    namespace="urn:un:unece:uncefact:
codelist:standard:UNECE:
DutyorTaxorFeeCategoryCode:D17B:
VATEXTENDED"
    schemaLocation="VATExtended_UNEC_DutyorTaxorFeeCategoryCode_D17B.xsd"/>
  ...
</xs:schema>

Figure 6: Extended code list (code list schema and qualified data type)
```

#### 7.2.8 Impacts for a real-life environment

The advantage is that still a one-phase validation can be performed. But the modified code list schema needs to be published and maintained within the user community in order to simplify implementation and keep consistency. In addition, both modified and original list need to be maintained in parallel. All users need to agree on using the modified code list schema and to be non-conformant to the published message standard.

---

**Qualified data type schema**

<table>
<thead>
<tr>
<th>Code list schema</th>
</tr>
</thead>
</table>
| `<xs:schema xmlns:clm65305="urn:un:unece:uncefact:codelist:
standard:UNECE:
DutyorTaxorFeeCategoryCode:
D17B:
VATEXTENDED"
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  targetNamespace="urn:un:unece:uncefact:
codelist:standard:UNECE:
DutyorTaxorFeeCategoryCode:D17B:
VATEXTENDED"
  elementFormDefault="qualified"
  version="1.5">
  <xs:import
    namespace="urn:un:unece:uncefact:
codelist:standard:UNECE:
DutyorTaxorFeeCategoryCode:D17B:
VATEXTENDED"
    schemaLocation="VATExtended_UNEC_DutyorTaxorFeeCategoryCode_D17B.xsd"/>
  ...
</xs:schema>` |

---

**Code list schema**

<table>
<thead>
<tr>
<th>Qualified data type schema</th>
</tr>
</thead>
</table>
| `<xs:schema ...
  xmlns:
  clm65305="urn:un:unece:uncefact:codelist:
  standard:UNECE:
  DutyorTaxorFeeCategoryCode:
  D17B:
  VATEXTENDED"
  elementFormDefault="qualified"
  version="1.0">
  <xs:import
    namespace="urn:un:unece:uncefact:
codelist:standard:UNECE:
DutyorTaxorFeeCategoryCode:D17B:
VATEXTENDED"
    schemaLocation="VATExtended_UNEC_DutyorTaxorFeeCategoryCode_D17B.xsd"/>
  ...
</xs:schema>` |
The non-conformance issue can be avoided by applying a two-phase validation process (see next paragraph) in which code list are decoupled from the message standard.

7.3 Two-phase validation process

In a two-phase validation process method structural validation is executed independent of value validation, and done in the first phase of the process. The validation of code values is performed in a second phase following a successful first phase validation. This two-phase validation process method is ideal for users who prefer maximum flexibility regarding code lists and/or code values.

The two-phase validation methods, described in this document, are rule based. Schematron is used as the rule based validation language. Schematron is capable of expressing constraints in ways that other XML schema languages like XML Schema and DTD cannot. For example, it can require that the content of an element be controlled by one of its siblings. Or it can request or require that an element must have specific attributes (e.g. code list metadata and/or specific code values).

Figure 7 illustrates the essence of the two-phase validation process. It shows the distinction between structural constraints validation (phase 1) and value validation (phase 2). Structural validation is typically performed by using XSD schema (marked ‘1’) and value constraint validation is typically performed by using XSLT (marked ‘2’). As constraints are specified as rules using Schematron, they will be deployed as XSLT code, making it practical for applications.

Trading partners can execute value validation using whatever tools are appropriate to their environment.

In addition to the validation performed by the inhouse application, trading partners may use one of the following commonly used standards for value constraints validation.

1. Schematron/XSLT (ISO/IEC 19757-3 / W3C)
2. Schematron/XSLT using Genericode/CVA (OASIS)
7.3.1 ISO Schematron/XSLT

Schematron is a rule-based validation language that uses context expressions. A Schematron schema makes assertions applied to a specific context within the XML document. If an assertion fails, then a diagnostic message can be displayed. As path expressions are built on top of XPath and XSLT, one could implement Schematron using XSLT (an assert element has a test attribute, which is an XSLT pattern). XML documents have data elements to be validated. The context location of those data elements is represented using XPath. From the Schematron file an XSLT file can be generated automatically using a tool.

