Data Governance Check Specification

Sheet	Description
Overview	The current sheet has an overview of the different components of the Document.
CheckSpecification	Specifications for the Data Quality Checks implemented in the Data Governance framework.
Changelog	Release notes for the version of the Checks included in this specification, describing what has changed since previous iterations of the Check implementation.
RAFormats	Shows the current list of Registration Authorities included for data quality assessment, as well as the regexes that govern them.
Glossary	Describes specialized technical terms used to define the Data Quality Checks.

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000020	3.0.0	Report	COMPREHENSIVENESS	REQUIRED	Legal name is plausible	lei:RegistrationStatus NOT 'ANNULLED'	lei:LegalName $PRESENT lei:LegalName NOT IN ['NOT AVAILABLE', 'N.A.', 'N/A']; case insensitive lei:LegalName NOT consisting only of $PUNCTUATION_CHARACTER	NOT_APPLICABLE, if lei:RegistrationStatus is ANNULLED FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:LegalName is in ['n.a.', 'not available', 'n/a'] (case insensitive) or consists only of punctuation characters PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:LegalName is different from ['n.a.', 'not available', 'n/a'] (case insensitive) and includes at least one non-punctuation character	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalName /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	One of LEI objectives is to enhance transparency in the global marketplace, therefore the legal name shall not be masked. Reference about the LEI: https://www.gleif.org/en/about-lei/introducing-the-legal-entity-identifier-lei	
C000066	3.0.0	Report	VALIDITY	REQUIRED	Ensure LEI code is ISO 17442 compliant	lei:RegistrationStatus IN ['ISSUED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL'] lei:InitialRegistrationDate >= 2016-07-07T00:00:00+00:00	lei:LEI ISO 17442 compliant	NOT_APPLICABLE, if the LEI record has lei:InitialRegistrationDate before 2016-07-07 or if lei:RegistrationStatus is LAPSED, RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:InitialRegistrationDate after 2016-07-07 and lei:RegistrationStatus ISSUED, PENDING_TRANSFER or PENDING_ARCHIVAL and the LEI code is not ISO 17442 compliant, e.g. having non-valid check digit pairs ("00", "01", "99") PASS, if lei:InitialRegistrationDate after 2016-07-07 and lei:RegistrationStatus ISSUED, PENDING_TRANSFER or PENDING_ARCHIVAL and the LEI code is ISO 17442 compliant Note: The date used in the precondition was selected as the date, when ISO explicitly described "00", "01" and "99" as not valid check digit pairs.	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:LEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:InitialRegistrationDate	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.4.8 LEI Data Type' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000075	3.4.0	Report	VALIDITY	REQUIRED	Ensure appropriate code in legal address region	lei:LegalAddress/lei:Region $PRESENT lei:RegistrationStatus $MUTABLE	lei:LegalAddress/lei:Region IN $ISO_3166_2	NOT_APPLICABLE, if lei:LegalAddress/lei:Region is not present or lei:RegistrationStatus is RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalAddress/lei:Region included and not a sub-division code from the ISO 3166-2 code list PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalAddress/lei:Region included and a sub-division code from the ISO 3166-2 code list	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:Region	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.4.12 RegionCode Data Type' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000076	3.0.0	Report	VALIDITY	REQUIRED	Ensure appropriate code in legal address country	lei:RegistrationStatus $MUTABLE	lei:LegalAddress/lei:Country IN ['XK', $ISO_3166_1_ALPHA_2]	NOT_APPLICABLE, if lei:RegistrationStatus is RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalAddress/lei:Country included and not 'XK' or an officially assigned country code from the ISO 3166-1 code list PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalAddress/lei:Country included and on the ISO 3166-1 country code list with status 'officially-assigned' (CSV file) or 'XK'	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:Country	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.4.4 CountryCode Data Type' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000097	3.4.0	Report	VALIDITY	REQUIRED	Ensure usage of GLEIF Accepted Legal Jurisdictions Code List	lei:RegistrationStatus $MUTABLE	For records with lei:NextRenewalDate >= 2020-07-01T00:00:00+00:00: lei:LegalJurisdiction IN $GLEIF_ACCEPTED_LEGAL_JURISDICTIONS For records with lei:NextRenewalDate < 2020-07-01T00:00:00+00:00: lei:LegalJurisdiction IN ['XK', $ISO_3166_1_ALPHA_2, $ISO_3166_2]	NOT_APPLICABLE, if lei:RegistrationStatus is RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalJurisdiction is not a code from the expected code list PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalJurisdiction is a code from the expected code list Note: The GLEIF Accepted Legal Jurisdictions Code List is a subset of ISO 3166-1, ISO 3166-2 and 'XK'. LEI records that comply with the stricter rule setting prior to the expected implementation date will pass this Check	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalJurisdiction /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:NextRenewalDate	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.1 Entity Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000145	3.0.0	Report	ACCURACY	EXPECTED	Ensure internal registration statuses are not published		lei:RegistrationStatus NOT IN ['PENDING_VALIDATION', 'CANCELLED', 'TRANSFERRED']	FAIL, if lei:RegistrationStatus is PENDING_VALIDATION, CANCELLED or TRANSFERRED PASS, if lei:RegistrationStatus is ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Appendix 11: 'Considerations Regarding RegistrationStatus' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000146	3.0.0	Report	VALIDITY	REQUIRED	Record has plausible renewal date	lei:RegistrationStatus 'ISSUED'	lei:NextRenewalDate + 1 Day >= leiFileHeader:ContentDate lei:NextRenewalDate <= leiFileHeader:ContentDate + 1 Year + 60 Days	NOT_APPLICABLE, if lei:RegistrationStatus LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus ISSUED and either lei:NextRenewalDate is before leiFileHeader:ContentDate minus one day or lei:NextRenewalDate is after leiFileHeader:ContentDate plus one year and 60 days PASS, if lei:RegistrationStatus ISSUED and lei:NextRenewalDate is between leiFileHeader:ContentDate minus one day and leiFileHeader:ContentDate plus one year plus 60 days Note: "one year" means 366 days in a leap year and 365 days in a non-leap year	/lei:LEIData/lei:LEIHeader/lei:ContentDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:NextRenewalDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	LEI lifecycle and date plausibility introduced by GLEIF 'State Transition Rules for LEI Common Data File Format' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	
C000153	3.0.0	Report	INTEGRITY	REQUIRED	Verify plausibility of dates for the record	lei:RegistrationStatus NOT 'ANNULLED'	leiFileHeader:ContentDate >= lei:LastUpdateDate lei:LastUpdateDate >= lei:InitialRegistrationDate	NOT_APPLICABLE, if lei:RegistrationStatus is ANNULLED FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:LastUpdateDate > lei:InitialRegistrationDate or lei:LastUpdateDate > leiFileHeader:ContentDate or lei:InitialRegistrationDate > lei:LastUpdateDate PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:InitialRegistrationDate <= lei:LastUpdateDate and lei:LastUpdateDate <= leiFileHeader:ContentDate Note: This Check considers milliseconds when comparing dates	/lei:LEIData/lei:LEIHeader/lei:ContentDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:InitialRegistrationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:LastUpdateDate	Definition of date elements introduced by ROC Policy 'LEI Data File Format 1.0' Chapter '3.3.2 Registration Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000154	3.0.0	Report	INTEGRITY	REQUIRED	Appropriate setting of next renewal date of the record	lei:RegistrationStatus NOT 'ANNULLED'	lei:NextRenewalDate > lei:InitialRegistrationDate	NOT_APPLICABLE, if lei:RegistrationStatus is ANNULLED FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:NextRenewalDate is equal to or before lei:InitialRegistrationDate PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:NextRenewalDate is after lei:InitialRegistrationDate	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:InitialRegistrationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:NextRenewalDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	LEI Lifecycle introduced by ROC Policy 'LEI Data File Format 1.0' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000155	3.0.0	Report	INTEGRITY	REQUIRED	Ensure MERGED LEIs include successor information	lei:RegistrationStatus 'MERGED'	lei:SuccessorLEI $PRESENT OR lei:SuccessorEntityName $PRESENT	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHVIAL, RETIRED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus MERGED and lei:SuccessorLEI and lei:SuccessorEntityName are both missing PASS, if lei:RegistrationStatus MERGED and either lei:SuccessorLEI or lei:SuccessorEntityName is included Note: The lei xml schema validation rejects files that include both lei:SuccessorLEI and lei:SuccessorEntityName.	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:SuccessorEntity/lei:SuccessorLEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:SuccessorEntity/lei:SuccessorEntityName /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Definition of SuccessorEntity introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.1 Entity Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000298
C000156	3.0.0	Report	INTEGRITY	REQUIRED	Ensure appropriate expiration information for merged entities	lei:RegistrationStatus 'MERGED'	lei:EntityExpirationDate $PRESENT lei:EntityExpirationDate <= lei:LastUpdateDate lei:EntityExpirationDate > 1970-01-01T00:00:00+00:00 lei:EntityExpirationReason 'CORPORATE_ACTION'	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus MERGED with lei:EntityExpirationDate not included or lei:EntityExpirationDate > lei:LastUpdateDate or lei:EntityExpirationDate <= 1970-01-01T00:00:00+00:00 or lei:EntityExpirationReason DISSOLVED or OTHER PASS, if lei:RegistrationStatus MERGED with lei:EntityExpirationDate included and lei:EntityExpirationDate <= lei:LastUpdateDate and lei:EntityExpirationDate > 1970-01-01T00:00:00+00:00 and lei:EntityExpirationReason CORPORATE_ACTION	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationReason /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.5.7 RegistrationStatusEnum Code List' and Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000157	3.0.0	Report	INTEGRITY	REQUIRED	Ensure appropriate expiration information for retired entities	lei:RegistrationStatus 'RETIRED'	lei:EntityExpirationDate $PRESENT lei:EntityExpirationDate <= lei:LastUpdateDate lei:EntityExpirationDate > 1970-01-01T00:00:00+00:00 lei:EntityExpirationReason 'DISSOLVED'	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus RETIRED with lei:EntityExpirationDate not included or lei:EntityExpirationDate > lei:LastUpdateDate or lei:EntityExpirationDate <= 1970-01-01T00:00:00+00:00 or lei:EntityExpirationReason CORPORATE_ACTION or OTHER PASS, if lei:RegistrationStatus RETIRED with lei:EntityExpirationDate included and lei:EntityExpirationDate <= lei:LastUpdateDate and lei:EntityExpirationDate > 1970-01-01T00:00:00+00:00 and lei:EntityExpirationReason DISSOLVED	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationReason /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.5.7 RegistrationStatusEnum Code List' and Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000172	3.0.0	Report	INTEGRITY	REQUIRED	Ensure lack of entity expiration information for operating entities	lei:RegistrationStatus 'ISSUED'	lei:EntityExpirationDate NOT $PRESENT lei:EntityExpirationReason NOT $PRESENT lei:EntityStatus 'ACTIVE'	NOT_APPLICABLE, if lei:RegistrationStatus is LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationStatus ISSUED and lei:EntityExpirationDate is included or lei:EntityExpirationReason is included or lei:EntityStatus is INACTIVE PASS, if lei:RegistrationStatus ISSUED and lei:EntityStatus is ACTIVE and lei:EntityExpirationDate is not included and lei:EntityExpirationReason is not included	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationReason /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000173	3.0.0	Report	INTEGRITY	REQUIRED	Ensure DUPLICATE records include LEI of successor	lei:RegistrationStatus 'DUPLICATE'	lei:SuccessorLEI $PRESENT	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, ANNULLED FAIL, if lei:RegistationStatus DUPLICATE and lei:SuccessorLEI not included PASS, if lei:RegistrationStatus DUPLICATE and lei:SuccessorLEI included	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:SuccessorEntity/lei:SuccessorLEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.1 Entity Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000182
C000174	3.0.0	Report	INTEGRITY	REQUIRED	Ensure correct settings for expiration reason	lei:RegistrationStatus NOT 'ANNULLED' lei:EntityExpirationDate $PRESENT	lei:EntityExpirationReason $PRESENT	NOT_APPLICABLE, if lei:RegistrationStatus is ANNULLED or lei:EntityExpirationDate is not included FAIL, if lei:RegistationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:EntityExpirationDate included and lei:EntityExpirationReason not included PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:EntityExpirationDate included and lei:EntityExpirationReason included	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationReason /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.1 Entity Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000175 C000176
C000175	3.0.0	Report	INTEGRITY	REQUIRED	Ensure correct expiration information for non-operational entities	lei:RegistrationStatus NOT 'ANNULLED' lei:EntityExpirationDate $PRESENT OR lei:EntityExpirationReason $PRESENT	lei:EntityStatus 'INACTIVE'	NOT_APPLICABLE, if lei:RegistrationStatus is ANNULLED or both lei:EntityExpirationDate and lei:EntityExpirationReason are not included FAIL, if lei:RegistationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:EntityExpirationDate and/or lei:EntityExpirationReason included and lei:EntityStatus ACTIVE PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:EntityExpirationDate and/or lei:EntityExpirationReason included and lei:EntityStatus INACTIVE Note: This Check can PASS, if only one of lei:EntityExpirationDate and lei:EntityExpirationReason is included. One of the related Checks C000174 and C000176 will FAIL in this case	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationReason /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000174 C000176
C000176	3.0.0	Report	INTEGRITY	REQUIRED	Ensure correct settings for expiration date	lei:EntityExpirationReason $PRESENT lei:RegistrationStatus NOT 'ANNULLED'	lei:EntityExpirationDate $PRESENT	NOT_APPLICABLE, if lei:RegistrationStatus ANNULLED or lei:EntityExpirationReason not included FAIL, if lei:RegistationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:EntityExpirationReason included and lei:EntityExpirationDate not included PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:EntityExpirationReason included and lei:EntityExpirationDate included	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityExpirationReason /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000174 C000175
C000180	3.0.2	Report	UNIQUENESS	EXPECTED	Avoid uniqueness violations outside of transfers	$COUNT(lei:LEI) > 1	$COUNT(lei:LEI) == 2 leiFileHeader:Originator different for all lei:LEI if RUT has lei:RegistrationStatus IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'], the other record has lei:RegistrationStatus NOT IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'] if RUT has lei:RegistrationStatus NOT IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'], the other record has lei:RegistationStatus 'PENDING_ARCHIVAL'	NOT_APPLICABLE, if there is no other record with the same lei:LEI FAIL, if two records with the same lei:LEI exist from the same leiFileHeader:Originator or if two records from different leiFileHeader:Originator exist and lei:RegistrationStatus combination of both is not allowed by the transfer protocol or if there are more than two records with the same lei:LEI PASS, if two records with the same lei:LEI exist from different leiFileHeader:Originator and the lei:RegistrationStatus combination of both is allowed by the transfer protocol	/lei:LEIData/lei:LEIHeader/lei:Originator /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:LEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Uniqueness principle introduced by ROC policy 'Principles to be observed by Pre-LOUs that wish to integrate into the Interim Global Legal Entity Identifier System (GLEIS)' (https://www.leiroc.org/publications/gls/lou_20130727.pdf)	
C000182	3.0.0	Report	INTEGRITY	EXPECTED	Validate SuccessorLEI	lei:RegistrationStatus NOT 'ANNULLED' lei:SucessorLEI $PRESENT	lei:SuccessorLEI $VALID	NOT_APPLICABLE, if lei:RegistrationStatus ANNULLED or lei:SuccessorLEI not included FAIL, if lei:RegistationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:SuccessorLEI included but not found in Global LEI Repository PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:SuccessorLEI included and found in Global LEI Repository	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:SuccessorEntity/lei:SuccessorLEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.1 Entity Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000173
C000183	3.0.0	Report	INTEGRITY	EXPECTED	Validate AssociatedLEI	lei:RegistrationStatus NOT 'ANNULLED' lei:AssociatedLEI $PRESENT	lei:AssociatedLEI $VALID	NOT_APPLICABLE, if lei:RegistrationStatus ANNULLED or lei:AssociatedLEI not included FAIL, if lei:RegistationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:AssociatedLEI included but not found in Global LEI Repository PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:AssociatedLEI included and found in Global LEI Repository	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:AssociatedEntity/lei:AssociatedLEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.4.2 AssociatedEntity Data Type' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000232	3.3.0	Report	VALIDITY	REQUIRED	Ensure record is managed by an accredited LEI-Issuer	lei:RegistrationStatus NOT 'ANNULLED'	lei:ManagingLOU $LEI_ISSUER	NOT_APPLICABLE, if lei:RegistrationStatus ANNULLED FAIL, if lei:RegistationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:ManagingLOU is not the LEI code of an accredited LOU PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED or DUPLICATE and lei:ManagingLOU is the LEI code of an accredited LOU	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ManagingLOU	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.2 Registration Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000237	3.0.0	Report	INTEGRITY	REQUIRED	Ensure correct registration statuses for active entities	lei:RegistrationStatus NOT IN ['ANNULLED', 'DUPLICATE'] lei:EntityStatus 'ACTIVE'	lei:RegistrationStatus $MUTABLE	NOT_APPLICABLE, if lei:EntityStatus is INACTIVE or if lei:RegistrationStatus is ANNULLED or DUPLICATE FAIL, if lei:EntityStatus is ACTIVE and lei:RegistrationStatus is RETIRED or MERGED PASS, if lei:EntityStatus is ACTIVE and lei:RegistrationStatus is ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.5.7 RegistrationStatusEnum Code List' and Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000239	3.0.0	Report	VALIDITY	REQUIRED	Check ManagingLOU equals Originator of the file		lei:ManagingLOU == leiFileHeader:Originator	this Check is never NOT_APPLICABLE, that means it is applicable for all LEIs FAIL, if leiFileHeader:Originator and lei:ManagingLOU are not the same PASS, if leiFileHeader:Originator and lei:ManagingLOU are the same	/lei:LEIData/lei:LEIHeader/lei:Originator /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ManagingLOU	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.1 LEI File Header' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000240	3.0.1	Report	INTEGRITY	REQUIRED	Ensure correct registration statuses for inactive entities	lei:RegistrationStatus NOT IN ['ANNULLED','DUPLICATE','PENDING_TRANSFER','PENDING_ARCHIVAL'] lei:EntityStatus 'INACTIVE'	lei:RegistrationStatus IN ['MERGED', 'RETIRED']	NOT_APPLICABLE, if lei:EntityStatus ACTIVE or if lei:RegistrationStatus PENDING_TRANSFER, PENDING_ARCHIVAL, ANNULLED or DUPLICATE FAIL, if lei:EntityStatus INACTIVE and lei:RegistrationStatus ISSUED or LAPSED PASS, if lei:EntityStatus INACTIVE and lei:RegistrationStatus RETIRED or MERGED	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityStatus	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.5.7 RegistrationStatusEnum Code List' and Appendix 10: 'LEI Record Transition Diagram' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	
C000243	3.0.1	Report	COMPLETENESS	EXPECTED	Ensure an ultimate parent has correct relationship information	lei:RegistrationStatus 'ISSUED' Has $REPORTED_CHILD_RELATIONSHIPS where rr:RelationshipType 'IS_ULTIMATELY_CONSOLIDATED_BY' rr:RegistrationStatus $MUTABLE	Has no $REPORTED_RELATIONSHIPS where rr:RegistrationStatus $MUTABLE Has exactly one $REPORTED_EXCEPTIONS where repex:ExceptionReason IN ['NATURAL_PERSONS', 'NON_CONSOLIDATING', 'NO_KNOWN_PERSON'] repex:ExceptionCategory 'DIRECT_ACCOUNTING_CONSOLIDATION_PARENT' Has exactly one $REPORTED_EXCEPTIONS where repex:ExceptionReason IN ['NATURAL_PERSONS', 'NON_CONSOLIDATING', 'NO_KNOWN_PERSON'] repex:ExceptionCategory 'ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT'	NOT_APPLICABLE, if lei:RegistrationStatus not ISSUED or LEI record has no ultimate children (lei:LEI does not appear as rr:EndNode/rr:NodeID in any relationship record with rr:RelationshipType IS_ULTIMATELY_CONSOLIDATED_BY and rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL) FAIL, if lei:RegistrationStatus ISSUED and LEI record has ultimate children and at least one of the following for direct or ultimate parent: - a relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL - an exception with repex:ExceptionReason NO_LEI, LEGAL_OBSTACLES, CONSENT_NOT_OBTAINED, BINDING_LEGAL_COMMITMENTS, DETRIMENT_NOT_EXCLUDED or DISCLOSURE_DETRIMENTAL - more than one exception per parent - no relationship information at all PASS, if lei:RegistrationStatus ISSUED and LEI record has ultimate children and has exactly one exception for direct and ultimate parent each with repex:ExceptionReason NON_CONSOLIDATING, NO_KNOWN_PERSON or NATURAL_PERSONS Note: This check considers all published relationship and exception records regardless of the originator.	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:ExceptionCategory /repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:ExceptionReason	Introduced by ROC policy 'Collecting Data on Direct and Ultimate Parents of Legal Entities in the Global LEI System' (https://www.leiroc.org/publications/gls/lou_20161003-1.pdf)	C000291
C000244	3.0.1	Report	INTEGRITY	REQUIRED	Ensure distinct reporting exceptions without concurrent relationship records	Has $REPORTED_EXCEPTIONS	For all $REPORTED_EXCEPTIONS: Does not share repex:ExceptionCategory with any another $REPORTED_EXCEPTIONS No $REPORTED_RELATIONSHIPS with rr:RegistrationStatus IN ['PUBLISHED','LAPSED'] with rr:RelationshipType corresponding to repex:ExceptionCategory (Direct vs Ultimate Parent)	NOT_APPLICABLE, if no Reporting Exceptions are included FAIL, if multiple Reporting Exceptions of the same repex:ExceptionCategory are included or if a relationship record with corresponding rr:RelationshipType (direct / ultimate parent) and rr:RegistrationStatus PUBLISHED or LAPSED is included PASS, if all Reporting Exceptions are unique per repex:ExceptionCategory and all relationship records of the corresponding rr:RelationshipType (if any) have rr:RegistrationStatus PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, DUPLICATE or ANNULLED	/repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:ExceptionCategory /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus	Introduced by ROC policy 'Collecting Data on Direct and Ultimate Parents of Legal Entities in the Global LEI System' (https://www.leiroc.org/publications/gls/lou_20161003-1.pdf)	
C000245	3.0.0	Report	CONSISTENCY	REQUIRED	Provide complete, distinct parent information for non-branches	lei:EntityCategory NOT 'BRANCH' lei:RegistrationStatus 'ISSUED'	Has exactly one $REPORTED_DIRECT_PARENT_INFO with rr:RegistrationStatus 'PUBLISHED' (for RR) Has exactly one $REPORTED_ULTIMATE_PARENT_INFO with rr:RegistrationStatus 'PUBLISHED' (for RR)	NOT_APPLICABLE, if lei:EntityCategory BRANCH or if lei:RegistrationStatus LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:EntityCategory not BRANCH and lei:RegistrationStatus ISSUED and no direct/ultimate parent information is reported (either Reporting Exceptions or relationship record with rr:RegistrationStatus PUBLISHED) or if more than one such reporting occurs PASS, if lei:EntityCategory not BRANCH and lei:RegistrationStatus ISSUED and exactly one direct and one ultimate parent information is reported (either Reporting Exception or relationship record with rr:RegistrationStatus PUBLISHED)	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityCategory /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /repex:ReportingExceptionData/repex:ReportingExceptions/repex:ReportingException/repex:Exception/repex:ExceptionCategory	Introduced by ROC policy 'Collecting Data on Direct and Ultimate Parents of Legal Entities in the Global LEI System' (https://www.leiroc.org/publications/gls/lou_20161003-1.pdf)	

