附件

Annex

中信银行市场风险管理系统管理办法（2.0版，2023年）

CITIC Bank Market Risk Management System Management Policy (Version 2.0, 2023)

**第一章 总 则**

**Chapter I General Provisions**

第一条【目的】为规范中信银行市场风险管理系统的使用，保障系统的稳定运行以及数据的及时性、准确性和完整性，根据《中信银行市场风险管理政策》、《中信银行数据质量管理办法》等管理制度，制定本办法。

Article 1 [Purpose] In order to regulate the use of CITIC Bank's market risk management system and to ensure the stable operation of the system as well as the timeliness, accuracy and completeness of data, these Policy are established in accordance with the “CITIC Bank Market Risk Management Policy”, “CITIC Bank Data Quality Management Policy” and other management regime.

第二条【系统定义】本办法所称市场风险管理系统（以下简称“本系统”）是指我行为满足市场风险计量和管理需要而建立的管理信息系统。

Article 2 [Definition of System] The market risk management system referred to in these Policy (hereinafter referred to as "the System") refers to the management information system established by the Bank to meet the needs of market risk measurement and management.

第三条【数据定义】本办法所称市场风险数据是指本系统使用的输入数据和生成的输出数据。输入数据包括交易及头寸数据、市场数据、模型假设和参数，以及相关参考数据。输出数据指本系统计量模型产出的风险计量结果，以及基于该结果和其他类型数据按照一定规则汇总计算的报表数据。

Article 3 [Definition of Data] The market risk data referred to herein refer to the input data used and the output data generated by the System. Input data includes trade and position data, market data, model assumptions and parameters, and relevant reference data. Output data refers to the risk measurement results produced by the measurement models of the System and the report data calculated based on such results and other types of data aggregated according to certain rules.

第四条【管理原则】本系统及相关数据的管理应遵循“运行稳定、信息准确、调整灵活、权责清晰”的原则：

（一）运行稳定：市场风险计量的时效性要求较高，应加强本系统运行的稳定性和安全性，确保每日计量结果及时输出。

（二）信息准确：本系统应加强数据采集、转换、加工、生成的完整性和准确性，确保计量结果准确可信。

（三）调整灵活：本系统应满足不断变化的业务需求，适应监管要求的变化，具备良好的调整和维护能力。

（四）权责清晰：本系统应实现部门间的权责归属清晰，用户和角色的权责划分合理。

Article 4 [Management Principles] The management of the system and related data shall follow the principles of "stable operation, accurate information, flexible adjustment, clear authority and responsibility":

(i) Stable operation: The timeliness of market risk measurement requires a high degree of stability and security in the operation of this system to ensure timely output of daily measurement results.

(ii) Accurate information: This system should strengthen the integrity and accuracy of data collection, conversion, processing and generation to ensure accurate and credible measurement results.

(iii) Flexible adjustment: The system should meet changing business needs, adapt to changes in regulatory requirements, and have good adjustment and maintenance capabilities.

(iv) Clear authority and responsibility: The system should achieve clear attribution of authority and responsibility between departments and reasonable division of authority and responsibility between users and roles.

第五条【制度内容范围】本办法主要对部门管理职责分工、系统数据管理、用户权限管理、文档管理等工作进行规范。对于与信息技术部门相关的技术性管理和运维方面的要求和职责分工，遵照我行信息技术部门制定的相关管理办法的要求执行。

Article 5 [Scope of regime content] These Policy mainly regulate the division of responsibilities for departmental management, system data management, user rights management, document management and other work. The requirements and division of responsibilities for technical management and operation and maintenance related to the information technology department shall be carried out in accordance with the requirements of the relevant management policy formulated by the information technology department of the Bank.

第六条【适用范围】本办法适用范围为本行及涉及市场风险计量的境外分行和并表机构。

Article 6 [Scope of Application] These Policy shall apply to the Bank and its overseas branches and consolidated institutions involved in market risk Policy.

