

PREFACE

This book is the 55th edition of “STATISTICAL NOTES OF JAPAN”. It is published to introduce Japan’s recent statistical works (activities) to statisticians all over the world.

The grand theme of the book is “Development of the Framework for the Statistics Act of Japan”. It introduces some guidelines and topics related to Japanese statistical systems that were developed based on the Statistics Act, which was revised in May 2007 for the first time in the last 60 years.

We sincerely hope that this book will be helpful for a better understanding of statistical systems such as guidelines in Japan, and cooperation in international statistical communities.

Editor

November 2013

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I The Countermeasures in the Official Statistical System and the Provision of Information on Statistical Survey Results in Japan in light of the Great East Japan Earthquake

1. Introduction of the Office of Director-General for Policy Planning (Statistical Standards), Ministry of Internal Affairs and Communications (MIC)

The function of the Office of Director-General for Policy Planning (Statistical Standards), MIC is to comprehensively adjust (regulate) statistical administration”.

There are mainly two kinds of statistical production systems adopted by countries: the “centralized model” statistics system, in which a specific administrative organ produces the statistics single handedly, and the “decentralized model” statistical system in which each administrative organ produces the statistics that are needed for each administrative category.

Japan has adopted the “decentralized model” statistical system. The benefits of employing this system are the excellent availability of statistics needed for policies and prompt production of statistics. However, it makes the development of a statistical system as an entire nation difficult because of the duplication of statistics or the lack of statistical studies and statistics in categories other than important policies, etc.

Therefore, from the stand point of making cross-sectional adjustments in the government, the Office of Director-General for Policy Planning (Statistical Standards), MIC implements the planning and promotion of basic matters related to statistical administration and the system of official statistics, such as enactment, revision or repeal of statistic-related laws and regulations, drawing up the master plan in order to establish a more comprehensive and better organized statistical system in Japan as a whole, the designation of “fundamental statistics” which are pillars of official statistics, examination and coordination of censuses and statistical surveys, promotion of the dissemination of statistical information, coordination and integration of Japan’s international statistical affairs, and cooperation with the Statistical Institute for Asia and the Pacific (SIAP). (cf. Material 1)

2. The Great East Japan Earthquake

On March 11, 2011 at 14:46, a great earthquake with its seismic center off the Pacific coast of Sanriku in the Tohoku region occurred and devastated the Tohoku and Kanto regions in particular, such as Iwate, Miyagi, Fukushima and Ibaraki prefectures. Generally, the disasters caused by the tsunami and aftershocks accompanied with the earthquake are referred to inclusively as “the Great East Japan Earthquake.” (cf. Material 2)

3. Actions of the Office of Director-General for Policy Planning (Statistical Standards), MIC, etc.

On March 15, as a part of the countermeasures to the impact of the Great East Japan Earthquake on official statistics, the Office of Director-General for Policy Planning (Statistical Standards), MIC issued to all ministries a document related to exemptions from reporting duties of “fundamental statistics”* and flexible practice of approval procedures for the enforcement or change of statistical surveys planned by the Cabinet Office and ministries (cf. Material 3).

At the same time, the office also issued to prefectures a document for their flexible practice of approval procedures. On March 23, it also decided and issued the details of procedures (cf. Material 4).

On April 8, 2011 the Statistics Commission (an advisory body attached to the Cabinet Office for investigating and deliberating overall official statistics) released its chairman’s

remarks regarding actions in which special measures were to be taken following the Great East Japan Earthquake (cf. Material 5). Based on these remarks, on April 15, the Office of Director-General for Policy Planning (Statistical Standards), MIC released points to consider when providing information such as the results of statistical surveys affected by the Great East Japan Earthquake (cf. Material 6).

* “Fundamental statistics” are statistics considered to be especially important as those which represent the core of official statistics prepared by administrative organs of the country. Therefore, an obligation to report is imposed on respondents of fundamental statistical surveys in order to prepare them.