For UN/CEFACT XML message implementations five possible scenarios are clearly defined in respect to code lists. In below paragraphs, these are specified for both two-phase validation process methods.

7.3.1.1 Restricted code lists

The restricted (code) values for a specific context within the XML document, such as ExchangedDocument/TypeCode, can be expressed as an assertion in a Schematron rule. In addition, assertions for the supplementary components can be included.

In below example, the allowed code values and supplementary codes have been specified as a Schematron rule.

This simplified example allows only the exchanged document type codes (in an invoice):

**Restricted code values:**
380, 385
- code list ID : MyInvoiceDocTypes
- code list version : 2016
- list agency ID : X

```
<sch:rule context="/rsm:CrossIndustryInvoice/rsm:ExchangedDocument/ram:TypeCode">
<sch:assert test="">
( ( not(.=380 or .=385) )
and ( not(@listID!=’MyInvoiceDocTypes’) )
and ( not(@listVersionID!=’2016’) )
and ( not(@listAgencyID!=’X’) ) )
"/>
</sch:assert>
</sch:rule>
```

**Figure 8: Schematron rule (restricted code list)**

A user most likely wants to link code values instead of specifying each allowed code value within an assertion manually. An important feature to note is that, because of XSLT's "document()" function, a Schematron assertion test can refer to data in a different document from the context document. This allows Schematron to be used to validate against a code list located externally to the schema (this can be in any XML document type).

Although the XSLT function “document()” includes external codes values for this purpose, it would still be quite some time consumed to write the needed code.
7.3.1.2 Extended code lists

The extended code values for a specific context within the XML document instance, such as ExchangedDocument/TypeCode, can be expressed as assertions in a Schematron rule. The extended code values could be added to an existing assertion or by adding an assertion next to the one holding the base set of code values. In addition, assertions for the supplementary components can be included as well.

In below example, the allowed code values and supplementary codes have been specified as a Schematron rule.

This simplified example allows only the exchanged document type codes (in an invoice):

<table>
<thead>
<tr>
<th>Base code values:</th>
<th>Extended code values:</th>
</tr>
</thead>
<tbody>
<tr>
<td>80, 81, 82, 83, 84, 261, 262, 325, 380</td>
<td>889</td>
</tr>
<tr>
<td>381, 383, 384, 385, 386, 389, 395, 396</td>
<td></td>
</tr>
<tr>
<td>- code list ID : 1001</td>
<td>- code list ID : ExtDocTypes</td>
</tr>
<tr>
<td>- code list version : D16B</td>
<td>- code list version : 2017</td>
</tr>
<tr>
<td>- list agency ID : 6</td>
<td>- list agency ID : X</td>
</tr>
</tbody>
</table>

Schematron rule

```xml
<sch:rule context="/rsm:CrossIndustryInvoice/rsm:ExchangedDocument/ram:TypeCode">
  <sch:assert test="">
    ( ( not(.=80 or .=81 or .= 82 or .=83 or .=261 or .=262 or .=325 or .=380 or 
      .=381 or .=383 or .=384 or .=385 or .=386 or .=389 or .=395 or .=396) )
    and ( not(@listID!='1001') )
    and ( not(@listVersionID!='D16B') )
    and ( not(@listAgencyID='6') )
  )
  or
    ( ( not(.=889) )
    and ( not(@listID!='ExtDocTypes') )
    and ( not(@listVersionID='2017') )
    and ( not(@listAgencyID='X') )
  )
  ">
</sch:assert>
</sch:rule>
```

Figure 9: Schematron rule (extended code list)

A user most likely wants to link code values instead of specifying each code value within an assertion manually. The XSLT function “document()” could be used to link external located code values for this purpose.

7.3.1.3 Choosing or combining code lists

Combined code lists can be achieved by adding multiple assertions using XSLT function “document()” in order to refer to multiple code lists or by specifying the combined code values as one or multiple assertion. Alternative code lists to choose from, can be specified as different Schematron rules referring to externally located code lists using the XSLT function “document()” or by specifying the code values as an assertion.