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000247	3.0.1	Report	CONSISTENCY	EXPECTED	Ensure published relationships point to an appropriate parent	Has $REPORTED_RELATIONSHIPS with rr:RegistrationStatus 'PUBLISHED'	For all applicable $REPORTED_RELATIONSHIPS: LEI record with lei:LEI == rr:EndNode/rr:NodeID $VALID and lei:RegistrationStatus $MUTABLE	NOT_APPLICABLE, if no relationship record with rr:RegistrationStatus PUBLISHED is included FAIL, if for any relationship with rr:RegistrationStatus PUBLISHED, the LEI record matching rr:EndNode/rr:NodeID has lei:RegistrationStatus in [RETIRED, MERGED, DUPLICATE, ANNULLED] or does not exist in the Global LEI Repository PASS, if for all relationships with rr:RegistrationStatus PUBLISHED, the LEI record matching rr:EndNode/rr:NodeID has lei:RegistrationStatus in [PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL]	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:EndNode/rr:NodeID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Introduced by ROC policy 'Collecting data on direct and ultimate parents of legal entities in the Global LEI System' (https://www.leiroc.org/publications/gls/lou_20161003-1.pdf)	
C000250	3.0.0	Report	CONSISTENCY	REQUIRED	When entity's regulatory filing is public, a validation reference is expected	Has $REPORTED_RELATIONSHIPS with rr:ValidationDocuments 'REGULATORY_FILING' rr:ValidationSources IN ['FULLY_CORROBORATED', 'PARTIALLY_CORROBORATED']	For all applicable $REPORTED_RELATIONSHIPS: rr:ValidationReference $PRESENT	NOT_APPLICABLE, if no Relationship Record with rr:ValidationDocuments REGULATORY_FILING and rr:ValidationSources FULLY_CORROBORATED or PARTIALLY_CORROBORATED included FAIL, if at least one Relationship Record with rr:ValidationDocuments REGULATORY_FILING and rr:ValidationSources FULLY_CORROBORATED or PARTIALLY_CORROBORATED included and rr:ValidationReference not included PASS, if at least one Relationship Record with rr:ValidationDocuments REGULATORY_FILING and rr:ValidationSources FULLY_CORROBORATED or PARTIALLY_CORROBORATED included and rr:ValidationReference included	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:ValidationDocuments /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:ValidationReference /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:ValidationSources	Introduced by ROC policy 'Collecting data on direct and ultimate parents of legal entities in the Global LEI System' (https://www.leiroc.org/publications/gls/lou_20161003-1.pdf)	
C000252	3.1.0	Report	CONSISTENCY	REQUIRED	Ensure correct period dates of retired relationships	Has $REPORTED_RELATIONSHIPS with rr:RegistrationStatus 'RETIRED'	For all applicable $REPORTED_RELATIONSHIPS: rr:RelationshipPeriod with rr:PeriodType 'RELATIONSHIP_PERIOD' $PRESENT rr:StartDate $PRESENT rr:EndDate $PRESENT if rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY','IS_ULTIMATELY_CONSOLIDATED_BY']: if rr:RelationshipPeriod with rr:PeriodType 'ACCOUNTING_PERIOD' $PRESENT if rr:RelationshipPeriod with rr:PeriodType 'ACCOUNTING_PERIOD' $PRESENT rr:StartDate $PRESENT rr:EndDate $PRESENT	NOT_APPLICABLE, if LEI has no RETIRED relationships FAIL, if any RETIRED relationship does not include a RELATIONSHIP_PERIOD and for rr:RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY also an ACCOUNTING_PERIOD or if any included RELATIONSHIP_PERIOD or ACCOUNTING_PERIOD does not have a StartDate and an EndDate PASS, if all applicable RETIRED relationships include a RELATIONSHIP_PERIOD and for rr:RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY also an ACCOUNTING_PERIOD and if all included RELATIONSHIP_PERIOD and ACCOUNTING_PERIOD have a StartDate and an EndDate	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:PeriodType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:StartDate /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:EndDate /rr:RelationshipType/rr:RealtionshipCategoryType	Standards for retired relationships introduced by the State Transition Rules for RR-CDF (https://www.gleif.org/en/about-lei/common-data-file-format/relationship-record-cdf-format)	
C000253	3.0.0	Report	CONSISTENCY	EXPECTED	Ensure relationship status is correct when parent record is inactive	Has $REPORTED_RELATIONSHIPS rr:RegistrationStatus NOT IN ['DUPLICATE', 'ANNULLED'] LEI record with lei:LEI == rr:EndNode/rr:NodeID has lei:RegistrationStatus IN ['MERGED', 'RETIRED']	For all applicable $REPORTED_RELATIONSHIPS: rr:RelationshipStatus 'INACTIVE'	NOT_APPLICABLE, if no relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED has a parent record with lei:RegistrationStatus MERGED or RETIRED FAIL, if any relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED is included where the parent record has lei:RegistrationStatus MERGED or RETIRED and the rr:RelationshipStatus is ACTIVE PASS, if all relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED where the parent record has lei:RegistrationStatus MERGED or RETIRED have rr:RelationshipStatus INACTIVE	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:Registration/rr:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipStatus	GLEIF State Transition Rules for RR-CDF Chapter '3.14. Parent merging, retiring, or is acquired' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	C000254 C000256 C000261
C000254	3.0.0	Report	CONSISTENCY	REQUIRED	Ensure relationship status is correct when child record is inactive	lei:RegistrationStatus ['MERGED', 'RETIRED'] rr:RegistrationStatus NOT ['DUPLICATE', 'ANNULLED']	rr:RelationshipStatus 'INACTIVE'	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, DUPLICATE or ANNULLED or if no relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED is included FAIL, if lei:RegistrationStatus RETIRED or MERGED and any relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED has rr:RelationshipStatus ACTIVE PASS, if lei:RegistrationStatus RETIRED or MERGED and all relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED have rr:RelationshipStatus INACTIVE	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipStatus	GLEIF State Transition Rules for RR-CDF Chapter '3.13. Child merging, retiring, or is acquired' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	C000253 C000256 C000261
C000255	3.0.0	Report	VALIDITY	REQUIRED	Verify plausibility of relationship period dates	Has $REPORTED_RELATIONSHIPS with rr:RelationshipPeriod/rr:StartDate $PRESENT rr:RelationshipPeriod/rr:EndDate $PRESENT	For all applicable $REPORTED_RELATIONSHIPS: rr:RelationshipPeriod/rr:StartDate <= rr:RelationshipPeriod/rr:EndDate	NOT_APPLICABLE, if no relationship record with periods that have both rr:RelationshipPeriod/rr:StartDate and rr:RelationshipPeriod/rr:EndDate included FAIL, if at least one Relationship Record with periods that have both rr:RelationshipPeriod/rr:StartDate and rr:RelationshipPeriod/rr:EndDate included and rr:RelationshipPeriod/rr:StartDate is after rr:RelationshipPeriod/rr:EndDate PASS, if at least one Relationship Record with periods that have both rr:RelationshipPeriod/rr:StartDate and rr:RelationshipPeriod/rr:EndDate included and rr:RelationshipPeriod/rr:StartDate is equal to or before rr:RelationshipPeriod/rr:EndDate	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:StartDate /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:EndDate	GLEIF State Transition Rules for RR-CDF Chapter '2.2. Date Plausibility' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	
C000256	3.0.0	Report	INTEGRITY	REQUIRED	Ensure valid connection between relationship and registration statuses	rr:RelationshipStatus 'INACTIVE'	rr:RegistrationStatus IN ['RETIRED', 'DUPLICATE', 'ANNULLED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL']	NOT_APPLICABLE, if no relationship records with rr:RelationshipStatus INACTIVE are included FAIL, if any relationship record with rr:RelationshipStatus INACTIVE and rr:RegistrationStatus PUBLISHED or LAPSED is included PASS, if all relationship records with rr:RelationshipStatus INACTIVE have rr:RegistrationStatus PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, DUPLICATE or ANNULLED	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipStatus	Rules for handling inactive relationships introduced by the State Transition Rules for RR-CDF (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	C000253 C000254 C000261
C000257	3.0.0	Report	UNIQUENESS	EXPECTED	Avoid redundancy in legal address and addresses in alternative languages	lei:OtherAddress@type 'ALTERNATIVE_LANGUAGE_LEGAL_ADDRESS' $PRESENT	For all applicable lei:OtherAddress: lei:OtherAddress@lang $PRESENT lei:OtherAddress@lang != lei:LegalAddress@lang lei:OtherAddress NOT $EQUALS_NORMALIZED lei:LegalAddress no pair of lei:OtherAddress $EQUALS_NORMALIZED Compared fields: lei:FirstAddressLine lei:AdditionalAddressLine{0,3} lei:AddressNumber lei:AddressNumberWithinBuilding lei:MailRouting lei:City lei:PostalCode	NOT_APPLICABLE, if no lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_LEGAL_ADDRESS included FAIL, if at least one lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_LEGAL_ADDRESS included and if lei:OtherAddress@lang not included, empty string or same as lei:LegalAddress@lang or @lang of another lei:OtherAddress with the same @type or if all elements in lei:OtherAddress are identical to the elements in lei:LegalAddress or any other lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_LEGAL_ADDRESS PASS, if all lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_LEGAL_ADDRESS included provide @lang tags different from lei:LegalAddress@lang and all @lang of other lei:OtherAddress with the same @type and if at least one element in lei:OtherAddress is not the same in lei:LegalAddress and all other lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_LEGAL_ADDRESS Note: Address elements that are normalized (remove punctuation and space, case-insensitive) and compared: FirstAddressLine, AdditionalAddressLines, AddressNumber, AddressNumberWithinBuilding, MailRouting, City, PostalCode. If an element is present in one address but not in the other, it will count as different and pass the NOT $EQUALS_NORMALIZED conditions.	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:lang /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:FirstAddressLine /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:AdditionalAddressLine{0,3} /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:AddressNumber /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:AddressNumberWithinBuilding /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:MailRouting /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:City /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:PostalCode /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress@type /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress@lang /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress/lei:FirstAddressLine /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress/lei:AdditionalAddressLine{0,3}	Implied by GLEIF State Transition Rules for LEI Common Data File Format Chapter '2.2.2. Language Codes' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000258