4. Actions of the Cabinet Office and Ministries

The Cabinet Office and each ministry took measures regarding statistical surveys implemented after the earthquake, such as temporarily excluding the affected area as a subject of surveys, and the changing of statistical surveys used for the preparation of processed statistics, while sharing information related to the Great East Japan Earthquake and the handling of statistics affected by it. The operation status of the special measures regarding fundamental statistical surveys conducted after the earthquake until March 31, 2012, are as shown in Material 7.

Additionally, when these special measures were taken, the results which retroactively excluded affected areas were presented for easy comparison by time series, and were calculated by supplementary-estimated data in the affected area.

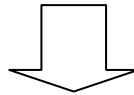
5. Releasing Results of Statistical Data

Ministries, like the Statistics Bureau of MIC, the Ministry of Agriculture, Forestry and Fisheries (MAFF) and the Ministry of Economy, Trade and Industry (METI), presented statistical data related to the disaster based on the results of surveys, such as the Population Census and Economic Census (cf. Material 8)

[Material 1]

Affairs under the Jurisdiction of the Director-General for Policy Planning (Statistical Standards), MIC

- Law for Establishment of the MIC (Law No.91 in 1999) (Extract)
(Affairs under the Jurisdiction)
(Article 81) To plan and promote fundamental matters for improving and developing statistics and the statistical system.
(Article 82) To examine census plans and statistical survey plans for approval, coordinate statistical affairs, and establish a system of statistical standards.
(Article 83) To plan and coordinate affairs concerning statistical officials' training.
(Article 84) To coordinate and integrate ministries for international statistical affairs.



● **Main Concrete Tasks**

1. Improving and developing statistics and the statistical system

- Enactment, revision or repeal of Statistics Act (Law No.53 in 2007) and statistics-related laws and regulations (Cabinet Orders and Ministerial Orders, etc.)
- Plan and promotion of “the Master Plan Concerning the Development of Official Statistics” in order to establish a more comprehensive and better organized statistical system in Japan as a whole
- Managing and funding statistical personnel at local governments and promotion of the dissemination of statistical information

2. Examination and coordination of censuses and statistical surveys

- Examination and coordination of censuses and statistical surveys implemented by ministries in order to avoid duplication and keep timeliness, etc.

3. Establishing a system of statistical standards, etc.

Establishing statistical standards necessary for keeping better comparability of related statistics.

- Establishment of statistical standards such as Japan Standard Industrial Classification
- Taking the initiative for compiling the Input-Output Table (one of the most important parts in SNA) (Office of the Director-General for Policy Planning (Statistical Standards), MIC directs ten related ministries)

4. Coordination and integration of ministries for international statistical affairs

- Coordination and integration of ministries and related public organs for international statistical affairs (ex, correspondence to statistical activities by international organizations such as UN, OECD, IMF, and correspondence to foreign countries)
- Cooperation with the SIAP (Statistical Institute for Asia and the Pacific)

[Material 2]

As of June 26, 2012

Extracted from the material of the Headquarters for Emergency Disaster Control, Cabinet Office

The 2011 off the Pacific Coast of Tohoku Earthquake (The Great East Japan Earthquake in 2011)

Summary of the Earthquake

(1) Time of occurrence: Friday, March 11, 2011, at 14:46

(2) Seismic center and magnitude (estimate)

Off the shore of Sanriku (38.1° north latitude, 142.9° east longitude, the area 130 km east-southeast from Ojika peninsula)

Depth: 24 km Moment magnitude: Mw9.0

(3) Places where seismic intensity was over 6- or stronger

- Seismic intensity 7 Northern Miyagi prefecture
- Seismic intensity 6+ Southern and Central Miyagi prefecture, Naka-Dori and Hama-Dori in Fukushima prefecture, Northern and Southern Ibaraki prefecture, Northern and Southern Tochigi prefecture
- Seismic intensity 6- South Coast, northern and southern inland in Iwate prefecture, Aizu in Fukushima prefecture, Southern Gunma prefecture, Southern Saitama prefecture, Northwestern Chiba prefecture

