External Supplier Control Obligations

Data Management

Control Area	Control Title	Control Description	Why this is important
Metadata Management	Identifying Critical Data Elements	The Supplier/Subcontractor must refer to the Critical Data Element ("CDE") as defined in "Appendix A - Definitions of CDE & Data Quality Dimensions", should be able to identify any critical data being produced (including data that Barclays deems critical) and inform Barclays about the same.	This control is required to identify Critical Data Elements (CDEs) and to define business metadata on these CDEs to effectively manage and use data across Barclays. It is important that supplier/subcontractor and Barclays should be able to jointly identify these CDEs if applicable.

Control Area	Control Title	Control Description	Why this is important
Data Lineage	Capture Data Lineage to establish Data Quality controls from source to target	The supplier/subcontractor must understand the front to back flow of the data to capture lineage from its source to its target and to enable the establishment of appropriate Data Quality controls.	To identify the appropriate controls required for the data the supplier/subcontractor must understand where the data is coming from and where it is going to.

Control Area	Control Title	Control Description	Why this is important
Data Quality	Data Quality Controls / Measures Framework Documentation Data Quality Dimension Coverage	Data quality controls, and measures to monitor their effectiveness must be defined, documented and implemented at an appropriate granularity. The framework within which the controls and measures operate must be documented and reviewed annually. Preventative and/or Detective Data Quality Controls / Measures must be defined, approved and appropriately implemented by a recognized data owner within the supplier/subcontractor's organization. The controls must consider the quality of data in one or more of the following dimensions as appropriate: - Completeness - Consistency - Accuracy	If these requirements are not implemented then it may result in Barclays ingesting and / or distributing data of that does not meet the required quality which may result in legal and regulatory sanction, reputational damage, loss / disruption of business.

		- Timeliness - Duplication (Uniqueness) - Conformity - Coverage	
	Data Quality Controls / Measures Reporting & Remediation	Each CDE must have at least one control for each of Completeness, Timeliness and Accuracy. Refer to "Appendix A - Definitions of CDE & Data Quality Dimensions" for definition of the above dimensions. Data Quality Controls / Measures must be monitored, reported and governed. All exceptions that impact the service/data related to Barclays will be treated as issues and exception must be immediately reported to Barclays within a reasonable timeframe with a remediation plan, where the progress of the remediation is tracked following the supplier/subcontractor's governance structure.	

Control Area	Control Title	Control Description	Why this is important
Reference Data	Utilise Industry Standard Reference Data	When provisioning data to Barclays the Supplier/Subcontractor must agree the sourcing of standardized reference data and taxonomies with Barclays, unless reference data is (1) from a recognised international standard, in which case such standard must be agreed by Barclays in writing, or (2) sourced from the pre-approved list below: • ISO 3166 Country Codes • ISO 4217 Currency Codes • UK Standard Industrial Classification of Economic Activities (UKSIC) • Standard Industrial Classification (SIC) • North American Industrial Classification System (NAICS) • Nomenclature des Activités Économiques dans la Communauté Européenne (NACE) • Nomenclature of Territorial Units for Statistics (NUTS) • Society for Worldwide Interbank Financial Telecommunication (Swift) • Air Traffic Organization (ATO) • ISO10383 Market Identifier Code (MIC)	To promote standardisation and consistency across all Barclays data, regardless of whether hosted internally or externally.
Data Architecture	Preserve Data Integrity	If supplier/subcontractor holds data on behalf of Barclays (whether supplied by Barclays or provisioned to Barclays), then the Supplier/Subcontractor must ensure that the data will be protected from loss or corruption, and reconciled at an agreed frequency (at least monthly) so that the data remains accurate and complete over time.	To ensure data remains accurate and complete over time.
	Reconciliation Control Information	Where the Supplier/Subcontractor is provisioning data into Barclays then the Supplier/Subcontractor must provide control information to allow reconciliation of this data on receipt by Barclays.	To ensure receipt of accurate and complete data
	Externally hosted data made available	Supplier/Subcontractor must provision any data they hold or maintain on behalf of Barclays back into the Barclays environment to support regulatory, risk or business analysis.	Data must be made available to Barclays to allow identification of any regulatory or risk impacts, etc. within the SLAs set out in any applicable Barclays contract.
	Recovery to known-point-in-time	Supplier/Subcontractor must ensure their services are designed to recover to a known point in time with accurate and consistent data.	To ensure data integrity is preserved and recovery process does not re-instate the failure scenario. Although it is recognised that Recovery Point Objective does allow for a certain loss

			of data, from a data perspective data must always be recovered.

Control Area	Control Title	Control Description	Why this is important
Authoritative Data Sources	Supplier/Subcontractor supporting activities for Trusted Source Assessment	In relation to applications provided by the supplier/subcontractor that are managed by Barclays, the supplier/subcontractor must support Barclays activities for Trusted Source Assessment. 3rd party applications that are not managed by Barclays are out of scope for the Trusted Source Assessment, however suppliers/subcontractors should follow the remaining Supplier Control Obligations, and ensure that such applications can be trusted as reliable sources of data.	It is important to identify and establish the authoritative data sources (ADS) and rules for provision of such ADS. Supplier/Subcontractor should assess the reliable sources of data.

Appendix A: Glossary

Definitions of CDE & Data Quality Dimensions

Critical Data Element

A conceptual unit of data that has been defined by Barclays as Critical for Barclays and, has a purpose and meaning that is unambiguous and are subject to the Data Management Standards and includes:

- Critical Data element names, definitions, ownership
- Personal Data
- Regulatory flags (where applicable)
- Authoritative Data Sources
- Procedures to manage, integrate and publish metadata content

Definitions of 3rd party managed / non managed applications

3rd Party Applications managed by Barclays: Developed and/or hosted by vendor and data managed by Barclays (have an entry on Barclays Internal System-ServiceFirst)

3rd party applications non-managed by Barclays: Developed hosted and data managed by vendor (may not have an entry on Barclays Internal System ServiceFirst)

Definitions		
Definitions of CDE & Data Quality Dimensions	Accuracy	Extent to which data is a correct reflection of reality at a given point in time
	Completeness	Extent to which mandatory fields are populated with data (if there are no values captured in a field or it is NULL when there should be a value, this means the dataset is incomplete)
	Conformity	Extent to which data conforms to Data Quality standards that were set for a Critical Data Element, including format and use of allowable reference data values
	Consistency	Extent to which data in one dataset is the same as in another one
	Coverage	Extent to which a dataset contains the right scope of data for its intended purpose
	Duplication (Uniqueness)	Extent to which there are any Critical Data Elements that exist more than once within a particular dataset
	Timeliness	Extent to which the data was provided within an agreed timescale, and the extent to which the data is up-to-date in line with its usage requirements
	Data Quality Control	The action to enforce DQ Rules through a system or process to identify, prevent, or mitigate data quality exceptions. It can be either automated or a manual process
	Data Quality Measure	A Data Quality Measure is a quantitative indicator against one or more Data Quality Dimensions and/or a pre-defined Target used to determine if the data is fit for purpose