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Management requirement of enterprise statistical survey electronic account

企业统计调查电子(数字)台账管理要求

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3 Terms and definitions

3.1 Electronic account: an enterprise statistical electronic account file that serves as evidence and can be queried, traced, managed and preserved, covering all business areas of the enterprise and recording and tracking business data in digital form. 3.2 Electronic account file: the digital-format information records formed, handled, transmitted and stored by computers and other electronic equipment while the enterprise performs its statutory duties or handles statistical business through statistical survey.

3.3 Enterprise statistical electronic account management system: the software system that meets the basic functions of capture, arrangement, archiving, management, storage, use, maintenance and disposal of statistical electronic accounts and generates the statistical account files. 3.4 Metadata: the data describing the content, logical structure, background of formation and management process of the electronic account file and the electronic account. 3.5 Business system: the computer information system that forms or manages the activity data of an institution, the examples given being enterprise network management, office automation, electronic commerce, financial, human resource, product data management, website and electronic mail systems.

3.6 to 3.11 Capture, store, archiving, registration, conversion and migration are defined as the methods and processes of capturing and of storing the files, accounts and their metadata; the submission of systematically arranged files and metadata of evidential, reference and preservation value to the enterprise account management department; the act of assigning a unique identifier when an electronic account enters the management system; the change of an electronic account from one carrier to another or from one format to another; and the transfer of an electronic account from one system to another, the last two while maintaining authenticity, integrity and usability.

4 Principles

4.1 Authenticity: the content, logical structure and background of formation of the electronic account file and the electronic account stay consistent with their original state at the time of formation.

4.2 Reliability: the content of the electronic account file fully and correctly expresses the transaction, activity or fact it records. 4.3 Integrity: the content, logical structure and background information of the file and the account are complete and have not been damaged, altered or lost.

4.4 Usability: the file and the account can be retrieved, presented or understood. 4.5 Traceability: the original data of the file and the account and the course of their change can be recorded, retrieved and verified.

5 Basic requirements

5.1 The capture, arrangement, archiving and management of electronic account files and the storage, use, maintenance and disposal of electronic accounts are brought into the information technology development plan so that they connect with the other systems. 5.2 The enterprise manages files and accounts centrally and in accordance with the principles of Clause 4.

5.3 The enterprise identifies the account management department, establishes management rules and assigns responsibilities. The account management department draws up the archiving, management, storage, use, maintenance and disposal rules, states the functional requirements for the management system coupled with the business system, builds the system and runs the training, guides the file-forming or file-handling departments and carries out the archiving, storage, use, maintenance and disposal work. The file-forming or file-handling departments capture, arrange, manage and transfer the files. The information technology department builds the file-related functions in the business system, takes part in building the management system and gives technical support. The confidentiality department supervises the confidentiality management of classified files during archiving, storage, use, maintenance and disposal, including encryption, access control and periodic review. The business system management department maintains and updates the business systems related to the electronic accounts so that the systems stay stable and the data accurate.

5.4 The account management department states the archiving scope, time, procedure, interface and format for each category of file and its metadata. 5.5 Each department follows the rules, applies the necessary technical means and monitors the whole process of capture, arrangement, archiving and management of files and of storage, use, maintenance and disposal of accounts. 5.6 The work is carried out on a secure network and on offline storage media.

5.7 In confidentiality and security management the account management department states the confidentiality level and scope of the data, sets confidentiality measures for each level, builds an access control mechanism, establishes data backup and recovery mechanisms, strengthens network security protection so that account data cannot be obtained or altered illegally, and applies security control and supervision to the storage devices holding important data.

6 Electronic account management system

6.1 The electronic account file functions built into the business system meet the daily needs of enterprise statistical work for capture, management, reporting, storage, use, maintenance and disposal. The business system carries a built-in file classification scheme and retention period table with the corresponding tool guides; names and stores electronic files and their component files automatically by rule, keeping the links between related files and the close association between files and metadata; identifies and attests data, files, metadata and process files so that they can be recognized and verified during capture, management, reporting, storage and other lawful use, and supports data checking and verification; generates archiving packages of files and metadata and supports archiving in several formats; provides an interface to the electronic account management system and can push electronic files and metadata to it; and can track and audit all operations on the files captured and accumulated.

6.2 The enterprise statistical electronic account management system has data management functions including management of the enterprise statistical data dictionary and the building of a core indicator dictionary and core ledger content; security management including identity authentication and permission management and log auditing, with multi-level authentication and role-based permission control; system setting and management functions including system parameter and user management; data import and export supporting several formats such as Csv, Excel and Json; visualization of data and reports; unified identification of data, files and reports, the identifiers following national and international coding rules and being unique within the system and when used by other systems; and attestation of data, files, process data and operation logs, together with backup and recovery of expenditure data, files and report forms.

6.3 The statistical information infrastructure and information security facilities keep the system running and meet the working needs of electronic account management; for enterprises above the designated size the system meets networked operation requirements. The account management department is equipped with local area network and internet infrastructure whose performance suits the statistical work, with hardware, basic software and storage, backup, traceability and attestation facilities matching the system, and with security facilities including antivirus software and firewalls meeting GB/T 20988-2007.

6.4 The account management department establishes the security management duties, requirements and operating rules for the system; manages the dedicated offline storage media and their users, kills viruses periodically and monitors the logins and operations of unauthorized users; and draws up and applies an emergency response plan for the system, stating the division of responsibilities and the safeguards and setting up prevention and early warning, emergency response and reward and penalty mechanisms.

7 Capture and arrangement of electronic account files

7.1 The file-forming or file-handling department is advised to establish capture rules, and it captures the files and their component files completely, keeps the content consistent with the state at formation and backs the files up periodically. The electronic account data file set is formed by the business system or by software able to attest records, and the statistical task is completed through the management system. The account management department may capture and verify the data, verification being either non-independent, where the inspector may see the coder's code and check it against the coding frame before reaching a conclusion on the batch inspected, or independent, where the inspector codes the object before seeing the coder's code and then compares the two.

7.2 Arrangement keeps the links between related files and establishes the association between files and metadata. The file-forming or file-handling department completes the arrangement of electronic and paper files on the basis of the business system, working through the management system or by hand, and during arrangement associates the files