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000258	3.0.0	Report	UNIQUENESS	EXPECTED	Avoid redundancy in headquarters address and addresses in alternative languages	lei:OtherAddress@type 'ALTERNATIVE_LANGUAGE_HEADQUARTERS_ADDRESS' $PRESENT	For all applicable lei:OtherAddress: lei:OtherAddress@lang $PRESENT lei:OtherAddress@lang != lei:HeadquartersAddress@lang lei:OtherAddress NOT $EQUALS_NORMALIZED lei:HeadquartersAddress no pair of lei:OtherAddress $EQUALS_NORMALIZED Compared fields: lei:FirstAddressLine lei:AdditionalAddressLine{0,3} lei:AddressNumber lei:AddressNumberWithinBuilding lei:MailRouting lei:City lei:PostalCode	NOT_APPLICABLE, if no lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_HEADQUARTERS_ADDRESS included FAIL, if at least one lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_HEADQUARTERS_ADDRESS included and if lei:OtherAddress@lang not included, empty string or same as lei:HeadquartersAddress@lang or @lang of another lei:OtherAddress with the same @type or if all elements in lei:OtherAddress is identical to the elements in lei:HeadquartersAddress or any other lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_HEADQUARTERS_ADDRESS PASS, if all lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_HEADQUARTERS_ADDRESS included provide @lang tags different from lei:HeadquartersAddress@lang and all @lang of other lei:OtherAddress with the same @type and if at least one element in lei:OtherAddress is not the same in lei:HeadquartersAddress and all other lei:OtherAddress with lei:OtherAddress@type ALTERNATIVE_LANGUAGE_HEADQUARTERS_ADDRESS Note: Address elements that are normalized (remove punctuation and space, case-insensitive) and compared: FirstAddressLine, AdditionalAddressLines, AddressNumber, AddressNumberWithinBuilding, MailRouting, City, PostalCode. If an element is present in one address but not in the other, it will count as different and pass the NOT $EQUALS_NORMALIZED conditions.	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress@lang /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:FirstAddressLine /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:AdditionalAddressLine{0,3} /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:AddressNumber /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:AddressNumberWithinBuilding /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:MailRouting /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:City /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:PostalCode /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress@lang /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress@type /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress/lei:FirstAddressLine /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherAddresses/lei:OtherAddress/lei:AdditionalAddre	Implied by GLEIF State Transition Rules for LEI Common Data File Format Chapter '2.2.2. Language Codes' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000257
C000260	3.1.0	Report	CONSISTENCY	REQUIRED	Ensure complete relationship periods with start date for active entities	lei:EntityStatus 'ACTIVE' Has $REPORTED_RELATIONSHIPS with rr:RegistrationStatus NOT ['ANNULLED', 'DUPLICATE']	For all applicable $REPORTED_RELATIONSHIPS: At least one rr:RelationshipPeriod with rr:PeriodType 'RELATIONSHIP_PERIOD' $PRESENT rr:StartDate $PRESENT If rr:ValidationDocuments 'REGULATORY_FILING': rr:RelationshipPeriod with rr:PeriodType 'DOCUMENT_FILING_PERIOD' $PRESENT rr:StartDate $PRESENT if rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY', 'IS_ULTIMATELY_CONSOLIDATED_BY']: rr:RelationshipPeriod with rr:PeriodType 'ACCOUNTING_PERIOD' $PRESENT if rr:RelationshipPeriod with rr:PeriodType 'ACCOUNTING_PERIOD' $PRESENT rr:StartDate $PRESENT	NOT_APPLICABLE, if lei:EntityStatus INACTIVE or if no relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED included FAIL, if lei:EntityStatus ACTIVE and any included relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED does not have a RELATIONSHIP_PERIOD with start date and for rr:RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY also an ACCOUNTING_PERIOD with start date and for rr:ValidationDocuments REGULATORY_FILING also a REGULATORY_FILING_PERIOD with start date PASS, if lei:EntityStatus ACTIVE and all included relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED have a RELATIONSHIP_PERIOD with start date and for rr:RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY also an ACCOUNTING_PERIOD with start date and for rr:ValidationDocuments REGULATORY_FILING also a REGULATORY_FILING_PERIOD with start date	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:ValidationDocuments /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/lei:Registration/lei:EntityStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:PeriodType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:StartDate /rr:RelationshipType/rr:RealtionshipCategoryType	Rules on RelationshipPeriods introduced by GLEIF State Transition Rules for RR-CDF (https://www.gleif.org/content/2018-01-26_state-transition-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	C000252 C000266
C000261	3.0.0	Report	CONSISTENCY	REQUIRED	Ensure relationship's registration status is correct when child record lapses	- lei:RegistrationStatus 'LAPSED' - has $REPORTED_RELATIONSHIPS	For all $REPORTED_RELATIONSHIPS: rr:RegistrationStatus 'LAPSED' or $IMMUTABLE	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED or if no relationship records are included FAIL, if lei:RegistrationStatus LAPSED and any relationship record has rr:RegistrationStatus PUBLISHED, PENDING_TRANSFER or PENDING_ARCHIVAL PASS, if lei:RegistrationStatus LAPSED and all relationship records have rr:RegistrationStatus LAPSED, RETIRED, DUPLICATE or ANNULLED	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus	Standards introduced by the State Transition Rules for RR-CDF Chapter '3.23. Child lapses' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	
C000262	3.0.0	Report	CURRENCY	REQUIRED	Assert record and relationships share renewal cycle	Has $REPORTED_RELATIONSHIPS with rr:RelationshipStatus 'ACTIVE' rr:RegistrationStatus $MUTABLE	For all applicable $REPORTED_RELATIONSHIPS: rr:NextRenewalDate $PRESENT absolute difference between rr:NextRenewalDate and lei:NextRenewalDate <= 24:00:00	NOT_APPLICABLE, if no relationship records are included or if all relationship records have either rr:RelationshipStatus INACTIVE or rr:RegistrationStatus RETIRED, DUPLICATE or ANNULLED FAIL, if rr:RelationshipStatus ACTIVE and rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and rr:NextRenewalDate is not included or the absolute difference between lei:NextRenewalDate and rr:NextRenewalDate is larger than 24 hours PASS, if rr:RelationshipStatus ACTIVE and rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and rr:NextRenewalDate is included and the absolute difference between lei:NextRenewalDate and rr:NextRenewalDate is less than or equal to 24 hours Note: All dates and times are converted to UTC prior to comparison	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:NextRenewalDate /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:NextRenewalDate	Standards introduced by the State Transition Rules for RR-CDF Chapter '2.6 Renewal of LEI-CDF and RR-CDF' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	
C000263	3.0.0	Report	CONSISTENCY	EXCELLENT	Ensure child LEI and relationship records are managed by the same LEI issuer	lei:RegistrationStatus NOT ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'] Has $REPORTED_RELATIONSHIPS where rr:RegistrationStatus NOT ['PENDING_TRANSFER', 'PENDING_ARCHIVAL']	For all applicable $REPORTED_RELATIONSHIPS: lei:ManagingLOU == rr:ManagingLOU	NOT_APPLICABLE, if lei:RegistrationStatus PENDING_TRANSFER or PENDING_ARCHIVAL or if no relationship records are included or if all included relationship records have rr:RegistrationStatus PENDING_TRANSFER or PENDING_ARCHIVAL FAIL, if lei:RegistrationStatus ISSUED, LAPSED, RETIRED, MERGED, DUPLICATE or ANNULLED and any relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, RETIRED, DUPLICATE or ANNULLED included has rr:ManagingLOU different from lei:ManagingLOU PASS, if lei:RegistrationStatus ISSUED, LAPSED, RETIRED, MERGED, DUPLICATE or ANNULLED and all relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, RETIRED, DUPLICATE or ANNULLED included have rr:ManagingLOU same as lei:ManagingLOU	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:ManagingLOU /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ManagingLOU	LEI ROC report on 'Collecting data on direct and ultimate parents of legal entities in the Global LEI System – Phase 1' Chapter '3.2 Reporting by the parent or the "child"' (https://www.leiroc.org/publications/gls/lou_20161003-1.pdf)	
C000264	3.0.0	Report	CONSISTENCY	REQUIRED	Ensure relationship's registration status is correct when child record is invalid	lei:RegistrationStatus IN ['DUPLICATE', 'ANNULLED']	rr:RegistrationStatus 'ANNULLED'	NOT_APPLICABLE, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED or MERGED or if no relationship records are included FAIL, if lei:RegistrationStatus DUPLICATE or ANNULLED and any relationship record has rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED or DUPLICATE PASS, if lei:RegistrationStatus DUPLICATE or ANNULLED and all relationship records have rr:RegistrationStatus ANNULLED	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus	GLEIF State Transition Rules for RR-CDF Chapters '3.20. Child is a duplicate' and '3.26. Child is annulled' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	C000265
C000265	3.0.0	Report	CONSISTENCY	EXPECTED	Ensure relationship's registration status is correct when parent record is invalid	HAS $REPORTED_RELATIONSHIPS where the LEI record with lei:LEI == rr:EndNode/rr:NodeID has lei:RegistrationStatus IN ['DUPLICATE', 'ANNULLED']	For all applicable $REPORTED_RELATIONSHIPS: rr:RegistrationStatus 'ANNULLED'	NOT_APPLICABLE, if no relationship records is included where the parent LEI record has lei:RegistrationStatus DUPLICATE or ANNULLED FAIL, if any relationship record where the parent LEI record has lei:RegistrationStatus DUPLICATE or ANNULLED has rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED or DUPLICATE PASS, if all relationship records where the parent LEI record has lei:RegistrationStatus DUPLICATE or ANNULLED have rr:RegistrationStatus ANNULLED	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus	GLEIF State Transition Rules for RR-CDF Chapters '3.22. Parent or Head Office is a duplicate' and '3.28. Parent or head office is annulled' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	C000264
C000266	3.1.1	Report	VALIDITY	REQUIRED	Provide periods of valid types for relationships	Has $REPORTED_RELATIONSHIPS with rr:RegistrationStatus NOT IN ['ANNULLED', 'DUPLICATE']	For all applicable $REPORTED_RELATIONSHIPS: At least one rr:RelationshipPeriod with rr:PeriodType 'RELATIONSHIP_PERIOD' if rr:ValidationDocuments 'REGULATORY_FILING': At least one rr:RelationshipPeriod with rr:PeriodType 'DOCUMENT_FILING_PERIOD' if rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY','IS_ULTIMATELY_CONSOLIDATED_BY']: At least one rr:RelationshipPeriod with rr:PeriodType 'ACCOUNTING_PERIOD'	NOT_APPLICABLE, if LEI has no relationships with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED FAIL, if any relationship with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED does not include a RELATIONSHIP_PERIOD and if rr:RelationshipType is IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY an ACCOUNTING_PERIOD and if rr:ValidationDocuments is REGULATORY_FILING also a DOCUMENT_FILING_PERIOD PASS, if all relationships with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL or RETIRED include a RELATIONSHIP_PERIOD and if rr:RelationshipType is IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY an ACCOUNTING_PERIOD and if rr:ValidationDocuments is REGULATORY_FILING also a DOCUMENT_FILING_PERIOD	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:ValidationDocuments /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipPeriods/rr:RelationshipPeriod/rr:PeriodType	Standards for Relationship Records introduced by the State Transition Rules for RR-CDF (https://www.gleif.org/en/about-lei/common-data-file-format/relationship-record-cdf-format)	C000252 C000260