**第二章 管理职责分工**

**Chapter 2 Division of Management Responsibilities**

第七条【系统牵头管理部门】总行风险管理部作为本系统的牵头管理部门，职责包括：

（一）制定、更新与本系统管理、数据管理相关的制度；

（二）根据管理需要和监管要求，制定系统建设规划，编写业务需求，推动系统升级和优化；

（三）审核和设置系统用户的准入、退出及操作权限；

（四）对本系统中风险计量相关参数进行维护；

（五）设计本系统数据质量检查规则，对数据质量进行持续监控，修正或推动解决发现的数据质量问题；

（六）编制、更新系统使用相关的文档；

（七）组织与本系统使用相关的培训。

Article 7 [Lead Management Department of the System] The Risk Management Department of the Head Office, as the lead management department of the System, shall have the following responsibilities:

(i) Develop and update systems related to the management of the system and data management;

(ii) To formulate system construction planning, prepare business requirements and promote system upgrading and optimization in accordance with management needs and regulatory requirements;

(iii) Reviewing and setting permissions for access, termination and operation of system users;

(iv) Maintenance of the parameters related to risk measurement in this system;

(v) Designing data quality checking rules for the system, monitoring data quality on an ongoing basis, and correcting or facilitating the resolution of data quality issues identified;

(vi) Preparation and updating of documentation related to the use of the system;

(vii) Organise training related to the use of the system.

第八条【技术牵头部门】总行信息技术部门（一部三中心）是本系统的技术管理牵头部门，主要职责包括：

（一）负责本系统的开发及运行维护，按照业务需求持续开展系统功能、架构的升级优化和调整，保障系统稳定运行；

（二）负责本系统与关联系统的输入输出数据接口的运行支持和管理；

（三）负责数据质量检查规则、监控手段的系统部署与实现，协助数据质量问题的修正和解决；

（四）负责本系统相关数据的在线存储和备份工作；

（五）编制、更新本系统相关技术文档。

Article 8 [Technical Lead Department] The information technology department of the head office (one department and three centres) is the technical management lead department of this system, and its main responsibilities include:

(i) being responsible for the development and operation and maintenance of this system, continuously carrying out upgrading, optimization and adjustment of system functions and architecture in accordance with business requirements, and ensuring stable operation of the system

(ii) Responsible for the operational support and management of the input and output data interfaces between this system and associated systems;

(iii) Responsible for the systematic deployment and implementation of data quality checking rules and monitoring means, and assisting in the correction and resolution of data quality issues;

(iv) Responsible for the online storage and backup of data related to this system;

(v) Prepare and update the technical documentation related to this system.

第九条【业务部门和机构】涉及向本系统传输数据或使用本系统输出数据的业务部门和机构主要为总行金融市场部、投资银行部、国际业务部，以及纳入市场风险计量的境外分行和并表机构，其职责包括：

（一）负责相关业务数据在业务系统中的簿记，确保业务数据及时、完整、准确地传输至本系统；

（二）为相关业务数据接入本系统提供支持，负责相关业务数据的质量管理，及时修正问题数据，持续完善数据管理和内控手段；

（三）牵头新产品开展前相关业务系统的建设工作。

（四）对本部门和机构所开展的金融产品的结构和字段含义进行解释说明；

（五）根据权限正确使用本系统。

Article 9 [Business departments and institutions] The business departments and institutions involved in transmitting data to this system or using data output from this system are mainly the Financial Markets Department, the Investment Banking Department and the International Business Department of the Head Office, as well as the overseas branches and consolidated institutions included in the market risk Policy, and their responsibilities include

(i) To be responsible for the bookkeeping of relevant business data in the business system and to ensure the timely, complete and accurate transmission of business data to this system;

(ii) Providing support for the access of relevant business data to this system, being responsible for the quality management of relevant business data, timely correction of problematic data and continuous improvement of data management and internal control tools;

(iii) Leading the construction of relevant business systems before new products are launched

(iv) Provide explanations on the structure and field meanings of the financial products carried out by the Department and the institution;

(v) Use the system correctly according to the authority.