(4) Tsunami

A tsunami warning (large-scale wave) was issued on March 11 at 14:49

* Currently, tsunami advisory, too, is lifted

Observed values of tsunami (at tide-gauge stations) (Time) (Height)

- Iwate prefecture (Miyako) Maximum wave 15:26 8.5m or over
- Iwate prefecture (Ofunato) Maximum wave 15:18 8.0m or over
- Iwate prefecture (Ayukawa, Ishinomaki-city) Maximum wave 15:26 8.6m or over
- Fukushima prefecture (Soma) Maximum wave 15:51 9.3m or more, etc.

(5) Human casualties

- Deaths 15,866 people
- Injured 6,108 people
- Missing 2,946 people

(6) Damaged buildings Deaths

- Completely destroyed 130,436
- Half-destroyed 262,975
- Partially-destroyed 717,768

**Material 3 Countermeasures to the 2011 off the Pacific Coast
of Tohoku Earthquake**

No. 82 - 1

March 15, 2011

To: The Director in charge of the Conference of Directors for Statistical Section of Ministries

Director for Statistical Planning
Office of Director-General for Policy Planning (Statistical
Standards), MIC

Countermeasures to the 2011 off the Pacific Coast of Tohoku Earthquake (Notification)

1. Regarding the disaster of the 2011 off the Pacific Coast of Tohoku Earthquake, it was designated as a specified disaster of Article 2 (1) of the Act on Special Measures Concerning Preservation of Rights and Interests of Victims of Specified Disaster (Law No.85 in 1996; hereafter referred as the “Act on Special Measures for Specified Disasters.”), based on the “Ordinance on the Designation of Specified Disasters and Measures to be applied to disasters of the 2011 off the Pacific Coast of Tohoku Earthquake” (Cabinet Order No.19 in 2011). In addition, decisions, such as March 11, 2011 to be the day of specified disaster occurrence, application of the “measures on exemption of responsibilities related to the duties unfulfilled by the deadline” provided in Article 4 of the Act on Special Measures for Specified Disaster and the expiration date of the exemption to be June 30, 2011.

As a result, a reporting duty for a fundamental statistics survey with a deadline set after March 11, 2011, which could not fulfill the duty by the deadline due to this specified disaster, the responsibility would not be questioned for not implementing the report within the original reporting deadline by reporting by June 30, 2011, based on the measures provided in Article 4 of the Act on Special Measures for Specified Disasters.

2. From this point, it is expected that the change of approved matters of statistical surveys corresponding to this specified disaster, such as excluding the disaster areas from the subject areas of survey and the postponement of statistical surveys in the disaster areas, etc., will be required.

In such case, the MIC is planning to respond flexibly in terms of approval procedures based on the Statistics Act. Please contact the Director for Statistical Clearance in charge.

3. It is also prospected that an urgent statistical survey may become necessary to respond to the disaster. In such case, too, the MIC is planning to respond flexibly, so please contact the Director for Statistical Clearance in charge.

N o . 8 2 - 2

March 15, 2011

To: Director in charge of Statistical Section of Prefecture
Director in charge of Statistical Section of the Designated City

Director for Statistical Planning
Office of Director-General for Policy Planning (Statistical
Standards), MIC

Countermeasures to the 2011 off the Pacific Coast of Tohoku Earthquake (Notification)

1. The 2011 off the Pacific Coast of Tohoku Earthquake occurred in the afternoon on March 11, 2011 (hereafter referred as “the Specified Disaster”) and brought immense damage mainly to the Tohoku area and the Kanto area. We would like to express our sympathy from the bottom of our hearts to the people in the disaster struck municipalities.

Hereafter, due to the Specified Disaster, it is prospected that various countermeasures for the implementation of national statistical surveys in the disaster struck area will be needed. The MIC is sending notice, as you see in the attached document (No, 82-1, March 15, 2011) to Ministries (hereafter referred to as “Survey Executor.”). We would like to request your prefecture and/or designated city to implement necessary countermeasures in cooperation with the relating Survey Executor.