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000270	3.0.0	Report	CONSISTENCY	REQUIRED	Ensure correct transfer statuses for relationship records	lei:RegistrationStatus IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'] Has $MUTABLE $REPORTED_RELATIONSHIPS	For all applicable $REPORTED_RELATIONSHIPS: rr:RegistrationStatus == lei:RegistrationStatus	NOT_APPLICABLE, if lei:RegistrationStatus is ISSUED, LAPSED, RETIRED, MERGED, DUPLICATE or ANNULLED or if no relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included FAIL, if lei:RegistrationStatus is PENDING_TRANSFER or PENDING_ARCHIVAL and at least one relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included with rr:RegistrationStatus not identical to lei:RegistrationStatus PASS, if lei:RegistrationStatus is PENDING_TRANSFER or PENDING_ARCHIVAL and for all applicable relationship records rr:RegistrationStatus equals lei:RegistrationStatus Note: Relationship records with rr:RegistrationStatus RETIRED, DUPLICATE or ANNULLED are not considered for this Check	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus	Rules for transfer of Relationship Records introduced by GLEIF State Transition Rules for RR-CDF (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	
C000271	3.0.0	Report	COMPREHENSIVENESS	EXPECTED	Ensure previous and trading names are unique	lei:OtherEntityName $PRESENT lei:OtherEntityNameType IN ['PREVIOUS_LEGAL_NAME', 'TRADING_OR_OPERATING_NAME']	For all applicable lei:OtherEntityName lei:OtherEntityName != lei:LegalName lei:OtherEntityName $UNIQUE	NOT_APPLICABLE, if no lei:OtherEntityName with lei:OtherEntityNameType PREVIOUS_LEGAL_NAME or TRADING_OR_OPERATING_NAME is included FAIL, if any pair of lei:LegalName and lei:OtherEntityNames with lei:OtherEntityNameType PREVIOUS_LEGAL_NAME or TRADING_OR_OPERATING_NAME is exactly the same (exact string match, no normalization) PASS, if no pair of lei:LegalName and lei:OtherEntityNames with lei:OtherEntityNameType PREVIOUS_LEGAL_NAME or TRADING_OR_OPERATING_NAME is exactly the same (exact string match, no normalization)	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalName /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherEntityNames/lei:OtherEntityName /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:OtherEntityNames/lei:OtherEntityName@type	Definition of previous and trading names in LEI-CDF documentation Chapter '2.3.85. SimpleType lei:EntityNameTypeEnum' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2017-03-21_lei-cdf-v2-1.pdf)	C000272 (Deprecated)
C000273	3.0.1	Report	ACCURACY	REQUIRED	Avoid duplication of validation authority	lei:OtherValidationAuthorities $PRESENT lei:ValidationAuthority/lei:ValidationAuthorityID != 'RA000466'	lei:ValidationAuthority $PRESENT For all lei:OtherValidationAuthority: lei:OtherValidationAuthority/lei:ValidationAuthorityID != lei:ValidationAuthority/lei:ValidationAuthorityID	NOT_APPLICABLE, if lei:OtherValidationAuthorities not included or if lei:ValidationAuthority/lei:ValidationAuthorityID is RA000466 FAIL, if lei:OtherValidationAuthorities included and not RA000466 and if any lei:OtherValidationAuthority/lei:ValidationAuthorityID is the same as lei:ValidationAuthority/lei:ValidationAuthorityID PASS, if lei:OtherValidationAuthorities included and not RA000466 and if all lei:OtherValidationAuthority/lei:ValidationAuthorityID are different from lei:ValidationAuthority/lei:ValidationAuthorityID	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:OtherValidationAuthorities/lei:OtherValidationAuthority /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:OtherValidationAuthorities/lei:OtherValidationAuthority/lei:ValidationAuthorityID	State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	
C000274	3.0.0	Report	ACCURACY	REQUIRED	Valid connection between relationship and registration statuses	Has $REPORTED_RELATIONSHIPS with rr:RelationshipStatus 'ACTIVE'	For all applicable $REPORTED_RELATIONSHIPS: rr:RegistrationStatus IN [$MUTABLE, 'ANNULLED', 'DUPLICATE']	NOT_APPLICABLE, if no relationship record with rr:RelationshipStatus ACTIVE is included FAIL, if any ACTIVE relationship record has rr:RegistrationStatus RETIRED PASS, if all ACTIVE relationship records have rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, DUPLICATE or ANNULLED	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipStatus	Rules for RelationshipStatus introduced by GLEIF State Transition Rules for RR-CDF (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	
C000275	3.1.0	Report	CONSISTENCY	REQUIRED	Ensure RA code corresponds to legal jurisdiction	lei:RegistrationStatus $MUTABLE lei:RegistrationAuthority $PRESENT lei:RegistrationAuthorityID IN $RA_CODE_LIST	lei:RegistrationAuthorityID IN ['RA888888', 'RA999999'] OR IF EntityCategory != 'BRANCH' $RA_CODE_LIST/CountryCode == LegalJurisdiction (country part) OR IF EntityCategory == 'BRANCH' $RA_CODE_LIST/CountryCode == lei:LegalAddress/Country	NOT_APPLICABLE, if lei:RegistrationStatus RETIRED, MERGED, DUPLICATE or ANNULLED or lei:RegistrationAuthority not included or lei:RegistrationAuthorityID not in RA Code List FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:RegistrationAuthorityID is valid RA Code and not RA888888 or RA999999 and lei:LegalJurisdiction (country part), or if lei:EntityCategory is BRANCH lei:LegalAddress/Country, does not match the registers jurisdiction from RA Code list PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:RegistrationAuthorityID is valid RA Code and lei:LegalJurisdiction (country part), or if lei:EntityCategory is BRANCH lei:LegalAddress/Country, matches the registers jurisdiction from RA code list or lei:RegistrationAuthorityID RA888888 or RA999999	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalJurisdiction /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:Country /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityCategory	Introduction of Registration Authority Codes in GLEIF State Transition Rules for LEI-CDF Chapter '2.9. Registration Authority Reporting' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000299
C000276	3.0.0	Report	PROVENANCE	EXCELLENT	Ensure the entity's register number has the expected local format	lei:RegistrationStatus $MUTABLE lei:RegistrationAuthority $PRESENT lei:RegistrationAuthorityID NOT IN ['RA888888', 'RA999999'] lei:RegistrationAuthorityID IN $RA_FORMAT_LIST/registration_authority	lei:RegistrationAuthorityEntityID $PRESENT lei:RegistrationAuthorityEntityID $PATTERN_MATCH $RA_FORMAT_LIST/regex	NOT_APPLICABLE, if lei:RegistrationStatus RETIRED, MERGED, DUPLICATE or ANNULLED or if lei:RegistrationAuthority not included or if lei:RegistrationAuthorityID RA888888 or RA999999 or if lei:RegistrationAuthorityID not included in Registration Authority Format List FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:RegistrationAuthorityID is included in Registration Authority Format List and lei:RegistrationAuthorityEntityID is not included or does not match with the pattern defined for this lei:RegistrationAuthorityID PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:RegistrationAuthorityID is included in Registration Authority Format List and lei:RegistrationAuthorityEntityID matches with the pattern defined for this lei:RegistrationAuthorityID	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityEntityID	Definition of BusinessRegisterEntityID introduced by the ROC with CDF 1.0 (https://www.gleif.org/gls/lou_20140620.pdf)	
C000278	3.0.0	Report	REPRESENTATION	EXPECTED	Ensure local registration identifiers are not repeated	lei:OtherRegistrationAuthorityID $PRESENT	lei:OtherRegistrationAuthorityID NOT $EQUALS_NORMALIZED lei:RegistrationAuthorityEntityID	NOT_APPLICABLE, if lei:OtherRegistrationAuthorityID is not included FAIL, if normalized lei:OtherRegistrationAuthorityID is identical to normalized lei:RegistrationAuthorityEntityID PASS, if normalized lei:OtherRegistrationAuthorityID is different from normalized lei:RegistrationAuthorityEntityID	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:OtherRegistrationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityEntityID	Best Practice for the population and handling of legacy/historical data, i.e. registration authority reference codes introduced by Common Data File Format CDF 2.1 (https://www.gleif.org/en/about-lei/common-data-file-format/lei-cdf-format)	
C000279	3.0.1	Report	ACCURACY	REQUIRED	Verify expected level of validation for unregistered entities	lei:RegistrationAuthorityID 'RA999999' lei:RegistrationStatus $MUTABLE	lei:ValidationSources 'ENTITY_SUPPLIED_ONLY'	NOT_APPLICABLE, if lei:RegistrationAuthorityID is not RA999999 or if lei:RegistrationStatus is RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:RegistrationAuthorityID RA999999 and lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:ValidationSources is FULLY_CORROBORATED or PARTIALLY_CORROBORATED PASS, if lei:RegistrationAuthorityID RA999999 and lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:ValidationSources is ENTITY_SUPPLIED_ONLY	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationSources	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.5.8 ValidationSourcesEnum Code List' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000345 C000280
C000281	3.2.0	Report	CONSISTENCY	EXPECTED	Ensure ELF code corresponds to legal jurisdiction	lei:RegistrationStatus $MUTABLE lei:LegalJurisdiction $PRESENT lei:LegalFormCode IN $ELF_CODE_LIST	lei:EntityLegalFormCode IN ['8888', '9999'] OR $ELF_CODE_LIST/CountryCode == LegalJurisdiction OR $ELF_CODE_LIST/SubDivisionCode == lei:LegalJurisdiction	NOT_APPLICABLE, if lei:RegistrationStatus RETIRED, MERGED, DUPLICATE or ANNULLED or lei:LegalJurisdiction not included or lei:LegalFormCode is not a valid code from the Entity Legal Form Code List FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalJurisdiction included and lei:LegalFormCode is a valid, non-reserved code from the Entity Legal Form Code List and lei:LegalJurisdiction different from the ELF codes assigned country or subdivision code PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:LegalJurisdiction included and lei:LegalFormCode either a reserved code (8888, 9999) or a valid code from the Entity Legal Form Code List and lei:LegalJurisdiction matches the ELF codes assigned country or subdivision code	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalJurisdiction /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalForm/lei:EntityLegalFormCode	International Standard 20275 'Financial services Entity legal forms (ELF)', published by the International Standard Organization (https://www.iso.org/standard/67462.html)	C000300
C000283	3.0.0	Report	REPRESENTATION	EXPECTED	Ensure OtherLegalForm is not in ELF codelist	lei:RegistrationStatus $MUTABLE lei:OtherLegalForm $PRESENT	lei:OtherLegalForm NOT IN $ELF_CODE_LIST	NOT_APPLICABLE, if lei:RegistrationStatus RETIRED, MERGED, DUPLICATE or ANNULLED or lei:OtherLegalForm not included FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:OtherLegalForm equals any code from the Entity Legal Forms Code List PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and lei:OtherLegalForm included and different from all codes in the Entity Legal Form Code List	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalForm/lei:OtherLegalForm	International Standard 20275 'Financial services Entity legal forms (ELF)', published by the International Standard Organization (https://www.iso.org/standard/67462.html)	
C000284	3.0.0	Report	INTEGRITY	REQUIRED	Ensure appropriate entity categorization for entities declaring branch relationship	Has $MUTABLE $REPORTED_RELATIONSHIPS with rr:RelationshipType 'IS_INTERNATIONAL_BRANCH_OF'	lei:EntityCategory 'BRANCH'	NOT_APPLICABLE, if no relationship record with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF and rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included FAIL, if at least one relationship record with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF and rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included and lei:EntityCategory is not specified or different from BRANCH PASS, if at least one relationship record with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF and rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included and lei:EntityCategory is specified as BRANCH	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityCategory /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType	Introduced by ROC policy 'Including data on international/foreign branches in the Global LEI System' (https://www.leiroc.org/publications/gls/roc_20160711-1.pdf)	