**第三章 数据管理**

**Chapter 3 Data Management**

1. 数据质量控制

Section 1 Data quality control

第十条【数据质量问题定义】本办法所称数据质量问题是指数据不能满足业务规范要求，无法完整、准确反映业务真实情况和支持风险计量等，主要包括：

真实性问题：数据不能真实、准确地反映业务实际情况；

完整性问题：关键数据项未纳入系统采集范围或数据值缺失；

一致性问题：同一业务数据在不同系统或文件中不一致，或存在平衡关系的业务数据汇总项与明细合计不符；

及时性问题：不能在规定期限内获得最新数据，或未按规定的频率更新数据；

规范性问题：数据不符合业务规则或相关数据标准，其代码取值、精度、长度等未在业务规定或数据标准范围内。

Article 10 [Definition of Data Quality Issues] The data quality issues referred to in these Policy refer to the failure of data to meet the requirements of business specifications and to completely and accurately reflect the real situation of the business and support risk measurement, etc. They mainly include:

Authenticity issues: data failing to truly and accurately reflect the actual situation of the business;

Integrity issues: key data items are not included in the scope of system capture or data values are missing;

Consistency issues: the same business data is not consistent across different systems or documents, or aggregated business data items with balancing relationships do not match the detail totals;

Timeliness issues: the latest data is not available within the required period or is not updated with the required frequency

Normality issues: data does not comply with business rules or relevant data standards, and its code values, precision, length, etc. are not within business rules or data standards.

第十一条【业务数据簿记和传输】业务部门和机构在开展相关业务时，应在业务发生日内完成相关业务数据在业务系统中的簿记，并应建立相应的检核机制，确保业务数据及时、完整、准确地传输至本系统。数据来源包括但不限于本行金融市场业务管理系统、对公资金交易服务平台、并表机构相关系统等。业务数据的范围包括：

（一）交易及头寸数据：包括交易的金额、价格和计算金融工具现金流所需的相关交易基础信息等；

（二）交易相关参考数据：如投资组合、账簿划分、会计核算分类、交易对手和发行人信息等；

（三）根据业务管理需要须在业务系统中维护的其它数据。

Article 11 [Bookkeeping and Transmission of Business Data] Business departments and institutions shall complete the bookkeeping of relevant business data in the business system within the day of business occurrence when carrying out relevant business, and shall establish corresponding checking mechanisms to ensure timely, complete and accurate transmission of business data to this system. Data sources include, but are not limited to, the Bank's financial market business management system, the public funds transaction service platform and the relevant systems of the consolidated institutions. The scope of operational data includes:

(i) Transaction and position data: including transaction amounts, prices and relevant transaction base information required for the calculation of cash flows of financial instruments, etc;

(ii) Transaction-related reference data: such as investment portfolios, book divisions, accounting classifications, counterparty and issuer information, etc;

(iii) Other data that must be maintained in the business system according to business management needs.

第十二条【数据系统准备】业务部门和机构在开展涉及市场风险计量的新业务前，或对业务系统开展升级调整、数据格式变更和新增产品类型时，应对可能影响本系统输入数据的情况，事先及时通知风险管理部和信息技术部门。在向信息技术部门提交科技需求申请时，应会签风险管理部，共同评估该需求对本系统的影响，为本系统预留相应的调整改造时间。原则上在本系统完成改造并与业务系统完成联动测试后，相关业务系统方可正式上线。

Article 12 [Preparation of Data System] Business departments and institutions shall notify the Risk Management Department and the Information Technology Department in advance and in a timely manner of any circumstances that may affect the data input to this system before launching new business involving market risk measurement, or when carrying out upgrades and adjustments to business systems, changes in data formats and new product types. When submitting applications for technology requirements to the Information Technology Department, the Risk Management Department should be countersigned to jointly assess the impact of such requirements on the system and allow time for corresponding adjustments and modifications to the system. In principle, the relevant business systems will not be officially launched until the transformation of this system is completed and the linkage test with the business systems is completed.