2. Regarding the statistical surveys uniquely implemented by prefectures or designated cities the situation is assumed where a temporary change of the matters notified (to MIC) for the survey will be needed in response to the Specified Disaster.

In such case, the MIC is planning to respond flexibly in terms of notification procedures based on the Statistics Act. Therefore, please contact the Director for Statistical Clearance in charge.

3. It is also prospected that urgent statistical surveys by prefectures or designated cities will be needed in response to the Specified Disaster. In such case, too, the MIC is planning to respond flexibly. So, please contact the Director for Statistical Clearance in charge.

[Reference 1]

(Material used for the determination of the Cabinet Order No.19 in 2011)

Regarding “Ordinance on the Designation of Specified Disaster and Measures to be applied on disasters of the 2011 off the Pacific Coast of Tohoku Earthquake”

1. Purpose of the proposed Cabinet Order

- The “Act on Special Measures concerning Preservation of Rights and Interests of Victims of Specified Disaster (Law No, 85 in 1996)”, which was legislated in response to the Great Hanshin-Awaji Earthquake, provides that various special measures related to postponement of the expiration date regarding administrative rights and interests, etc. shall be decided by a Cabinet Order for enabling the prompt exercise of these measures, and it is applied to large-scale disasters (Specified Disasters).
- In the 2011 off the Pacific Coast of Tohoku Earthquake, deaths and injuries of people as well as damages on housing were catastrophic. The government has established the Headquarters for Emergency Disaster Control (unprecedented) and been responding to the disaster.
- The purposes of this proposal are to designate “the 2011 off the Pacific Coast of Tohoku Earthquake” a Specified Disaster and to implement the postponement of the expiration date of administrative rights and interests in order to preserve the rights and interests of the victims.

2. Summary of the proposed Cabinet Order

- (1) Designate the disaster caused by the 2011 off the Pacific Coast of Tohoku Earthquake as a Specified Disaster.
- (2) The following measures are applied to this Specified Disaster.
 - i) Extension of the expiration date of administrative rights and interests
 - ii) Exemption from the responsibility of executing administrative duties unfulfilled before the deadline
 - iii) Exception from orders of commencement of bankruptcy proceedings for corporations

3. Future plans

- March 13, 2011 Cabinet meeting

[Reference 2]

**The Act on Special Measures concerning Preservation of Rights
and Interests of Victims of Specified Disaster**

(Law No.85 of June14, 1996) – (Extract)

Last revision: Law No.40 of May 23, 2008

(Purpose)

Article 1 For the purpose of preserving rights and interests of the victims of specified disasters, this Act shall provide regulations when specified disasters occur on the postponement of the expiration date pertaining to administrative rights and interests, exemption from responsibilities pertaining to unfulfilled duties, exception of orders of commencement of bankruptcy proceedings for corporations, exception of the fees for filing of a petition for conciliation under the Civil Conciliation Law (Law No. 222 in 1951), as well as exceptions of the duration of first-aid temporary housing under the Building Standards Law (Law No. 201 in 1950) and the Landscape Law (Law No. 110 in 2004).

(Designation of Specified Disasters and designations of the measures to be applied)

Article 2 When a remarkably unusual and devastating disaster that is also recognized as one that especially needs to seek the preservation of administrative rights and interests of the victims of this disaster, or to take measures for helping the existence of a corporation suffering over indebtedness due to this disaster, helping the prompt and smooth settlement of disputes originated from this disaster or helping the stable occupancy of the residents of temporary housing for this disaster, occurs, the Cabinet Order shall designate the said disaster as a Specified Disaster. In this case, the Cabinet Order shall determine the date the Specified Disaster has occurred as the Specified Disaster Occurrence Date.

(2) Regarding the Cabinet Order in the preceding clause, the measures that should be taken for the relevant Specified Disaster must be designated out of the measures provided in the next article and after. After this designation, when an application of other new measures becomes necessary, the additional measures shall be designated by the Cabinet Order.