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000285	3.0.0	Report	INTEGRITY	REQUIRED	Only one active relationship of type IS_INTERNATIONAL_BRAN CH_OF for Branches	lei:RegistrationStatus $MUTABLE Has exactly one $MUTABLE $REPORTED_RELATIONSHIPS Has no $REPORTED_EXCEPTIONS	rr:RelationshipType 'IS_INTERNATIONAL_BRANCH_OF'	NOT_APPLICABLE, if lei:RegistrationStatus RETIRED, MERGED, DUPLICATE or ANNULLED or if Reporting Exceptions are included or if either no or one more relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included FAIL, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and no reporting exceptions are included and exactly one relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included with rr:RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY PASS, if lei:RegistrationStatus ISSUED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and no reporting exceptions are included and exactly one relationship record with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL is included with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF	/repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:LEI (count) /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:StartNode/rr:NodeID (count) /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType	Introduced by ROC policy 'Including data on international/foreign branches in the Global LEI System' (https://www.leiroc.org/publicati ons/gls/roc_20160711-1.pdf)	
C000286	3.0.0	Report	INTEGRITY	REQUIRED	Ensure branches have expected relationship information	lei:EntityCategory 'BRANCH' lei:RegistrationStatus IN ['ISSUED', 'LAPSED']	has no $REPORTED_EXCEPTIONS has no $REPORTED_RELATIONSHIPS with rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY', 'IS_ULTIMATELY_CONSOLIDATED_BY'] has exactly one $REPORTED_RELATIONSHIPS with rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] rr:RelationshipType 'IS_INTERNATIONAL_BRANCH_OF'	NOT_APPLICABLE, if lei:EntityCategory not 'BRANCH' or lei:RegistrationStatus PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED FAIL, if lei:EntityCategory BRANCH and lei:RegistrationStatus ISSUED or LAPSED and at least one of the following conditions: - no relationship records - one or more exceptions - one or more relationships with rr:RelationshipType IS_DIRECTLY_CONSOLIDATED_BY or IS_ULTIMATELY_CONSOLIDATED_BY and rr:RegistrationStatus PUBLISHED or LAPSED - either no or more than one relationship with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF with rr:RegistrationStatus PUBLISHED or LAPSED PASS, if lei:EntityCategory BRANCH and lei:RegistrationStatus ISSUED or LAPSED and exactly one relationship with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF with rr:RegistrationStatus PUBLISHED or LAPSED and no other PUBLISHED or LAPSED relationships or reporting exceptions	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:EntityCategory /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:StartNode/rr:NodeID (count) /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:LEI (count)	Introduced by ROC policy 'Including data on international/foreign branches in the Global LEI System' (https://www.leiroc.org/publicati ons/gls/roc_20160711-1.pdf)	C000284 C000285
C000287	3.1.1	Report	UNIQUENESS	EXCELLENT	Ensure there is only one branch per country and it has correct country information	lei:RegistrationStatus IN ['ISSUED', 'LAPSED'] has exactly one $REPORTED_RELATIONSHIPS where rr:RelationshipType 'IS_INTERNATIONAL_BRANCH_OF' rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED']	For all applicable $REPORTED_RELATIONSHIPS: rr:EndNode/rr:NodeID $VALID lei:LegalAddress/lei:Country != lei:LegalJurisdiction of the LEI record with lei:LEI == rr:EndNode/rr:NodeID For all LEI records with lei:LEI == rr:StartNode/rr:NodeID where rr:EndNode/rr:NodeID == RUT rr:EndNode/rr:NodeID and rr:RelationshipType 'IS_INTERNATIONAL_BRANCH_OF': RUT lei:LegalAddress/lei:Country $UNIQUE	NOT_APPLICABLE, if lei:RegistrationStatus PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED or if no relationship record with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF or with rr:RegistrationStatus PUBLISHED or LAPSED is included or if there is more than one such branch relationship included FAIL, if lei:RegistrationStatus ISSUED or LAPSED and exactly one relationship with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF with rr:RegistrationStatus PUBLISHED or LAPSED is included and rr:EndNode/rr:NodeID is not found in the Global LEI Repository or if lei:LegalAddress/lei:Country of the branch is the same as the lei:LegalJurisdiction (country part) of the head office or if another branch of the head office exists with the same lei:LegalAddress/lei:Country PASS, if lei:RegistrationStatus ISSUED or LAPSED and exactly one relationship with rr:RelationshipType IS_INTERNATIONAL_BRANCH_OF with rr:RegistrationStatus PUBLISHED or LAPSED is included and rr:EndNode/rr:NodeID is found in the Global LEI Repository and lei:LegalAddress/lei:Country of the branch is not the same as the lei:LegalJurisdiction (country part) of the head office and no other branch of the head office exists with the same lei:LegalAddress/lei:Country	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalJurisdiction /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:Country /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:StartNode/rr:NodeID /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:EndNode/rr:NodeID /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus	Introduced by ROC policy 'Including data on international/foreign branches in the Global LEI System' (https://www.leiroc.org/publicati ons/gls/roc_20160711-1.pdf)	
C000288	3.0.0	Report	COMPLETENESS	EXPECTED	No repetition of legal address postal code in other legal address fields	lei:LegalAddress/lei:PostalCode $PRESENT	lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:FirstAddressLine lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:AdditionalAddressLine[1] lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:AdditionalAddressLine[2] lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:AdditionalAddressLine[3] lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:City lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:AddressNumber lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:AddressNumberWithinBuilding lei:LegalAddress/lei:PostalCode NOT $SUBSTRING lei:LegalAddress/lei:MailRouting	NOT_APPLICABLE, if lei:LegalAddress/lei:PostalCode is not included FAIL, if lei:LegalAddress/lei:PostalCode is repeated as part of any other lei:LegalAddress field PASS, if lei:LegalAddress/lei:PostalCode is not repeated as part of any other lei:LegalAddress field Note: Region and Country fields are not considered for this Check, as they are under the validation of ISO 3166 standard	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress@lang /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:FirstAddressLine /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:AdditionalAddressLine{0,3} /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:AddressNumber /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:AddressNumberWithinBuilding /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:MailRouting /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:City /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalAddress/lei:PostalCode	Structured representation of addresses introduced with Common Data File Format 2.1 (https://www.gleif.org/content/ 2-about-lei/6-common-data-file-format/1-lei-cdf-format/2017-03-21_lei-cdf-v2-1.pdf)	
C000289	3.0.0	Report	COMPLETENESS	EXPECTED	No repetition of headquarters address postal code in other headquarters address fields	lei:HeadquartersAddress/lei:Postal Code $PRESENT	lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:FirstAddressLine lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:AdditionalAddressLine[1] lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:AdditionalAddressLine[2] lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:AdditionalAddressLine[3] lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:City lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:AddressNumber lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:AddressNumberWithinBuilding lei:HeadquartersAddress/lei:PostalCode NOT $SUBSTRING lei:HeadquartersAddress/lei:MailRouting	NOT_APPLICABLE, if lei:HeadquartersAddress/lei:PostalCode is not included FAIL, if lei:HeadquartersAddress/lei:PostalCode is repeated as part of any other lei:HeadquartersAddress field PASS, if lei:HeadquartersAddress/lei:PostalCode is not repeated as part of any other lei:HeadquartersAddress field Note: Region and Country fields are not considered for this Check, as they are under the validation of ISO 3166 standard	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:FirstAddressLine /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:AdditionalAddressLine{0,3} /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:AddressNumber /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:AddressNumberWithinBuilding /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:MailRouting /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:City /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:HeadquartersAddress/lei:PostalCode	Structured representation of addresses introduced with Common Data File Format 2.1 (https://www.gleif.org/content/ 2-about-lei/6-common-data-file-format/1-lei-cdf-format/2017-03-21_lei-cdf-v2-1.pdf)	
C000291	3.0.2	Report	CONSISTENCY	EXPECTED	Declared ultimate parent meets the requirements for ultimate parents	lei:RegistrationStatus 'ISSUED' has exactly one $REPORTED_RELATIONSHIPS with rr:RelationshipType 'IS_ULTIMATELY_CONSOLIDATED_BY' rr:RegistrationStatus 'PUBLISHED' LEI record with lei:LEI == rr:EndNode/rr:NodeID has lei:RegistrationStatus NOT ['PENDING_TRANSFER','PENDING_ARCHIVAL'] has $MUTABLE $REPORTED_RELATIONSHIPS OR has $REPORTED_EXCEPTIONS	LEI record with lei:LEI == rr:EndNode/rr:NodeID has no $MUTABLE $REPORTED_RELATIONSHIPS has exactly one $REPORTED_EXCEPTIONS with repex:ExceptionReason IN ['NATURAL_PERSONS', 'NON_CONSOLIDATING', 'NO_KNOWN_PERSON'] repex:ExceptionCategory 'ULTIMATE_ACCOUNTING_CONSOLIDATION_PARENT' has exactly one $REPORTED_EXCEPTIONS with repex:ExceptionReason IN ['NATURAL_PERSONS', 'NON_CONSOLIDATING', 'NO_KNOWN_PERSON'] repex:ExceptionCategory 'DIRECT_ACCOUNTING_CONSOLIDATION_PARENT'	NOT_APPLICABLE, if lei:RegistrationStatus is LAPSED, PENDING_TRANSFER, PENDING_ARCHIVAL, RETIRED, MERGED, DUPLICATE or ANNULLED or if no public ultimate parent relationships with rr:RegistrationStatus PUBLISHED are included or if the declared ultimate parent has lei:RegistrationStatus PENDING_TRANSFER or PENDING_ARCHIVAL or is not declaring any relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL and also no Reporting Exceptions FAIL, if lei:RegistrationStatus ISSUED and at least one public ultimate parent relationship with rr:RegistrationStatus PUBLISHED is included and the ultimate parent is declaring any relationship records with rr:RegistrationStatus PUBLISHED, LAPSED, PENDING_TRANSFER or PENDING_ARCHIVAL or if the ultimate parent is declaring Reporting Exceptions with repex:ExceptionReason NO_LEI, LEGAL_OBSTACLES, CONSENT_NOT_OBTAINED, BINDING_LEGAL_COMMITMENTS, DETRIMENT_NOT_EXCLUDED or DISCLOSURE_DETRIMENTAL PASS, if lei:RegistrationStatus ISSUED and at least one public ultimate parent relationship with rr:RegistrationStatus PUBLISHED is included and the ultimate parent is declaring exactly one Reporting Exception for its direct parent and one for its ultimate parent with repex:ExceptionReason NON_CONSOLIDATING, NO_KNOWN_PERSON or NATURAL_PERSONS; additional relationship records with rr:RegistrationStatus RETIRED, DUPLICATE or ANNULLED may be included	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:EndNode/rr:NodeID /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:LEI /repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:ExceptionCategory /repex:ReportingExceptionData/repex:ReportingExceptions/repex:Exception/repex:ExceptionReason	Introduced by ROC policy 'Collecting Data on Direct and Ultimate Parents of Legal Entities in the Global LEI System' (https://www.leiroc.org/publicati ons/gls/lou_20161003-1.pdf)	
C000292	3.0.0	Report	INTEGRITY	REQUIRED	Ensure entity identifier is not provided for unregistered entities	lei:RegistrationAuthorityID 'RA999999'	lei:RegistrationAuthorityEntityID NOT $PRESENT	NOT_APPLICABLE, if lei:RegistrationAuthorityID is not RA999999 FAIL, if lei:RegistrationAuthorityID RA999999 and lei:RegistrationAuthorityEntityID is included PASS, if lei:RegistrationAuthorityID RA999999 and lei:RegistrationAuthorityEntityID is not included	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityEntityID	State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/ 2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	
C000295	3.0.0	Report	CONSISTENCY	REQUIRED	Ensure information on other validation authority is not repeated as validation entity identifier	lei:OtherValidationAuthorityID $PRESENT	lei:OtherValidationAuthorityID NOT $EQUALS_NORMALIZED lei:ValidationAuthorityEntityID	NOT_APPLICABLE, if lei:OtherValidationAuthorityID is not included FAIL, if lei:OtherValidationAuthorityID is equal to lei:ValidationAuthorityEntityID (normalized) PASS, if lei:OtherValidationAuthorityID is different from lei:ValidationAuthorityEntityID (normalized)	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityEntityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:OtherValidationAuthorityID	State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/ 2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000296

