

# Lineage Documentation Templates for Security Attributes

**Category:** Templates

**Model:** BDWP-005

**Description:** This template provides a standardized format for recording lineage information for security attributes such as identifiers, sectors, and sub-products. It specifies fields for source system, change timestamps, steward actions, and rationale notes. The template facilitates consistent documentation of lineage gaps, source precedence, and change history to improve traceability and auditability.

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# 1. Introduction

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This documentation defines the standardized template format designed for recording lineage information related to security attributes within the Asset and Data Management ecosystem. Accurate lineage documentation enhances traceability, supports audit requirements, and facilitates data governance processes. The templates incorporate essential metadata fields, validation procedures, and change tracking mechanisms aligned with the requirements of the Maestro Data Management (MDM) platform.

## 2. Purpose and Scope

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The primary purpose of this template is to enable consistent, comprehensive documentation of lineage information, including source system identifiers, change\_dates, steward interventions, and rationales. It applies broadly across various modules affected by security attribute management such as:

- ADR (American Depository Receipt) mapping modules
- ETF constituent reconciliation processes
- Source data ingestion pipelines (e.g., Bloomberg, Moody's, FactSet)
- Steward override and exception handling workflows

The scope encompasses recording lineage gaps, source precedence considerations, and detailed change histories to support regulatory compliance and internal audits.

## 3. Template Overview

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This lineage documentation template provides a structured, tabular format with multiple sections capturing:

- Source system identification and data timestamps
- Steward actions, approval statuses, and override notes
- Justifications, commentary, and notes for each lineage entry

- Annotations on lineage gaps, source precedence, and conflict resolution
- Change logs for historical auditing

Design principles prioritize clarity, completeness, and ease of validation, ensuring that each entry is verifiable and traceable.

## 4. Structure and Data Fields

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The template is organized into multiple sections, each with specific data fields as summarized below:

| Section                | Description   | Key Data Fields  |
|------------------------|---|--|
| Source Information     | Records the originating data source, system details, and timestamps.                        | Source System, Data Ingestion Date, Record Timestamp       |
| Lineage Details        | Documents details about security attribute sources, transformations, and source precedence. | Source Type, Data Origin, Lineage Status, Gap Notes        |
| Steward Actions        | Tracks steward interventions, approvals, and overrides related to lineage.                  | Steward Name, Action Date, Approval Status, Override Notes |
| Rationale and Comments | Captures explanations, justifications, and notes supporting lineage decisions.              | Comments, Rationales, Override Justifications              |
| Change History         | Maintains record of all modifications, updates, and decisions over time.                    | Change Date, Change Description, Changed By                |

## 5. Section 1: Source System and Change Timestamps

This section documents the identity of the source data system, including

specific data source identifiers and timestamps associated with data ingestion and updates.

### Example Fields:

- **Source System:** e.g., Bloomberg BloombergSchema2025; Moody's MDY-SEC-2401; FactSet Concordance
- **Data Ingestion Date:** The date when data was initially ingested into the platform (format: YYYY-MM-DD).
- **Record Timestamp:** The precise timestamp of data capture/change (format: YYYY-MM-DD HH:MM:SS).

### Sample Entry:

| Source System       | Data Ingestion Date | Record Timestamp  |
|---------------------|---------------------|-------------------|
| Bloomberg schema LN | 2025-08-19          | 2025-08-19 14:43: |

## 6. Section 2: Steward Actions and Approval Processes

This section captures actions undertaken by designated data stewards, including approvals, overrides, and the responsible authority for each change or intervention.

### Typical Fields:

- **Steward Name:** Full name of responsible steward or approver.
- **Action Date:** When the action was taken (format: YYYY-MM-DD).
- **Approval Status:** Approved, Pending, Rejected, or Override.
- **Override Notes:** Specific reasons or comments for overrides exceeding standard procedures.

### Example Scenario:

Steward Jane Doe overrides lineage for a security attribute due to source precedence conflicts, approved on 2025-08-20 with documented justification.

### Sample Record:

| Steward Name | Action Date | Approval Status | Override Notes    |
|--------------|-------------|-----------------|-------------------|
| Jane Doe     | 2025-08-20  | Override        | Source precedence |

## 7. Section 3: Rationale, Comments, and Documentation

Provides space for comprehensive explanations, justifications, and contextual comments supporting lineage decisions, changes, and overrides.