(Measures regarding postponement of expiration date of administrative rights and interests)

Article 3 When the heads of administrative organs, Cabinet Office, The Imperial Household Agency, and organs provided by Article 49(1), (2) of the Act of Establishment of the Cabinet Office (Law No.89 in 1999, AECO) and the Article 3(2) of the National Government Organizations Law (Law No.120 in 1948, NGOL), which manage the administrative work related to the enforcement of laws, cabinet orders, orders based on Article 7(3) and Article 58(4) of AECO (including the case provided by Article 18(1) of the Imperial Household Agency Act (Law No.70 in 1947, IHAA)) or based on the Article 12(1) and 13(1) of NGOA, and notifications based on Article 7(5), 58(6) of AECO, Article 8(5) of IHAA and Article 14(1) of NGOL, concerning the following rights and interests (hereafter referred to as “Specified Rights and Interests”), (in the case where the organs are committees provided by Article 49(1), (2) of AECO and Article 3(2) of NGOA,

the Committee), recognize the necessity of preserving the Specified Rights and Interests, whose term of existence has not expired, of the victims of the specified disaster; or recovering the Specified Rights and Interests, whose term of existence has expired, of the victims of the specified disaster, they have the authority to postpone the limit date of these Specified Rights and Interests of the victims of the specified disaster by the number of days provided by cabinet order within the range of 6 months from the Specified Disaster Occurrence Date (hereafter referred as the “Extension Limit Date”).

- (i) Rights or other interests given by the measures executed by administrative organs (limited to the ones executed before the Specified Disaster Occurrence Date) with a term of existence that expires after the Specified Disaster Occurrence Date.
 - (ii) Rights to request an action to give some interest or other action to be taken by the administrative organ with the authority pertaining to the action (limited to national administrative organs, organs established in these administrative organs and organs in local governments.) with a term of existence that expires after the Specified Disaster Occurrence Date.
- (2) The extension measure based on the provision in the preceding clause is executed by a notification and by designating the subject person of said measure and the expiration date after the extension under said measure, using area as the unit, for each clause of the laws and regulations that are the ground for the Specified Rights and Interests subject to said measure.
- (3) Other than the extension measure provided in the first clause, the administrative organ in item (i) of said paragraph or the administrative organ in item (ii) of said paragraph (referred as the “Administrative Organs” in the next paragraph) can extend the expiration date by designating the day up to the Extension Limit Date for a victim of Specified Disaster who made a request for extension of the expiration date in writing with the explanation of the grounds for necessity for preservation or recovery regarding the Specified Rights and Interests.
- (4) After the Extension Limit Date is decided, when the special necessity for continuous execution of the measure of expiration date extension provided in paragraph 1 or the previous paragraph on or after the day following the Extension Limit Date is recognized, the heads of administrative organs in paragraph 1 or Administrative Organs can take a measure to further extend the expiration date pertaining to said Specified Rights and Interests limited to the date newly determined by cabinet order for each paragraph of the laws and regulations, that are the grounds for said Specified Rights and Interests, applying the example in the paragraph 1 or the previous paragraph.
- (5) Regardless of the provisions in each preceding paragraph, in the case when there is a disaster or other compelling reason, if special provisions are provided in other laws and regulations regarding the measures for the period pertaining to the Specified Rights and Interests, such provisions shall prevail.

(Measures regarding exemption from responsibilities pertaining to unfulfilled duties)

Article 4 Regarding duties for which performance deadlines fall on and after the Specified Disaster Occurrence Date (hereafter referred as “Specified Duties”) that were unfulfilled before said performance deadline due to a Specified Disaster, when grace on the

questioning of administrative and criminal responsibility pertaining to the non-performance needs to be granted, it can be decided by the Cabinet Order to determine the deadline pertaining to the exemption of responsibility (hereafter referred as the “Exemption Deadline”) of non-performance of Specified Duties within the range of 4 months from the Specified Disaster Occurrence Date.