Data Governance Check Specification

check_id	version	tag	criterion	maturity_level	intention	precondition	condition	expected_check_results	cdf_fields	check_rationale	related_checks
C000296	3.0.0	Report	CONSISTENCY	REQUIRED	Ensure information on other validation authority is not repeated as validation authority	lei:OtherValidationAuthorityID $PRESENT	lei:OtherValidationAuthorityID NOT $EQUALS_NORMALIZED lei:ValidationAuthorityID	NOT_APPLICABLE, if lei:OtherValidationAuthorityID is not included FAIL, if lei:OtherValidationAuthorityID is equal to lei:ValidationAuthorityID (normalized) PASS, if lei:OtherValidationAuthorityID is different from lei:ValidationAuthorityID (normalized)	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:OtherValidationAuthorityID	State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2)	C000295
C000298	3.0.0	Report	INTEGRITY	REQUIRED	Ensure successor information corresponds to the registration status	lei:RegistrationStatus NOT 'ANNULLED' lei:SuccessorLEI $PRESENT OR lei:SuccessorEntityName $PRESENT	IF lei:SuccessorLEI $PRESENT: lei:RegistrationStatus IN ['MERGED', 'DUPLICATE'] OR IF lei:SuccessorEntityName $PRESENT: lei:RegistrationStatus 'MERGED'	NOT_APPLICABLE, if lei:RegistrationStatus 'ANNULLED' or if neither lei:SuccessorLEI nor lei:SuccessorEntityName is included FAIL, if lei:SuccessorLEI is included and lei:RegistrationStatus is 'ISSUED', 'LAPSED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL' or 'RETIRED' or if lei:SuccessorEntityName is included and lei:RegistrationStatus is 'ISSUED', 'LAPSED', 'PENDING_TRANSFER', 'PENDING_ARCHIVAL', 'RETIRED' or 'DUPLICATE' PASS, if lei:SuccessorLEI is included and lei:RegistrationStatus is 'MERGED' or 'DUPLICATE' or if lei:SuccessorEntityName is included and lei:RegistrationStatus is 'MERGED'	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:RegistrationStatus /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:SuccessorEntity/lei:SuccessorLEI /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:SuccessorEntity/lei:SuccessorEntityName	Introduced by ROC policy 'LEI Data File Format 1.0' Chapter '3.3.1 Entity Section of LEI Data Record' (https://www.leiroc.org/publications/gls/lou_20140620.pdf)	C000155
C000299	3.0.0	Report	COMPLETENESS	REQUIRED	Ensure valid RA code is included		lei:RegistrationAuthorityID $PRESENT lei:RegistrationAuthorityID IN $RA_CODE_LIST	this Check is never NOT_APPLICABLE, that means it is applicable for all LEIs FAIL, if lei:RegistrationAuthorityID not included or not a valid code from the current GLEIF Registration Authorities List PASS, if lei:RegistrationAuthorityID included and a valid code from the current GLEIF Registration Authorities List	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID	Introduction of Registration Authority Codes in 'GLEIF State Transition Rules for LEI-CDF' Chapter '2.9. Registration Authority Reporting' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000275
C000300	3.1.1	Report	CONSISTENCY	REQUIRED	Ensure valid ELF code is included		lei:EntityLegalFormCode $PRESENT lei:EntityLegalFormCode IN $ELF_CODE_LIST	this Check is never NOT_APPLICABLE, that means it is applicable for all LEIs FAIL, if lei:EntityLegalFormCode not included or not a valid code from the current Entity Legal Forms Code List PASS, if lei:EntityLegalFormCode included and a valid code from the current Entity Legal Forms Code List	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:LegalForm/lei:EntityLegalFormCode	International Standard 20275 'Financial services Entity legal forms (ELF)', published by the International Standard Organization (https://www.iso.org/standard/67462.html)	C000281
C000301	3.0.0	Report	UNIQUENESS	EXPECTED	Ensure no duplicate relationship records are introduced	Has $REPORTED_RELATIONSHIPS with rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY', 'IS_ULTIMATELY_CONSOLIDATED_BY'] Has $EXISTING_RELATIONSHIPS with rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY', 'IS_ULTIMATELY_CONSOLIDATED_BY'] $REPORTED_RELATIONSHIPS	For all applicable $REPORTED_RELATIONSHIPS: Has exactly one $EXISTING_RELATIONSHIPS where $REPORTED_RELATIONSHIPS rr:RelationshipType == $EXISTING_RELATIONSHIPS rr:RelationshipType $REPORTED_RELATIONSHIPS rrFileHeader:Originator == $EXISTING_RELATIONSHIPS rrFileHeader:Originator Has no $EXISTING_RELATIONSHIPS where $REPORTED_RELATIONSHIPS rrFileHeader:Originator != $EXISTING_RELATIONSHIPS rrFileHeader:Originator	NOT_APPLICABLE, if no relationship record with rr:RegistrationStatus PUBLISHED or LAPSED is included or if no relationship records with the same rr:StartNode/rr:NodeID, rr:EndNode/rr:NodeID, rr:RelationshipType (duplicate relationship) and rr:RegistrationStatus PUBLISHED or LAPSED are present in the Global LEI Repository FAIL, if at least one relationship record with rr:RegistrationStatus PUBLISHED or LAPSED is included and there is at least one duplicate relationship (same StartNode, same EndNode, same RelationshipType) present in the Global LEI Repository and there is more than one duplicate relationship from the same rrFileHeader:Originator or any duplicate relationship from a different rrFileHeader:Originator PASS, if at least one relationship record with rr:RegistrationStatus PUBLISHED or LAPSED is included and there is at least one duplicate relationship (same StartNode, same EndNode, same RelationshipType) present in the Global LEI Repository and there is only one duplicate relationship from the same rrFileHeader:Originator and no duplicate relationship from a different rrFileHeader:Originator	/rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Registration/rr:RegistrationStatus /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:StartNode/rr:NodeID /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:EndNode/rr:NodeID /rr:RelationshipData/rr:RelationshipRecords/rr:RelationshipRecord/rr:Relationship/rr:RelationshipType /rr:RelationshipData/rr:Header/rr:Originator	State Transition Rules for RR CDF Chapter '2.7 Unique Relationships' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/2-relationship-record-cdf-format/2018-01-26_state-transition-rules-for-rr-cdf_v1.2-final.pdf)	
C000303	3.0.1	Report	VALIDITY	REQUIRED	Ensure no validation source is given for uncorroborated records	lei:ValidationSources $PRESENT lei:ValidationSources 'ENTITY_SUPPLIED_ONLY'' lei:ValidationAuthorityID != 'RA888888'	lei:ValidationAuthority NOT $PRESENT OR lei:ValidationAuthorityID 'RA999999'	NOT_APPLICABLE, if lei:ValidationSources not included, PARTIALLY_CORROBORATED or FULLY_CORROBORATED or if lei:ValidationAuthorityID is RA888888 FAIL, if lei:ValidationAuthorityID is not RA888888 and lei:ValidationSources is ENTITY_SUPPLIED_ONLY and lei:ValidationAuthority is included and lei:ValidationAuthorityID is not RA999999 PASS, if lei:ValidationAuthorityID is not RA888888 and lei:ValidationSources is ENTITY_SUPPLIED_ONLY and lei:ValidationAuthority is not included or lei:ValidationAuthorityID is RA999999	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationSources	GLEIF State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000302
C000304	3.0.0	Report	VALIDITY	EXPECTED	Ensure consistent validation information based on registration	lei:RegistrationAuthority $PRESENT lei:RegistrationAuthorityID NOT ['RA888888', 'RA999999'] lei:ValidationAuthority $PRESENT	lei:ValidationAuthorityID NOT ['RA888888', 'RA999999']	NOT_APPLICABLE, if lei:RegistrationAuthority not included or if lei:RegistrationAuthorityID RA888888 or RA999999 or if lei:ValidationAuthority not included FAIL, if lei:RegistrationAuthority included and lei:RegistrationAuthorityID not RA888888 or RA999999 and lei:ValidationAuthority included and lei:ValidationAuthorityID RA888888 or RA999999 PASS, if lei:RegistrationAuthority included and lei:RegistrationAuthorityID not RA888888 or RA999999 and lei:ValidationAuthority included and lei:ValidationAuthorityID not RA888888 or RA999999	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID	GLEIF State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000305
C000305	3.0.0	Report	VALIDITY	EXPECTED	Ensure consistent register information based on validation	lei:ValidationAuthority $PRESENT lei:ValidationAuthorityID NOT ['RA888888', 'RA999999'] lei:RegistrationAuthority $PRESENT	lei:RegistrationAuthorityID NOT ['RA888888', 'RA999999']	NOT_APPLICABLE, if lei:ValidationAuthority not included or if lei:ValidationAuthorityID RA888888 or RA999999 or if lei:RegistrationAuthority not included FAIL, if lei:ValidationAuthority included and lei:ValidationAuthorityID not RA888888 or RA999999 and lei:RegistrationAuthority included and lei:RegistrationAuthorityID RA888888 or RA999999 PASS, if lei:ValidationAuthority included and lei:ValidationAuthorityID not RA888888 or RA999999 and lei:RegistrationAuthority included and lei:RegistrationAuthorityID not RA888888 or RA999999	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID /lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Entity/lei:RegistrationAuthority/lei:RegistrationAuthorityID	GLEIF State Transition Rules for LEI-CDF Chapter '2.8. Validation' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	C000304
C000306	3.0.0	Report	COMPLETENESS	REQUIRED	Ensure valid register code is used for validation		lei:ValidationAuthority $PRESENT lei:ValidationAuthorityID IN $RA_CODE_LIST	this Check is never NOT_APPLICABLE, that means it is applicable for all LEIs FAIL, if lei:ValidationAuthority not included or lei:ValidationAuthorityID not a valid code from the current RA Code List PASS, if lei:ValidationAuthority included and lei:ValidationAuthorityID is a valid code from the current RA Code List	/lei:LEIData/lei:LEIRecords/lei:LEIRecord/lei:Registration/lei:ValidationAuthority/lei:ValidationAuthorityID	Introduction of Registration Authority Codes in GLEIF State Transition Rules for LEI-CDF Chapter '2.9. Registration Authority Reporting' (https://www.gleif.org/content/2-about-lei/6-common-data-file-format/1-lei-cdf-format/2018-01-26_state-transition-rules-for-lei-cdf_v1.2-final.pdf)	

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2021-04-28	C000303	3.0.1	"lei:ValidationAuthorityID != 'RA888888'" to precondition		Check version from 3.0.0 to 3.0.1
2021-04-20	C000180	3.0.2			Fix unintended Exception result when check should Fail Check version from 3.0.1 to 3.0.2
2021-04-15	C000180	3.0.1			Failure message to include involved LOUs Check version from 3.0.0 to 3.0.1
2021-04-15	C000240	3.0.1	lei:RegistrationStatus NOT IN ['PENDING_TRANSFER','PENDING_ARCHIVAL'] to precondition		Check version from 3.0.0 to 3.0.1
2021-04-15	C000266	3.1.1			Notes to clarify Expected Check Results Check version changed from 3.1.0 to 3.1.1
2021-04-15	C000273	3.0.1	"lei:ValidationAuthority/lei:ValidationAuthorityID != 'RA000466'" to precondition		Check version from 3.0.0 to 3.0.1
2021-03-17	C000232	3.3.0			Version from 3.2.0 to 3.3.0
2021-03-17	C000244	3.0.1			condition from "No $MUTABLE $REPORTED_RELATIONSHIPS" to "No $REPORTED_RELATIONSHIPS with rr:RegistrationStatus IN ['PUBLISHED','LAPSED']" Check version from 3.0.0 to 3.0.1
2021-03-17	C000291	3.0.2	"has lei:RegistrationStatus NOT ['PENDING_TRANSFER','PENDING_ARCHIVAL']" to precondition		Check version set from 3.0.1 to 3.0.2
2021-02-10	C000300	3.1.1			Only ELF code lists v1.3 is used Set check version to 3.1.1
2021-02-03	C000232	3.2.0	LEI-Issuer Tunisie Clearing is added to the accredited list		