第十三条【未落实流程规范要求的情况】因业务部门和机构未落实以上流程规范要求，导致输入数据出现第十条所述相关问题，并对我行风险管理、资本计量结果完整性、准确性等造成不利影响的情况，业务部门和机构应提出整改补救措施，消除不利影响，必要时配合进行解释说明。对于多次出现类似问题，我行将对相关业务的开展条件进行重新评估，必要时对业务准入进行调整。

Article 13 [Failure to Implement Process Specification Requirements] In the event that the above process specification requirements are not implemented by the business departments and institutions, resulting in the relevant problems in the input data as described in Article 10 and adversely affecting the Bank's risk management and the completeness and accuracy of the capital measurement results, the business departments and institutions shall propose rectification and remedial measures to eliminate the adverse effects and cooperate in providing explanations when necessary. In the event that similar problems occur repeatedly, the Bank will re-evaluate the conditions for conducting the relevant business and adjust the business access if necessary.

第十四条【市场数据更新维护】当风险因子新增或调整时，风险管理部应当及时调整市场数据的选取及映射方案，并在本系统中完成市场数据接口更新维护。

Article 14 [Market Data Update and Maintenance] When risk factors are added or adjusted, the Risk Management Department shall promptly adjust the selection and mapping scheme of market data and complete the update and maintenance of the market data interface in this system.

第十五条【风险计量参数调整】对于本系统中设定的各类市场风险计量模型假设前提、参数和参考数据，在进行新增或调整前，需按照《中信银行市场风险计量管理办法》中规定的程序完成审批后，方可在系统中进行调整。

Article 15 [Adjustment of Risk Measurement Parameters] Before adding or adjusting the assumptions, parameters and reference data of the various market risk measurement models set in the System, approval must be completed in accordance with the procedures set out in the "CITIC Bank Market Risk Measurement Management Policy" before any adjustment can be made in the System.

第十六条【数据维护】对于风险计量参数相关数据、无法自动获取的市场数据或交易数据分类等需要在本系统维护的数据，风险管理部应提交数据的录入需求和校验规则，信息技术部门根据需求和校验规则开发相应的数据维护功能后，由风险管理部在系统中统一录入。

Article 16 [Data Maintenance] For data related to risk measurement parameters, market data that cannot be automatically obtained or classification of transaction data that need to be maintained in this system, the Risk Management Department shall submit data entry requirements and verification rules, and after the Information Technology Department develops the corresponding data maintenance functions according to the requirements and verification rules, the Risk Management Department shall enter them in the system in a unified manner.

第十七条【操作审批流程】对于上述十四、十五、十六条进行的系统操作，应填写操作审批表（见附表1），完成相应程序审批后，方可在系统中进行调整。

Article 17 [Operation Approval Process] For the system operations conducted under Articles 14, 15 and 16 above, the operation approval form (see Exhibit 1) shall be filled in and the corresponding procedures shall be completed and approved before any adjustment can be made in the system.

第二节 数据质量监控和完善

Section 2 Data quality monitoring and refinement

第十八条【数据监控功能开发】总行风险管理部应明确本系统中相关数据的检查校验规则和结果展现形式。信息技术部门应当在本系统中完成数据检查校验规则和校验结果展现功能的开发。

Article 18 [Development of Data Monitoring Function] The risk management department of the head office shall clarify the rules for checking and verifying the relevant data in this system and the form of presentation of the results. The information technology department shall complete the development of the data checking and verification rules and the presentation of the results in this system.

第十九条【数据持续监控和反馈】风险管理部应当定期查看本系统生成的数据质量检查校验结果，分析未通过校验的数据原因，并将问题反映给业务部门和机构或市场数据供应商。

Article 19 [Continuous data monitoring and feedback] The Risk Management Department shall regularly review the results of the data quality check and verification generated by this system, analyse the reasons for data failing the verification, and reflect the problems to the business departments and institutions or market data suppliers.