7.3.1.5 User-defined code lists (permanent or temporary)

User-defined code lists, either permanent or temporary, are not uncommon. They often exist in specific industries. These code lists could be regarded as additional or extended code lists. For both assertions within Schematron rules can be used to specify the code values or refer to externally located code lists using the XSLT function “document()”.

7.3.1.6 Code lists published by other organizations

An external maintained code list could be treated as a user defined code list using assertions to specify the needed code values or refer to externally located code lists using the XSLT function “document()”.

7.3.1.7 Impacts for a real-life environment

From a user-perspective, the Schematron/XSLT validation method requires users to take the following steps:

- Create code lists (including metadata) in such a way that Schematron rules can validate these data.
- Write Schematron rules for checking the allowed code value(s), supplementary components, appropriate document context(s), all including error messages.
- Use a tool which generates the XSLT file from the Schematron file.
- Create an environment managing the Schematron rules in order to easy maintenance on code lists and code values.

7.3.2 ISO Schematron/XSLT – using Genericode/CVA

This method uses, in addition to ISO Schematron/XSLT, a standard representation format of code lists named ‘genericode’ and associations that link context and values named ‘ContextValueAssociation’. It is a more user-friendly and code-management-orientated method and eases implementation through the use of a freely available tool for the creation of the Schematron/XSLT files.

In this method, the base code lists remain untouched. The extended, restricted, user-defined codes (permanent or temporary) are specified in separate genericode files, each with their own identifying list-level metadata. The ContextValue Association (CVA) file specifies the XPath contexts of an XML document instance and the genericode file(s) applicable to each context. Unlike XSD enumerations binding the same enumeration to all contexts of a globally-declared and re-used business artefact (BBIE) in a message standard, the use of XPath in CVA provides for specifying different code lists at different contexts of one BBIE. Perhaps the user needs to validate against different lists of currency codes at different ‘currency code locations’ of a single XML document. In other words, validation can be done on different context levels:

<table>
<thead>
<tr>
<th>Context levels</th>
<th>Context address as specified in CVA file (examples)</th>
</tr>
</thead>
<tbody>
<tr>
<td>System-wide</td>
<td>address=&quot;ram:SpecifiedTradeProduct/ram:TypeCode&quot;/&gt;</td>
</tr>
</tbody>
</table>

Figure 10: Context levels and context address
The Schematron expressions\(^6\) leverage any code list metadata found in the BBIE’s supplementary components to ensure the appropriate genericode expression of codes is used in the given XML element. Finally, these XML expressions also can be processed by applications creating visual interfaces in order to tailor specific drop-down lists of coded value domains presented to users.

A genericode file contains the following data which can be used during validation:
- code values
- code list metadata

The code value found in the XML document instance will be checked against the genericode files linked by association. The location of a genericode file is declared with URI address and the identity of each code list is unique. An association links the document’s context with a set of genericode files.

Any supplementary component (metadata) present in the XML document instance is also checked against the code list value metadata specified in the genericode file. All community members use the same message schemas for the initial structural constraints, while the many and varied and contextual requirements for value validation agreed upon between trading partners, perhaps even in real time, are realized as needed.

\[\text{Figure 11: Concept of ISO Schematron/XSLT – using Genericode/CVA .}\]

The Context/Value Association

The Context/Value Association file format is an XML vocabulary using address expressions to specify hierarchical document contexts and their associated constraints. A document

---

\(^6\) Schematron rules are generated automatically by a free of charge tool when using CVA, but users could write the rules themselves.
context specifies one or more locations found in an XML document or other similarly structured hierarchy of information. A constraint is expressed as either an explicit expression evaluation or as a value inclusion in one or more controlled vocabularies of values.

This file format specification assumes a controlled vocabulary of values is expressed in an external resource described by the OASIS genericode standard.

For each code list scenario, the applicable CVA ‘Value lists’ (code lists) and ‘Contexts’ (associations) will be described in the following paragraphs.

**The concept of masquerade**

The CVA file may employ the concept of a masquerade. The masquerade overlays the orginal list’s metadata in place of the customized code list’s metadata during the validation process in real time. This prevents confusion and ambiguity regarding the identity of the customized code list which is not and should not be identified as a complete list in its metadata.