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2021-02-01	C000232	3.3.0	LEI-Issuer KELER is added to the accredited list		
2021-01-07	C000075	3.4.0			Check updated to only include ISO 3166 updates released on 24th November 2020 (end of transition period of old and new version) Check version set to 3.4.0
2020-12-03	C000075	3.4.0			Check updated to include ISO 3166 updates released on 24th November 2020 (transition period of old and new version) Check version set to 3.3.0
2020-12-03	C000291	3.0.1			Bug Fix: changed precondition to "has exactly one $REPORTED_RELATIONSHIPS with..." to take care of edge case Included LEI Code and exception reasons in error messages Improved wording in precondition and condition descriptions Check version set to 3.0.1
2020-11-19	C000243	3.0.1	LEI(s) causing the Check to FAIL to the CheckResult message		Check version to 3.0.1
2020-11-19	C000247	3.0.1			Fixed a bug causing the Check to fail if a parent LEI is in transfer Check version set to 3.0.1
2020-11-19	C000287	3.1.1			CheckResult messages to include LEI Code(s) of record(s) causing a failure Check version set to 3.1.1

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-11-19	C000300	3.2.1			Combined ELF code lists v1.2 and v1.3 are accepted Set check version to 3.1.0
2020-11-19	C000300	3.1.1			ELF code lists v1.2 and v1.3 are accepted Set check version to 3.1.0
2020-10-19	C000232	3.3.0		LEI-Issuer CFSTC is removed from the accredited list	
2020-10-16	C000232	3.3.0	LEI-Issuer CFCC is added to the accredited list		
2020-10-14	C000232	3.3.0	LEI-Issuer NasdaqLEI is added to the accredited list		
2020-09-24	C000275	3.1.0	Special rule for Branch based on ELF code list implementation v1.2		Check version changed to 3.1.0
2020-09-24	C000287	3.1.1	lei:LegalAddress/lei:Country != lei:LegalJurisdiction of the LEI record with lei:LEI == rr:EndNode/rr:NodeID to the condition	lei:LegalJurisdiction (Country part) != lei:LegalJurisdiction (Country part) of the LEI record with lei:LEI == rr:EndNode/rr:NodeID from condition	Check version set to 3.1.0
2020-06-23	C000097	3.4.0			Check updated to include GLEIF Accepted Jurisdiction code list v1.2
2020-06-12	C000232	3.3.0	LEI-Issuer InfoCert is added to the accredited list		Version from 3.1.0 to 3.2.0
2020-06-10	C000281	3.2.0			Check updated to include ELF code list v1.2
2020-05-26	C000075	3.4.0			Check updated to include ISO 3166 updates released on 3rd March 2020
2020-05-26	C000097	3.4.0			Check updated to include ISO 3166 updates released on 3rd March 2020
2020-05-05	C000075	3.4.0			Check updated to include ISO 3166 updates released on 3rd March 2020 (transition period of old and new version)
2020-05-05	C000097	3.4.0			Check updated to include ISO 3166 updates released on 3rd March 2020 (transition period of old and new version)

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-05-05	C000232	3.1.0	LEI-Issuer Xerius is added to the accredited list		Version from 3.0.0 to 3.1.0
2020-03-25	C000182	3.0.0			Maturity Level from 3 (EXCELLENT) to 2 (EXPECTED) Check migrated to Data Governance Facility framework
2020-03-25	C000183	3.0.0			Maturity Level from 3 (EXCELLENT) to 2 (EXPECTED) Data Quality Criterion from Comprehensiveness to Integrity Check migrated to Data Governance Facility framework
2020-03-25	C000252	3.1.0		Requirement to include ACCOUNTING_PERIOD for relationships not based on accounting consolidation	Version from 3.0.0 to 3.1.0
2020-03-25	C000259	3.1.0		lei:ValidationAuthority NOT $PRESENT from the condition to align the check with C000306	Version from 3.0.0 to 3.1.0
2020-03-25	C000260	3.1.0	rr:RegistrationStatus NOT ['ANNULLED', 'DUPLICATE'] to precondition	lei:RegistrationStatus $MUTABLE from precondition Requirement to include ACCOUNTING_PERIOD for branch relationships	Check version from 3.0.0 to 3.1.0
2020-03-25	C000266	3.1.0	rr:RegistrationStatus NOT IN ['ANNULLED', 'DUPLICATE']	Requirement to include ACCOUNTING_PERIOD for branch relationships	Check version changed from 3.0.0 to 3.1.0
2020-03-25	C000271	3.0.0	lei:OtherNameType 'TRADING_OR_OPERATING_NAME' in precondition Comparison of applicable lei:OtherEntityName pairs in condition		Data Quality Criterion from CURRENCY to COMPREHENSIVENESS Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-02-28	C000066	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000155	3.0.0			Check simplified and split into additional related checks Check applies to MERGED records only Check migrated to Data Governance Facility framework
2020-02-28	C000173	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000180	3.0.0	$COUNT(lei:LEI) > 1 to precondition $COUNT(lei:LEI) == 2 leiFileHeader:Originator different for all lei:LEI if RUT has lei:RegistrationStatus IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'], the other record has lei:RegistrationStatus NOT IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'] if RUT has lei:RegistrationStatus NOT IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'], the other record has lei:RegistationStatus 'PENDING_ARCHIVAL'	lei:RegistrationStatus IN ['ISSUED', 'LAPSED', 'RETIRED', 'MERGED', 'ANNULLED'] from precondition $COUNT(lei:LEI) with lei:RegistrationStatus NOT 'DUPLICATE' == 1 from condition	Check migrated to Data Governance Facility framework
2020-02-28	C000232	3.0.0			ManagingLOU must be an LEI code from the list of accredited LOUs instead of an existing LEI Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-02-28	C000239	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000243	3.0.1		lei:InitialRegistrationDate >= 2017-05-01 from precondition lei:NextRenewalDate >= 2018-07-01 from precondition	Check migrated to Data Governance Facility framework
2020-02-28	C000247	3.0.1			Check migrated to Data Governance Facility framework
2020-02-28	C000253	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000254	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000256	3.0.0			Quality Criterion from ACCURACY to INTEGRITY Check migrated to Data Governance Facility framework
2020-02-28	C000257	3.0.0	lei:OtherAddress@lang $PRESENT to condition No pair of lei:OtherAddress $EQUALS_NORMALIZED to condition		Data Quality Criterion from ACCURACY to UNIQUENESS Check migrated to Data Governance Facility framework
2020-02-28	C000258	3.0.0	lei:OtherAddress@lang $PRESENT to condition No pair of lei:OtherAddress $EQUALS_NORMALIZED to condition		Data Quality Criterion from ACCURACY to UNIQUENESS Check migrated to Data Governance Facility framework
2020-02-28	C000261	3.0.0		rr:RelationshipType restrictions from precondition lei:RegistrationStatus restrictions for the parent from precondition	Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-02-28	C000262	3.0.0	rr:NextRenewalDate $PRESENT to the condition	rr:RelationshipType restrictions from precondition	Maturity Level from 2 (EXPECTED) to 1 (REQUIRED) Data Quality Criterion from CONSISTENCY to CURRENCY Check migrated to Data Governance Facility framework
2020-02-28	C000263	3.0.0		rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY', 'IS_ULTIMATELY_CONSOLIDATED_BY'] from precondition	Check migrated to Data Governance Facility framework
2020-02-28	C000264	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000265	3.0.0			Maturity Level from 1 (REQUIRED) to 2 (EXPECTED) Check migrated to Data Governance Facility framework
2020-02-28	C000273	3.0.0	lei:ValidationAuthority $PRESENT to condition		Check migrated to Data Governance Facility framework
2020-02-28	C000275	3.1.0	lei:RegistrationAuthority $PRESENT in precondition lei:RegistrationAuthorityID IN $RA_CODE_LIST in precondition	lei:ValidationSources NOT 'ENTITY_SUPPLIED_ONLY' from precondition lei:RegistrationAuthorityID $PRESENT from precondition Requirement that jurisdiction/code combination is present in $RA_FORMAT_LIST from precondition	Check migrated to Data Governance Facility framework
2020-02-28	C000276	3.0.0		lei:EntityCategory NOT IN ['BRANCH', 'FUND'] from precondition	Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-02-28	C000276	3.0.0		lei:EntityCategory NOT IN ['BRANCH', 'FUND'] from precondition	Check migrated to Data Governance Facility framework
2020-02-28	C000281	3.2.0	lei:EntityLegalFormCode IN ['8888', '9999'] to condition	lei:LegalFormCode NOT IN ['8888', '9999'] from precondition lei:InitialRegistrationDate >= 2018-03-01 from precondition	Check migrated to Data Governance Facility framework
2020-02-28	C000283	3.0.0			Check migrated to Data Governance Facility framework
2020-02-28	C000286	3.0.0	has no $REPORTED_EXCEPTION to condition has no $REPORTED_RELATIONSHIP where rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] and rr:RelationshipType IN ['IS_DIRECTLY_CONSOLIDATED_BY', 'IS_ULTIMATELY_CONSOLIDATED_BY'] to condition has exactly one $REPORTED_RELATIONSHIP where rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] and rr:RelationshipType 'IS_INTERNATIONAL_BRANCH_OF' to condition	lei:ManagingLOU == leiFileHeader:Originator == rr:ManagingLOU == rrFileHeader:Originator from condition	Data Quality Criterion from CONSISTENCY to INTEGRITY Check migrated to Data Governance Facility framework
2020-02-28	C000287	3.1.1	rr:RegistrationStatus IN ['PUBLISHED', 'LAPSED'] to precondition rr:EndNode/rr:NodeID $VALID to condition	lei:RegistrationStatus IN ['PENDING_TRANSFER', 'PENDING_ARCHIVAL'] from precondition	Check applies to the Branch (child) instead of the Head Office (parent) Check migrated to Data Governance Facility framework
2020-02-28	C000298	3.0.0			
2020-02-28	C000299	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000275
2020-02-28	C000300	3.2.1			

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2020-02-28	C000300	3.1.1			
2020-02-28	C000301	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000245
2020-02-28	C000302	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000280
2020-02-28	C000303	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000280
2020-02-28	C000303	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000280
2020-02-28	C000304	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000280
2020-02-28	C000305	3.0.0			New check introduced in Data Governance Facility framework as a result of the review of check C000280
2020-02-28	C000306	3.0.0			New check introduced in Data Governance Facility framework with the implementation of check C000299
2019-08-08	C000020	3.0.0	lei:LegalName NOT IN ['NOT AVAILABLE', 'N.A.', 'N/A']; case insensitive to condition lei:LegalName NOT consisting only of $PUNCTUATION_CHARACTER to condition		Check migrated to Data Governance Facility framework
2019-08-08	C000075	3.4.0			Check migrated to Data Governance Facility framework
2019-08-08	C000076	3.0.0	Kosovo (XK) to the list of allowed values		Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2019-08-08	C000097	3.4.0	For records with lei:NextRenewalDate >= 2020-07-01T00:00:00+00:00: lei:LegalJurisdiction IN $GLEIF_ACCEPTED_LEGAL_JURISDICTIONS to condition Kosovo (XK) to the list of allowed values	lei:LegalJurisdiction must be included in precondition	Include $MUTABLE in precondition instead of excluding $IMMUTABLE Check migrated to Data Governance Facility framework
2019-08-08	C000145	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000146	3.0.0	One day grace period for ISSUED LEI that passed lei:NextRenewalDate, ensuring equal treatment of all time zones during comparison Leap year handling		Maturity Level from 2 (EXPECTED) to 1 (REQUIRED) Complete date-time string for all timestamp fields is used for comparison Check migrated to Data Governance Facility framework
2019-08-08	C000153	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000154	3.0.0			Complete date-time string for all timestamp fields is used for comparison Check migrated to Data Governance Facility framework
2019-08-08	C000156	3.0.0			Restated the EntityExpirationDate minimum threshold as per ISO 8601 standards Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2019-08-08	C000157	3.0.0			Restated the EntityExpirationDate minimum threshold as per ISO 8601 standards Check migrated to Data Governance Facility framework
2019-08-08	C000172	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000174	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000175	3.0.0	lei:EntityExpirationReason included in precondition		Check migrated to Data Governance Facility framework
2019-08-08	C000176	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000237	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000240	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000244	3.0.0	Does not share repex:ExceptionCategory with any another $REPORTED_EXCEPTIONS to condition		Maturity level from 2 (EXPECTED) to 1 (REQUIRED) Check migrated to Data Governance Facility framework
2019-08-08	C000245	3.0.0		Date restrictions from precondition	Check migrated to Data Governance Facility framework
2019-08-08	C000250	3.0.0		Requirement to include an URL in rr:ValidationReference from condition	Check migrated to Data Governance Facility framework
2019-08-08	C000252	3.0.0		Requirement to include REGULATORY_FILING period (covered by C000266)	Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2019-08-08	C000255	3.0.0			Maturity Level from 2 (EXPECTED) to 1 (REQUIRED) Check migrated to Data Governance Facility framework
2019-08-08	C000259	3.0.0	Requirement for lei:ValidationAuthorityEntityID and lei:OtherValidationAuthorityID in the condition		Check migrated to Data Governance Facility framework Removed lei:ValidationAuthority NOT $PRESENT from the condition to align the check with C000306
2019-08-08	C000260	3.0.0		lei:EntityCategory NOT 'BRANCH' in precondition	Check migrated to Data Governance Facility framework
2019-08-08	C000266	3.0.0		Exclusion of branches from precondition rr:ValidationSources restrictions from precondition	Maturity Level from 2 (EXPECTED) to 1 (REQUIRED) Check migrated to Data Governance Facility framework
2019-08-08	C000270	3.0.0	$MUTABLE $REPORTED_RELATIONSHIPS in precondition	lei:EntityCategory NOT 'BRANCH' in precondition	Check migrated to Data Governance Facility framework
2019-08-08	C000274	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000278	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000279	3.0.0			lei:RegistrationStatus from NOT $IMMUTABLE to $MUTABLE in precondition Check migrated to Data Governance Facility framework
2019-08-08	C000280	3.0.0		lei:RegistrationAuthorityID $PRESENT in precondition (required by lei-cdf v2.1 xml schema)	Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2019-08-08	C000284	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000285	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000288	3.0.0	Include lei:LegalAddress/lei:City in condition Include lei:LegalAddress/lei:AddressNumber in condition Include lei:LegalAddress/lei:AddressNumberWithinBuilding in condition Include lei:LegalAddress/lei:MailRouting in condition		Match substrings instead of full strings Check migrated to Data Governance Facility framework
2019-08-08	C000289	3.0.0	Include lei:HeadquartersAddress/lei:City in condition Include lei:HeadquartersAddress/lei:AddressNumber in condition Include lei:HeadquartersAddress/lei:AddressNumberWithinBuilding in condition Include lei:HeadquartersAddress/lei:MailRouting in condition		Match substrings instead of full strings Check migrated to Data Governance Facility framework