- (2) If the Exemption Deadline is determined, when Specified Duties, for which the performance deadline falls on the day before the day of the Exemption Deadline, are fulfilled by the day of the Exemption Deadline, the responsibility of not fulfilling the said Specified Duties due to the Specified Disaster shall not be questioned.
- (3) After the Exemption Deadline is decided, when the special necessity for continuous execution of the responsibility exemption measure provided in paragraph (2) on or after the day following the Exemption Deadline is recognized, it can be decided by cabinet order to newly determine the deadline pertaining to the exemption of responsibility on said unfulfilled Specified Duty for each clause of the laws and regulations that are the grounds for Specified Duties. The provision in the preceding clause is applied in this case.
- (4) Regardless of the provision in paragraph (3), in the case when there is a disaster or other compelling reason, if special provisions are provided in other laws and regulations regarding the case of Specified Duties not being fulfilled before the performance deadline, such provisions shall prevail.

(Measures regarding exemptions for the decision on commencement of bankruptcy proceedings for a corporation due to excess debts)

Article 5 (Omitted)

(Measures regarding exemptions for the filing fee for a petition for conciliation under the Civil Conciliation Act)

Article 6 (Omitted)

(Measures regarding exemptions from the duration of temporary housing under the Building Standards Act)

Article 7 (Omitted)

(Measures regarding exemptions from the duration of temporary housing under the Landscape Act)

Article 8 (Omitted)

Supplementary Provision (Omitted)

[Reference 3]

Handling of “the Matters that the Statistics Commission finds to be minor”

March 9, 2009

Decision of the Statistics Commission

1 (1) “The matters that the Statistics Commission finds to be minor” under Article 9 (4) of the Statistics Act (Act No.53 in 2007) include, for example, the following cases:

(i) – (iv) (Omitted)

(vii) Omission from the subject survey areas or postponement of a survey due to the occurrence of a disaster

(viii, ix) (Omitted)

(2) (Omitted)

2 Regarding an application item that was found to be minor item by the Commission, the Commission shall receive a report on the results from the Director-General for Policy Planning (Statistical Standards), MIC, after the Director-General has processed said item.

※ Statistics Act Article 9

The head of an administrative organ shall, when intending to conduct a fundamental statistical survey, obtain approval from the Minister for Internal Affairs and Communications in advance.

(2), (3) (Omitted)

(4) The Minister for Internal Affairs and Communications shall, when an application for approval set forth in paragraph (1) has been filed, hear the opinions of the Statistics Commission; provided, however, that this shall not apply to the matters that the Statistics Commission finds to be minor.

Material 4: Screening Procedures on Statistical Surveys Pertaining to the Response to the 2011 off the Pacific Coast of Tohoku Earthquake

Administrative Correspondence
March 23, 2011

To: Members of the Organizing Committee for the Conference of
Directors for Statistical Sections of Ministries

General Management Section
Director for Statistical Planning
Director-General for Policy Planning (Statistical Standards),
MIC

Screening Procedures for Statistical Surveys Pertaining to the countermeasures to the 2011 off the Pacific Coast of Tohoku Earthquake

The notification concerning the heading above was made via “Countermeasures to the 2011 off the Pacific Coast of Tohoku Earthquake (notification)” (No.82-1, issued on March 15, 2011). We hereby notify you that the “flexible practice” mentioned in “2” in the said notification will be handled as described below.

Description

I. Fundamental Statistical Surveys

1. Regarding an approved survey plan containing the matters of each item of Article 9 (2) of the Statistics Act, when there are changes due to the disaster of the 2011 off the Pacific Coast of the Tohoku Earthquake (hereafter referred as “The Disaster”), please notify the Director for Statistical Clearance in charge of said survey plan by e-mail or fax. (If the specific contents of the changes have not been determined, you may notify first the fact that there will be changes, then report the contents as they become available.)
2. Please complete your application for change with an official document promptly when the situation is settled.
3. As for application with an official document, it is unnecessary to attach questionnaires, a comparative table of the prior and new questionnaire, documents about necessity and documents about actual usage. Therefore, please submit the following:
 - 1) An application form (head page) and a list of the items for the application (list the items to be changed only, in a comparative format) [See Appendix format]
 - 2) Survey plan after the change

Also, if the questionnaire is changed, please submit the questionnaire actually used.