A data element citing the full list will successfully validate against the extended or restricted list using the masquerade of the full list. This ensures multiple extended or restricted lists of the same full list can be uniquely identified and managed by their respective distinguished metadata.

The concept of masquerade may also be used in case of combining code lists, in which one of them is taken as the masquerade overlay. Different trading partners can mutually use different sets of code lists.

<table>
<thead>
<tr>
<th>Masquerade</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>In this example, the masquerade overlays the “ISO3AlphaCurrencyCode” list’s metadata in place of the “InvoiceCurrencyTypeCodes” code list’s metadata.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Example: Value lists</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;ValueLists&gt;</code></td>
<td></td>
</tr>
<tr>
<td><code>uri=&quot;../gc/InvoiceCurrencyTypeCodes.gc&quot;/&gt;</code></td>
<td></td>
</tr>
<tr>
<td><code>&lt;/ValueList&gt;</code></td>
<td></td>
</tr>
<tr>
<td><code>&lt;/ValueLists&gt;</code></td>
<td></td>
</tr>
</tbody>
</table>

**Figure 12: Concept of masquerade**

### 7.3.2.1 Restricted code lists

A restricted code list is a shorter version of the applicable full-list genericode file. The masquerade ensures re-use of the metadata specified in the UNECE full code list.

<table>
<thead>
<tr>
<th>Restricting code values</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>In this example, the invoice currency code list (restricting of ISO code list) is used only for the TaxCurrencyCode element specified with the Header Trade Settlement component.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Example: Contexts</th>
<th>Example: Value lists</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;Contexts&gt;</code></td>
<td><code>&lt;ValueLists&gt;</code></td>
</tr>
<tr>
<td><code>uri=&quot;../gc/InvoiceTaxCurrencyTypeCodes.gc&quot;/&gt;</code></td>
<td><code>&lt;/ValueList&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/Contexts&gt;</code></td>
<td><code>&lt;/ValueLists&gt;</code></td>
</tr>
</tbody>
</table>

**Figure 13: Restricted code list**
7.3.2.2 Extended code lists

The extended code list is a genericode containing only the extended code values compared to the version of the applicable full-list genericode file. The masquerade offers the re-use of the metadata specified in the full-list genericode file. The CVA file would express the union of the full-list genericode file and the extended genericode file. The masquerade would make the entire list appear to have the full-list genericode file list’s metadata. In this way at no time is there an ambiguous publication of a mixed list with metadata that could be confused with the metadata of the published list. When the published list is revised, the extended code values are incorporated as in extended genericode file.

### Extending code values

In this example, the ISO 3 alpha currency code list (base list) has been extended by the new ISO 3 alpha currency code list (containing only new currency code values). The code list is used for the InvoiceCurrencyCode element within the CrossIndustryInvoice.

<table>
<thead>
<tr>
<th>Example: Contexts</th>
<th>Example: Value lists</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>&lt;ValueList xml:id=&quot;NEW_ISO3AlphaCurrencyCode&quot; masqueradeUri=&quot;../gc/NEW_ISO3AlphaCurrencyCode_2017-09-08.gc&quot;/&gt;</td>
</tr>
<tr>
<td></td>
<td>&lt;/ValueLists&gt;</td>
</tr>
</tbody>
</table>

Figure 14: Extended code list

7.3.2.3 Choosing or combining code lists

Combining code values of different code lists is the essence of genericode/CVA. Users can create as many code lists as needed. A union of code lists means specifying multiple ‘Value lists’ and specifying these within the ‘Context value’ in the CVA file.

### Combining code values

In this example, the transport means type code list is combined with the transport means type code list of recommendation 28.

<table>
<thead>
<tr>
<th>Example: Contexts</th>
<th>Example: Value lists</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>&lt;/ValueLists&gt;</td>
</tr>
</tbody>
</table>

Figure 15: Combined code list
7.3.2.4 User-defined code lists (permanent or temporary)

A user-defined code list is a genericode file containing only the user-defined code values. This genericode file would have its own identity. The user-defined permanent and/or temporary code values may be adopted in a new version of a standardized code list.