Data Governance Check Specification

Date	Check	Version	Added	Removed	Changed
2019-08-08	C000291	3.0.2		Requirements for internally declared ultimate parents from condition	Maturity Level from 3 (EXCELLENT) to 2 (EXPECTED) Check migrated to Data Governance Facility framework
2019-08-08	C000292	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000295	3.0.0			Check migrated to Data Governance Facility framework
2019-08-08	C000296	3.0.0			Check migrated to Data Governance Facility framework

Data Governance Check Specification

registration_authority	regex
RA000017	^(\d{1,6})$\|^(\d{1,6})\s?([a-z])$|^(\d{9,10})$\|^(\d{8,13})$
RA000025	^(BE\d{10})$\|^(\d{9,10})$|^(\d{3,4}\.\d{3}\.\d{3})$
RA000081	^(\d{10})$
RA000156	^(\d{9,11})$
RA000163	^(\d{8})$\|^(\d{3}\s\d{2}\s\d{3})$
RA000164	^(\d{8})$
RA000170	^(\d{8})$
RA000181	^(\d{8})$
RA000188	^(\d{7}-\d{1})$\|^(\d{8})$
RA000189	^(\d{9})$\|^(\d{3}\s\d{3}\s\d{3})$
RA000197	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000200	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000201	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000203	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000204	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000205	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000206	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000207	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000208	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000209	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000210	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000213	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000215	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000216	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000217	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000218	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$

Data Governance Check Specification

registration_authority	regex
RA000219	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000220	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000221	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000222	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000224	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000225	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000226	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000227	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000228	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000229	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000230	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000231	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000232	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000233	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000234	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000235	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000236	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000238	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000239	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000240	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000241	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000242	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000243	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000244	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000245	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000246	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$

Data Governance Check Specification

registration_authority	regex
RA000247	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000248	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000249	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000251	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000252	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000253	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000255	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000257	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000258	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000259	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000260	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000261	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000262	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000263	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000266	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000267	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000268	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000269	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000270	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000271	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000272	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000273	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000274	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000275	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000276	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$
RA000277	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvú√ñv Ñ]{1,3})?$

Data Governance Check Specification

registration_authority	regex
RA000278	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000279	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000280	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000281	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000282	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000283	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000284	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000285	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000286	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000287	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000288	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000289	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000290	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000291	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000292	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000293	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000295	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000296	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000297	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000298	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000299	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000300	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000301	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000302	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000303	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000304	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$

Data Governance Check Specification

registration_authority	regex
RA000305	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000306	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000307	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000308	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000309	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000310	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000311	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000312	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000313	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000314	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000315	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000316	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000317	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000319	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000320	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000321	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000322	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000324	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000325	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000326	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000328	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000329	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000330	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000331	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000332	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$
RA000333	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZVúvñvÑ]{1,3})?$

Data Governance Check Specification

registration_authority	regex
RA000336	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000337	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000338	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000339	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000340	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000341	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000343	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000345	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000347	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000348	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000349	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000350	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000351	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000352	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000353	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000354	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000355	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000356	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000358	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000360	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000362	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000363	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000364	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000365	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000368	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$
RA000369	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-Zvúvñvñ]{1,3})?$

Data Governance Check Specification

registration_authority	regex
RA000370	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000371	^((HRA|HRB|HRV|GnR|VR|PR)\s\d{1,8})(\s?[A-ZvúvñvÑ]{1,3})?$
RA000391	^(\d{8})$\|^(\d{2}-\d{2}-\d{6})$
RA000393	^(\d{10})$\|^(\d{6}-\d{4})$
RA000394	^([U|L]\d{5}[AP|AR|AS|BR|CT|GA|GJ|HR|HP|JK|JH|KA|KL|MP|MH|MN|MZ|NL|OR|PB|PN|RJ|SK|TN|TG|TR|TZ|UT|ML|UP|WB|AN|CH|DN|DD|DL|LD|PY]{2}\d{4}[A-Z]{3}\d{6}|[A-Z]{3}-\d{4}|[A-Z]{1}\d{5})$
RA000407	^(\d{9})$\|^([A-Z]{2}\s?-\s?\d{3,8})$|^(\d{7,11})$\|^(\d{11,16})$|^([A-Z]{6}[0-9]{2}[A-Z][0-9]{2}[A-Z][0-9A-Z]{3}[A-Z])$
RA000423	^(\d{11})$
RA000428	^(FL-\d{4}\.\d{3}\.\d{3}\-\d{1})$
RA000430	^(\d{9})$
RA000432	^((B|E|I|J|0|S|A|F|G|K|D)\d{1,6})$
RA000449	^([A-Zvë\&]{3}(\ ?-?\ ?)[0-9]{6}(\ ?-?\ ?)[A-Z0-9]{3})$
RA000463	^(\d{8,12})$
RA000472	^(\d{9})$\|^(\d{3}\s\d{3}\s\d{3})$
RA000473	^(\d{9})$\|^(\d{3}\s\d{3}\s\d{3})$
RA000544	^(\d{10}(\ \d{3})?)$\|^(\d{6}-\d{4}(\ \d{3})?)$|^(\d{14})$
RA000585	^([A-Z]{2}\d{6})$\|^(R\d{7})$|^(\d{8})$\|^(IP\d{5}R)$
RA000586	^([A-Z]{2}\d{6})$\|^(R\d{7})$|^(\d{8})$\|^(IP\d{5}R)$
RA000587	^([A-Z]{2}\d{6})$\|^(R\d{7})$|^(\d{8})$\|^(IP\d{5}R)$

Data Governance Check Specification

Term	Description
ALPHABETICAL	Describes a string that is non-numeric.
ELF_CODE_LIST	List of official ISO 20275 Entity Legal Form Codes. The Entity Legal Form Code List is maintained by GLEIF and can be found at: https://www.gleif.org/en/about-lei/code-lists/iso-20275-entity-legal-forms-code-list
ELF_CORROBORATION_LIST	Enables mapping between ELF codes and expected corroboration level.
ELF_STATUS	Describes the status of an ELF code from the ELF_CODE_LIST. Values: - "ACTV" for active ELF codes - "INAC" for inactive ELF codes
EQUALS_NORMALIZED	Checks whether two values are the same when `$NORMALIZED`. Example: | Test Values | $EQUALS_NORMALIZED Value | | :---: | :---: | | `This is… a test!` together with `THIS is A test` | True |
EXISTING_RELATIONSHIPS	Defines set of relationship records, which are present in the Global LEI repository and where rr:StartNode/rr:NodeID matches the RUT's lei:LEI code.
GLEIF_ACCEPTED_LEGAL_JURISDICTIONS	The GLEIF list of Accepted Legal Jurisdictions. The code list is maintained at: https://www.gleif.org/en/about-lei/code-lists/gleif-accepted-legal-jurisdictions-code-list

Data Governance Check Specification

Term	Description
IMMUTABLE	End (terminal) states of the LEI registration. A record is considered $IMMUTABLE if its lei:RegistrationStatus or rr:RegistrationStatus matches one of - ANNULLED - DUPLICATE - MERGED (LEI only) - RETIRED In the case of Relationship Records, MERGED does not exist. The internal states CANCELLED, TRANSFERRED, and PENDING_VALIDATION are not included for LEI or RR.
ISO_3166_1_ALPHA_2	List of officially-assigned ISO 3166-1 alpha-2 country codes. Example: | AF | Afghanistan | | :---: | :---: |
ISO_3166_2	List of officially-assigned ISO 3166-2 subdivision codes. Example: | DE-HE | Hessen | | :---: | :---: |
LANGUAGE_ISO_3166_1_ALPHA_2	A two letter language code from the ISO 3166 Country Language Codes List.
LANGUAGE_ISO_3166_1_ALPHA_3	A three letter language code from the ISO 3166 Country Language Codes List.
LEI_ISSUER	List of LEI codes of all currently accredited and operational LEI Issuers (Local Operating Units, or LOUs).

Data Governance Check Specification

Term	Description
LENGTH	Describes the length of a string.
MUTABLE	Published and transient states of an LEI registration. An LEI record is considered $MUTABLE if its lei:RegistrationStatus matches one of - ISSUED (LEI only) - PUBLISHED (RR only) - LAPSED - PENDING_TRANSFER - PENDING_ARCHIVAL This corresponds to the complement of $IMMUTABLE. The internal states CANCELLED, TRANSFERRED, and PENDING_VALIDATION are not included for LEI or RR.

Data Governance Check Specification

Term	Description
NORMALIZED	This function takes an input string and outputs a string value with - all whitespace removed (including leading, trailing, and all internal whitespace); - all $PUNCTUATION_CHARACTER characters removed; - all letters made upper-case. Example: | Test Value | NORMALIZED Value | | :---: | :---: | | `This is… a test!` | `THISISATEST` | Whitespace characters are - Spaces - Tabs - New lines
PATTERN_MATCH	Checks whether the pattern for the value matches the regular expression. Example: | Yields true: `1234` | matches: `^(/d{4})$` | | :---: | :---: |

Data Governance Check Specification

Term	Description
PRESENT	Field exists and does not contain only whitespace characters. Whitespace characters are - Spaces - Tabs - New lines
PUNCTUATION_CHARACTER	Any character matching POSIX bracket expression [:punct:].
RA_CODE_LIST	List of official Registration Authorities Codes. The Registration Authorities Code List is maintained by GLEIF and can be found at: https://www.gleif.org/en/about-lei/code-lists/gleif-registration-authorities-list Example: | RA000001 | Afghanistan Central Business Registry (Ministry of Commerce and Industries) | | :---: | :---: |
RA_FORMAT_LIST	List of covered registration authorities and their associated regular expression format. The Registration Authorities Format List is maintained by GLEIF and can be found at: https://www.gleif.org/en/lei-data/gleif-data-quality-management/about-the-data-quality-reports/supporting-documents

Data Governance Check Specification

Term	Description

REPORTED_{TYPE}_PARENT_INFO	Where {TYPE} is either ULTIMATE or DIRECT:
	
	- $REPORTED_ULTIMATE_PARENT_INFO
	- $REPORTED_DIRECT_PARENT_INFO
	
	Defines set of RR/REPEX records linked to a given LEI record by:
	
	- For Reporting Exceptions:
	  - repex:LEI matches LEI record's lei:LEI
	  - and repex:ReportingException with repex:ExceptionCategory {TYPE}_ACCOUNTING_CONSOLIDATION_PARENT.
	- For Relationship Records:
	  - Relationship Record's rr:StartNode/rr:NodeID matches LEI record's lei:LEI o and rr:RelationshipType corresponds to {TYPE}
	  - and (if Originator information is available) the LEI record and REPEX/RR record must share the same Originator.
	
	This could include multiple Relationship Records and/or Reporting Exceptions.

REPORTED_CHILD_RELATIONSHIPS	Defines set of RR records for which rr:EndNode/rr:NodeID matches the LEI record's LEI code.
REPORTED_EXCEPTIONS	The REPEX records linked to a given LEI record: - repex:LEI matches LEI record's lei:LEI; - If Originator information is available: the LEI record and REPEX record must share the same Originator.

Data Governance Check Specification

Term	Description
REPORTED_RELATIONSHIPS	The Relationship Records linked to a given LEI record: - rr:StartNode/rr:NodeID matches LEI record's LEI code - and (if Originator information is available) the LEI record and RR record share the same Originator. This does not consider attributes such as rr:RegistrationStatus or rr:RelationshipType.
SOLE_PROPRIETOR_ELF_CODE_LIST	List of ELF codes related to the lei:EntityCategory 'SOLE_PROPRIETOR' providing information whether an ELF can or cannot be associated with an individual acting in a business capacity.
SUBSTRING	A given string matches at least part of another. A substring match is: - case-insensitive, and - aware of word boundaries (internal spaces) Example: | Test Value | SUBSTRING Value | | :---: | :---: | | `hELLo` is to be found in `This is hello guys!` | True | | `hELLo` is to be found in `Thisishelloguys!` | False | | `hELLo` is to be found in `This is helloguys!` | False |
UNIQUE	The combination of the fields is unique - one and only one.
VALID	The content of the field is present/exists in the Global LEI Repository.