4. If there are changes on multiple surveys in a ministry, you may apply by consolidating the application forms (head pages) together to apply all at once, and prepare an attachment for each survey.
5. When a change made due to the Disaster falls under the “Omission from the subject survey areas or postponement of survey due to the occurrence of a disaster” listed in the “Handling of ‘the Matters that the Statistics Commission finds to be minor’” (March 9, 2011, decision of the Statistical Commission), or even if it does not fall under the decision, as long as the change is caused by the Disaster, the Statistics Commission agrees that such item is handled as a minor item provided by Article 9 (4) of the Statistics Act.

(Regarding an item decided as a negligible item by the Commission and stipulated provided by Article 9 (4) of the Statistics Act, the Commission shall receive a report on the results from the Director-General for Policy Planning (Statistical Standards), MIC, after the Director-General has processed said item.

II. General Statistical Surveys

1. Regarding general statistical surveys, according to Article 7 of the Ordinance for Enforcement of the Statistics Act based on the provision to Article 21 (1) of the Statistics Act, the procedure for approval from the Minister for Internal Affairs and Communications as “minor changes” is not necessary for the following items, so no application procedure is necessary for matters that fall under such items:

“change of survey subject range due to a disaster”(Item2) and

“a change of the period for a report pertaining to the disaster area” (Item 4) .

In addition, when a change does not fall under these items, as far as it is due to the Disaster, it is deemed as “a change that does not require examination anew regarding whether it complies with the conditions provided in each item in Article 20” (Item 6). So no application procedure is necessary for such a change either.

Additionally, please consult with the responsible Director for Statistical Clearance for any questions about whether the change is considered as a minor item.

2. When a statistical survey is cancelled temporally (or stopped permanently), please follow the instructions below.
 - 1) Please notify the responsible Director for Statistical Clearance of the name of the general statistical survey and the survey period to be cancelled by e-mail or fax.
 - 2) Please promptly provide further notification with an official document once the situation has settled down.

※ Statistics Act Article 9

The head of an administrative organ shall, when intending to conduct a fundamental statistical survey, obtain approval from the Minister for Internal Affairs and Communications in advance.

- (2) The head of an administrative organ who intends to obtain approval under the preceding paragraph shall submit a written application containing the following matters to the Minister for Internal Affairs and Communications:

- (i) The title and the purpose of the survey;
 - (ii) The coverage of the survey;
 - (iii) Matters on which a report is requested and the reference date or period;
 - (iv) Persons requested to report;
 - (v) Methods for requesting a report;
 - (vi) The period for requesting a report;
 - (vii) Tabulation items;
 - (viii) Methods and the date for publicizing survey results;
 - (ix) Statistical standards to be used and other matters specified by an Ordinance of the
Ministry of Internal Affairs and Communications.
- (3), (4) (Omitted)

[Appendix]

(Document No.)
MM, DD, YYYY

To: The Minister for Internal Affairs and Communications

(Name of) Head of Administrative Organ (Official Seal)

Regarding Changes to Fundamental Statistical Surveys (Application)

Regarding the changes pertaining to the survey described below as a countermeasure to the disaster of the 2011 off the Pacific Coast of Tohoku Earthquake, we would like to apply for your approval based on the Article 11 (1) of the Statistics Act (Act No. 53 in 2007) in terms of the issue we notified the MIC on (month) (day) to the MIC. Attached are a separate sheet describing the subject matters in the application and related documents.