第二十条【异常数据修正】对于业务数据的质量问题，业务部门和机构原则上应当在一个工作日内对相关业务系统中的数据进行修正，并完善内控手段。对市场数据质量问题，风险管理部原则上应在一个工作日内，向市场数据供应商反馈数据问题，并推动市场数据供应商完成相关数据修正。若因异常数据引发本系统运行中断，信息技术部门应尽快进行应急处理，原则上应于当日恢复本系统稳定运行。

Article 20 [Abnormal Data Correction] For business data quality issues, business departments and institutions shall, in principle, correct the data in the relevant business systems within one working day and improve the internal control. For market data quality issues, the Risk Management Department shall, in principle, provide feedback to the market data suppliers on the data issues within one working day and promote the completion of relevant data correction by the market data suppliers. If the operation of this system is interrupted due to abnormal data, the Information Technology Department shall carry out emergency handling as soon as possible and shall, in principle, restore the stable operation of this system on the same day.

第二十一条【数据质量问题总结和反馈】风险管理部应当书面记录日常数据监控过程中发现的数据质量问题，填写数据质量治理跟踪表（见附表3），对于业务数据中存在的多发性和管理机制性问题予以总结，并反馈给业务部门和机构。业务部门和机构应当针对存在的数据质量问题，制定数据质量整改方案及计划，开展制度修订、流程优化、系统改造及数据治理等具体整改工作，持续完善数据管理和内控手段。

Article 21 [Summary and Feedback of Data Quality Problems] The Risk Management Department shall record in writing the data quality problems discovered in the course of daily data monitoring, fill in the data quality remedy tracking form (see Exhibit 3), summarise the multiple and management mechanism problems in business data, and provide feedback to the business departments and institutions. The business departments and institutions should formulate data quality rectification plans and plans in response to the data quality problems, carry out specific rectification work such as system revision, process optimisation, system transformation and data governance, and continuously improve data management and internal control.

第三节 对外提供数据的使用规范

Section 3: Specifications for the Use of Data provide to External

第二十二条 【数据使用申请】其他部门和机构若需使用本系统的输出数据，需事先告知风险管理部。风险管理部同意后，由信息技术部门负责相关系统接口开发工作。

Article 22 [Application for Use of Data] If other departments and institutions need to use the output data of this system, they need to inform the Risk Management Department in advance. After the Risk Management Department agrees, the Information Technology Department shall be responsible for the development of the relevant system interface.

第二十三条【数据需求验证】其他部门和机构在使用本系统输出数据前，应当对输出数据是否满足需求进行验证，并对使用数据负责。

Article 23 [Validation of Data Requirements] Other departments and institutions shall validate whether the output data meet the requirements before using the data output from the system and shall be responsible for the use of the data.

第二十四条【数据调整变更】信息技术部门应当统一管理本系统的输出数据使用情况。在输出数据的类型、结构等发生调整时，信息技术部门应当提前通知相关系统，并配合其完成改造工作。

Article 24 [Data Adjustment Changes] The information technology department shall unify the management of the use of output data of the system. When the type and structure of the output data are adjusted, the information technology department shall notify the relevant system in advance and cooperate with it to complete the transformation work.

第四节 数据备份和恢复

Section 4 Data Backup and Recovery

第二十五条【数据备份范围和要求】信息技术部门应在本系统中全量存储系统的输入数据和输出数据。对于部分存储空间占用巨大的中间计算结果，信息技术部门可在本系统中仅保存部分日期的数据，保存要求可参见附表4[[1]](#footnote-1)。对于其他日期的中间结果，信息技术部门应当进行磁盘存储。

Article 25 [Scope and requirements of data backup] The information technology department shall store the input data and output data of the system in the full amount in this system. For some of the intermediate calculation results which take up a large amount of storage space, the information technology department may store only part of the data of the date in this system, and the storage requirements can be referred to in Exhibit 41. For intermediate results for other dates, the IT department should perform disk storage.