### Important Considerations:

- Describe why a lineage gap exists and how it is being addressed.
- Clarify the source precedence rationale when multiple sources conflict.
- Document steward comments or notes linked to specific rationale points.

### Example Comment:

"The lineage gap identified due to missing SEDOL identifier from source XYZ; overridden based on verified internal mappings."

### Sample Entry:

| Comments   |
|--|
| Missing SEDOL from Bloomberg source; mapped from internal database |

## 8. Tracking Lineage Gaps and Source Precedence

Effective management of lineage gaps and source conflicts is essential for maintaining data integrity. This section captures identified gaps and the strategy applied to resolve source precedence conflicts.

## Lineage Gaps:

- Explicit documentation of missing attributes or incomplete lineage chains.
- Examples include missing identifiers (SEDOL, CUSIP), or untracked attribute updates.

## Source Precedence:

- Defines hierarchy of data sources—e.g., Bloomberg > FactSet > Vendor-Provided Data.
- Criteria for precedence include data freshness, reliability, and regulatory compliance.
- Overrides are documented with rationales.

### Example:

In cases where Bloomberg and Moody's sources conflict on sector classification, Bloomberg is given precedence unless overridden by steward approval based on updated data.

## 9. Change History and Audit Trail

This section maintains a detailed log of all modifications within the lineage document, including who made the change, when, and what was modified.

### Required Fields:

- **Change Date:** Date of change (format: YYYY-MM-DD).
- **Change Description:** Detailed description of what was changed.
- **Changed By:** Responsible individual or system ID.

### Sample Audit Entry:

| Change Date | Change Description                               |
|-------------|--|
| 2025-08-21  | Corrected source precedence for ETF constituents |

# 10. Validation Procedures and Best Practices

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To ensure the accuracy and completeness of lineage documentation, the following validation steps are recommended:

- Verify completeness of all required fields before final submission.
- Check timestamps for logical consistency (e.g., ingestion date ≤ change dates).
- Confirm approvals and steward actions are properly documented and signed off.
- Validate source precedence logic aligns with documented policies.
- Review lineage gaps with cross-reference to source system logs.

Utilize validation checklists (see Appendix I) for systematic verification.

# 11. Examples and Use Cases

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## Example 1: Bloomberg Schema Lineage Recording

A security's primary identifier is derived from Bloomberg's LN schema, with an ingestion date of 2025-08-19. The data is revised after steward review on 2025-08-20, with override notes indicating source precedence adjustments to align with internal standards.

### Sample Entry:

```
Source System: Bloomberg schema LN
Data Ingestion Date: 2025-08-19
Record Timestamp: 2025-08-19 14:43:07
Steward: Jane Doe
Action: Override
Approval Status: Override
Override Notes: Prioritized Bloomberg due to recent update; subsec
Comments: Lineage gap resolved based on recent data feed.
Change Log: 2025-08-20, steward override applied.
```

## Use Case: Moody's Sector Change Tracking

Documenting sector classification change for a bond issued by XYZ Corp. The source of record is Moody's, with a change in sector code *MDY-SEC-2403*. The change is approved by the sector steward and logged with comments justifying precedence.

## 12. Common Error Codes and Troubleshooting

Below are frequently encountered MDM error codes related to lineage and their resolution steps:

### MDM-ID-3102: Identifier Conflict

**Symptoms:** Duplicate or conflicting identifiers across data sources.

**Root Cause:** Inconsistent identifiers or unmerged source data.

**Resolution:** Verify source data integrity, reconcile attribute mappings, and update lineage documentation to clarify source precedence.

**Prevention:** Implement validation checks at data ingestion pipelines to flag conflicts early.

### MDM-LIN-2207: Lineage Gap

**Symptoms:** Missing lineage links or attributes.

**Root Cause:** Data source or pipeline omissions.

**Resolution:** Identify the source gaps, document causes, and consider manual overrides with detailed rationale.

### MDM-COM-1905: Commentary Required

**Symptoms:** Lack of sufficient comments for lineage exceptions or overrides.</