User-defined code values

<table>
<thead>
<tr>
<th>Example: Contexts</th>
<th>Example: Value lists</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;Contexts&gt;</code></td>
<td><code>&lt;ValueLists&gt;</code></td>
</tr>
</tbody>
</table>

Figure 16: User-defined code list

7.3.2.5 Code lists published by other organizations

An external maintained code list could be treated as a user defined code list (see previous paragraph).

7.3.2.6 Impacts for a real-life environment

From a user-perspective, the Schematron/XSLT using genericode/CVA method offers users the following advantages:

- A user-friendly code management solution solving all issues identified by the code management project team.
- Easy implementation through the use of a freely available tool for the creation of the Schematron/XSLT files.
- Users can focus on the maintenance of genericode files and context associations, without having to write extensive files expressing their needs.
- Code list values and metadata are stored in a standardized file format (genericode).
- Associations between document context and applicable code lists are stored in a standardized file format (CVA).
- When using the ‘masquerade’ function, unions of code lists are recognized as one single code list during validation and can be presented in user dropdown lists.
- Through the existence of genericode files and the ‘masquerade’ function, the supplementary components can be checked to avoid any ambiguity.
9  Annex - Publication format code lists

9.1  Genericode

Genericode is a standard format for defining code lists.

The genericode standard offers:

- a XML format which is:
  - designed to support interchange or distribution of machine-readable code list information between systems.
  - transformable into formats suitable for run-time usage, or loaded into systems that perform run-time processing using code list information.
- a structure for code list identification metadata.
- a sparse-table structure for code list information:
  - each row in the table represents a single distinct entry in the code list, i.e. each row represents a single uniquely identifiable item in the code list.
  - each column in the table represents a metadata value that can be defined for each distinct entry in the code list. Each column is either required or optional.

Genericode files are an essential component within the code value validation method ‘Schematron/XSLT using Genericode/CVA’. In fact, they could be used as a component within every code validation environment. In addition, the genericode standard format for defining code lists is translation syntax independent. From a genericode file, XSD code list schema modules or any other format could be created. This could ease the maintenance of code lists in environments, such as where UN/EDIFACT and UN/CEFACT XML use the same code list repository.

The two-phase validation method, described in this document and beyond, may benefit from a publication of code lists in one single representation format. Both UN/EDIFACT and UN/CEFACT XML message processors may reference one or more code lists during a two-phase validation process.

9.2  Code list Document

The OASIS Code List Representation format⁷, “genericode”, is a single model and XML format (with a W3C XML Schema) that can encode a broad range of code list information. The XML format is designed to support interchange or distribution of machine-readable code list information between systems. Note that genericode is not designed as a run-time format for accessing code list information, and is not optimized for such usage. Rather, it is designed as an interchange format that can be transformed into formats suitable for run-time usage, or loaded into systems that perform run-time processing using code list information.

⁷ http://docs.oasis-open.org/codelist/cs-genericode-1.0/doc/oasis-code-list-representation-genericode.pdf
Figure 17: Code List Document Schema
9.4  Example UNECE_DocumentNameCode_Invoice_D16B.gc

```xml
<?xml version="1.0" encoding="UTF-8"?>
<gc:CodeList xmlns:gc="http://docs.oasis-open.org/codelist/ns/genericode/1.0/">
  <Identification>
    <ShortName>DocumentNameCode_Invoice</ShortName>
    <LongName xml:lang="en">Document Name Code_Invoice</LongName>
    <Version>D16B</Version>
    <Agency>
      <LongName xml:lang="en">United Nations Economic Commission for Europe</LongName>
      <Identifier>6</Identifier>
    </Agency>
  </Identification>
  <ColumnSet>
    <Column Id="code" Use="required">
      <ShortName>Code</ShortName>
      <Data Type="normalizedString"/>
    </Column>
    <Column Id="name" Use="required">
      <ShortName>Name</ShortName>