第二十六条【数据恢复】信息技术部门应当定期备份本系统中全量数据，并定期开展数据恢复演练。

Article 26 [Data Recovery] The information technology department shall regularly back up the full amount of data in the system and conduct data recovery exercises on a regular basis.

**第四章 系统用户权限管理**

**Chapter 4 System user authority management**

第二十七条【用户定义】用户是指使用本系统的人员在系统中的唯一身份，用户的开立和登录均实行实名制。

Article 27 [User Definition] User is the unique identity of the person using the system in the system, and the opening and logging in of users are based on a real name system.

第二十八条【角色定义】角色是本系统中功能权限的载体，通过用户和角色之间的关联将功能权限赋给用户。不同级别的用户可通过配置不同的系统操作权限和数据访问权限形成相应的角色，不同的角色完成不同权限的工作任务。

Article 28 [Role Definition] Role is the carrier of functional authority in this system, and the functional authority is assigned to users through the association between users and roles. Different levels of users can form corresponding roles by configuring different system operation authority and data access authority, and different roles complete work tasks with different authority.

第二十九条【角色分类】本系统用户角色分为系统管理角色和业务角色。系统管理角色主要负责系统的日常管理和维护工作，包括用户管理、菜单管理、角色管理、操作员授权管理、计量参数的更新维护等；业务角色可查看、下载基础数据、系统参数和报表结果等信息。由系统管理员按需进行角色设置、权限分配。

Article 29 [Role classification] The system user roles are divided into system management roles and business roles. The system management role is mainly responsible for the daily management and maintenance of the system, including user management, menu management, role management, operator authorization management, update and maintenance of measurement parameters, etc.; the business role can view and download basic data, system parameters and report results and other information. The system administrator will set up roles and assign permissions as required.

第三十条【权限管理】本系统主要由风险管理部使用，根据管理需要，可逐步开通相关业务部门和机构的使用权限。相关业务部门和机构应填写用户权限审批表（见附表2）并完成相应程序审批后，方可在系统中进行开通、修改。

Article 30 [Permission Management] This system is mainly used by the Risk Management Department, and the use authority of relevant business departments and institutions may be opened gradually according to management needs. Relevant business departments and institutions shall fill in the user authority approval form (see Exhibit 2) and complete the corresponding procedures for approval before opening and modifying in the system.

第三十一条【授权管理】风险管理部需设置一名系统管理员，负责设置本系统的用户角色和操作员授权等与系统用户设置相关的维护工作。

Article 31 [Authorization Management] The Risk Management Department shall set up a system administrator who shall be responsible for setting up the user roles and operator authorization of this system and other maintenance work related to the system user settings.

第三十二条【人员配备】风险管理部在日常管理中应指定备用系统管理员一至二名，在系统管理员离岗或因故不能履行职责的情况下，由备用系统管理员行使系统管理员的职责。

Article 32 [Staffing] The Risk Management Department shall designate one or two standby system administrators in its daily management, who shall exercise the duties of the system administrator in the event that the system administrator is absent from duty or is unable to perform his duties for any reason.

**第五章 系统文档管理**

**Chapter 5 System documentation management**

第三十三条【与业务管理相关的系统文档】在进行数据维护、数据质量治理、业务需求申请、业务测试等系统相关工作时，风险管理部需通过数据维护操作审批表、数据质量治理跟踪表、业务需求说明书、业务验收测试报告等相关文档进行记录，并通过共享文件存储予以保存；同时结合系统使用情况及时更新用户使用手册、估值参数手册等与系统相关的文档。

Article 33 [System documentation related to business management] When carrying out system-related work such as data maintenance, data quality governance, business requirement application and business testing, the Risk Management Department shall record the relevant documents through the data maintenance operation approval form, data quality governance tracking form, business requirement specification, business acceptance test report, etc. and save them through shared file storage; at the same time, update the user manual, valuation parameter manual and other system-related documents in a timely manner in conjunction with the use of the system.