      <Data Type="string"/>
    </Column>
    <Column Id="description" Use="required">
      <ShortName>Description</ShortName>
      <Data Type="string"/>
    </Column>
    <Key Id="codeKey">
      <ShortName>CodeKey</ShortName>
      <ColumnRef Ref="code"/>
    </Key>
  </ColumnSet>
  <SimpleCodeList>
    <Row>
      <Value ColumnRef="code">80</Value>
      <Value ColumnRef="name">Debit note related to goods or services</Value>
      <Value ColumnRef="description">Debit information related to a transaction for goods or services to the relevant party.</Value>
    </Row>
  </SimpleCodeList>
</gc:CodeList>
```

Figure 18: Example Genericode file

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### 10 Definition of Terms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Choice (of code lists)</td>
<td>XML Schema choice element allows only one of the elements contained in the <code>&lt;choice&gt;</code> declaration to be present within the containing element. In other words one of the code lists is applicable for the element involved.</td>
</tr>
<tr>
<td>Conformance</td>
<td>Conformance is measuring how a document instance makes use of a given standard or specification.</td>
</tr>
<tr>
<td>Complaint</td>
<td>Compliant means that some features in the standard specification are not implemented, but all features implemented are covered by the specification, and in accordance with it.</td>
</tr>
<tr>
<td>Coupled</td>
<td>During the validation of the document instance, code values are validated simultaneously with the message structure constraints (one-phase validation process).</td>
</tr>
<tr>
<td>Extension</td>
<td>Adding new code values to an existing code list or by saving the changed one as a new code list.</td>
</tr>
<tr>
<td>Externally maintained code list</td>
<td>A code list maintained by organizations external to UN/CEFACT, e.g. ISO, ICC, W3C, UNECE.</td>
</tr>
<tr>
<td>Genericode</td>
<td>Genericode is a standard format for defining code lists.</td>
</tr>
<tr>
<td>Interoperability</td>
<td>Interoperability is looking at how disparate systems understand each other.</td>
</tr>
<tr>
<td>One-phase validation process</td>
<td>Both message structure and code values constraints are validated simultaneously.</td>
</tr>
<tr>
<td>Restriction</td>
<td>Removing code values from an existing code list or by saving the restricted one as a new code list.</td>
</tr>
<tr>
<td>Schematron</td>
<td>Schematron ISO/IEC 19757-3 is a rule-based validation language for making assertions about the presence or absence of patterns in XML trees.</td>
</tr>
<tr>
<td>Sub-set</td>
<td>See restriction</td>
</tr>
<tr>
<td>Superset</td>
<td>See extension</td>
</tr>
<tr>
<td>Temporary codes</td>
<td>Codes that will be replaced by a permanent code.</td>
</tr>
<tr>
<td>Trading Partner Agreement</td>
<td>Agreements made between the sending and/or receiving parties involved in exchanging electronic business messages.</td>
</tr>
<tr>
<td>Two-phase validation process</td>
<td>Only message structure constraints are validated during this process phase.</td>
</tr>
<tr>
<td>Union (of code lists)</td>
<td>The union element defines a simple type as a collection (union) of values from specified simple data types. In other words it combines one or more code lists.</td>
</tr>
<tr>
<td>Uncoupled</td>
<td>During the validation of the document instance, code values are not validated simultaneously with the message structure constraints, but validated in a next phase (two-phase validation process).</td>
</tr>
<tr>
<td>User-defined code list</td>
<td>A user-defined code list contains a set of values that a user has assigned as valid for a data element.</td>
</tr>
<tr>
<td>Validating</td>
<td>Checking that a document instance meets specifications and fulfills its intended purpose. It uses routines, often called &quot;validation rules&quot; or &quot;validation constraints&quot;, that check for correctness and meaningfulness of data that are input to a system.</td>
</tr>
<tr>
<td>Version compatibility</td>
<td>The ability to use any version of a code list in association with any version of a message, i.e. decoupling the versioning of code lists from the business message versions.</td>
</tr>
<tr>
<td>XML parser</td>
<td>It is a tool which “reads” the XML file/string and getting its content according to the structure, usually to use them in a program.</td>
</tr>
<tr>
<td>XSLT transformation</td>
<td>XSLT or XSL Transform (Extensible Stylesheet Language Transformations), is a standard for converting (transforming) data in a XML document to another format or another structured XML document.</td>
</tr>
</tbody>
</table>