第三十四条【与开发测试相关的系统文档】信息技术部门应通过文档记录本系统各模块功能描述、实现逻辑、操作流程、操作权限及授权，以及关联系统数据接口设计、计量引擎接口设计、技术测试开展情况等信息，同时在版本管理软件中予以保存。在本系统进行升级、变更等技术调整时，信息技术部门应在系统上线前详细记录调整内容并更新技术文档。

Article 34 [System documentation related to development and testing] The information technology department shall record the functional description, implementation logic, operation flow, operation authority and authorization of each module of the system, as well as the design of the data interface of the associated system, the design of the interface of the measurement engine, the technical testing carried out and other information through the documentation, and at the same time save it in the version management software. When the system is upgraded, changed and other technical adjustments, the IT department should record the adjustments in detail and update the technical documentation before the system goes online.

**第六章 附 则**

**Chapter 6 supplementary provisions**

第三十五条 本办法由总行风险管理部负责解释和修订。

Article 35 These Policy shall be interpreted and amended by the Risk Management Department of the Head Office.

第三十六条 本办法自发布之日起实施，原《中信银行市场风险管理系统管理办法（1.0版，2017年）》、《中信银行市场风险数据管理办法（试行）》同时废止。

Article 36 These Policy shall come into effect on the date of issue and the former "CITIC Bank Market Risk Management System Management Policy (Version 1.0, 2017)" and "CITIC Bank Market Risk Data Management Policy (for Trial Implementation)" shall be abolished at the same time.

附表1：数据维护操作审批表

Exhibit 1: Data Maintenance Operation Approval Form

数据维护操作审批表Data Maintenance Operation Approval Form

|  |  |
| --- | --- |
| 申请日期  Date of application |  |
| 申请人  Applicant |  |
| 维护原因  Reason for maintenance |  |
| 录入数据类型  Type of data to be entered |  |
| 数据详细描述  Detailed description of the data |  |
| 系统操作步骤  System operation steps |  |
| 验证方案  Validation plan |  |
| 操作人  Operator |  |
| 审批人  Approver |  |
| 复核人  Reviewer | 是□ 否 □ 复核通过  Yes□ No □ Reviewed and approved |

附表2：用户权限审批表

Exhibit 2: User authority approval form

用户权限审批表User authority approval form

|  |  |
| --- | --- |
| 申请日期  Date of application |  |
| 申请原因  Reason for application |  |
| 申请人姓名  Name of Applicant |  |
| 申请人所在部门及处室  Applicant's department and division |  |
| SSO用户名  SSO Username |  |
| 申请角色  Apply for a role |  |
| 角色权限描述  Description of role permissions |  |
| 系统操作步骤  System operation steps |  |
| 操作日期  Dare of operation |  |
| 操作人  Operator |  |
| 审批人  Approver |  |

附表3：数据质量治理跟踪表

Exhibit 3: Data Quality Remedy Tracking Form

数据质量治理跟踪表Data Quality Remedy Tracking Form

|  |  |
| --- | --- |
| 发生日期  Date of occurrence |  |
| 数据异常情况说明  Description of data anomalies |  |
| 成因分析  Analysis of causes |  |
| 解决方案  Solutions |  |
| 验证方案  Validation plan |  |
| 是否治理完成  Is the remedy complete |  |
| 完成日期  Completion Date |  |
| 经办人  Operator |  |

附表4：系统保存中间结果的最低要求

Exhibit 4: Minimum requirements for the system to store intermediate results

系统保存中间结果的最低要求

Minimum requirements for the system to store intermediate results

|  |  |
| --- | --- |
| 数据类型 Data Type | 保存要求 |
| 年末数据Year-end data | 最近三年Last three years |
| 半年末数据Half-year-end data | 最近两年Last two years |
| 季末数据Quarter-end data | 最近一年Last year |
| 月末数据Month-end data | 最近三个月Last three months |
| 日末数据End-of-day data | 最近五个工作日Last five working days |

1. 这里指系统计算生成的cube数据This refers to the cube data generated by the system calculation [↑](#footnote-ref-1)