Description
XXXXX Survey

~~~~~  
Attachment

Description of the Subject Matters in the Application

1. Name of the survey
2. Details of the change

| Proposed change | Before the change | Reason for the change |
|-----------------|-------------------|-----------------------|
|                 |                   |                       |

## **Material 5: Remarks on the Response to the Great East Japan Earthquake by the Chair of Statistics Commission**

April 8, 2011

### **Remarks on the Response to the Great East Japan Earthquake by the Chair of Statistics Commission**

A month has passed since the Great East Japan Earthquake occurred on March 11. I would like to express my heartfelt sympathy to the people who were devastated and are still living as refugees. I also would like to offer my deepest condolences to the victims.

As statistics experts who are involved with the national statistical administration, we believe that it is our responsibility to grasp the situation of our country including the devastated area, as precisely as possible and continuously provide the information as statistical data to the citizens of Japan for the implementation of appropriate policies.

Regarding the monthly statistical survey conducted by the nation, aggregation and publication for March and the following months, including the survey results after the great disaster, are going to be implemented by the ministries in charge from this month (April). Concerned the Cabinet Office and ministries have been deliberating together to determine forms of publication that are easy to understand and are useful to the people of Japan. However, we received reports addressing the extreme difficulty to implement surveys in some devastated areas, and we believe that we need to respond in a way that takes such situation into account.

Therefore, in order to help each the Cabinet Office and ministry publish the results of the statistical surveys for March and following months, we have listed the things that seem necessary for aggregation and publication after the great disaster below. We expect that the Cabinet Office and the ministries will implement proper aggregation and publication of survey results in the forms that people can easily understand by following this guidance.

The results of statistical surveys are important fundamental materials for the recovery, and we sincerely appreciate your continuous cooperation with our surveys.

#### 1. Information Disclosure

In the case where any special treatment was used for the survey subject, survey method, survey time, aggregated items and aggregation method, the content shall be presented clearly with the publication of the results.

Also, if the date of publication is to be changed, it shall be announced in advance.

#### 2. Handling the Data from the Devastated Area

When publishing the items above, special attention should be paid to the following:

- When the devastated area was excluded from the survey subject area or questionnaires from certain areas could not be collected, how the data for these areas was aggregated (including the methods used to restore the data to national values) should be indicated as clearly as possible.

- An estimate of the effects of the above aggregation on the aggregated values should be indicated as clearly as possible.
- When provisional results are published, the fact that they are provisional and the schedule for publication of definite report values, etc. should be indicated clearly.

### 3. Preservation of the Record

The circumstances of the countermeasures to the Great East Japan Earthquake should be recorded and preserved as much as possible.

## **Material 6 Notice of Release of Statistical Survey Results Pertaining to the Great East Japan Earthquake**

### **Notice of Release of Statistical Survey Results Pertaining to the Great East Japan Earthquake**

April 15, 2011

Director-General for Policy Planning (Statistical Standards),  
MIC

#### 1. Information Sharing within the Entire Government

Many statistical surveys are severely affected by the Great East Japan Earthquake (hereafter referred as “the Disaster”). In statistical surveys, however, the subject, method, items and cycle are different from survey to survey. Thus, it would be inappropriate to set a uniform and all-inclusive data estimation method for the area where a survey cannot be implemented.

On the other hand, it seems ideal for an entire government to exchange information about special measures in each statistical survey frequently in order to minimize the impact of each statistic pertaining to the Disaster, and in order to use the precedent of similar surveys as a reference for following surveys. Therefore, we believe it is necessary for the Cabinet Office and each ministry to make an effort to mutually exchange information about the countermeasures to the Disaster concerning the statistical surveys, and for the MIC to prepare an environment for smooth information exchange and send out information on its own countermeasures.

In addition, regarding the present measures to the various statistical surveys in operation, taking the feelings of the residents of the devastated area and the actual operation system in the survey organization in related areas into an account, it is considered as a general measure to implement surveys to the extent that does not cause strain and resume normal operation when the situation allows.

#### 2. Clear Indication of Information Related to the Special Measures Pertaining to the Disaster

(1) Statistical surveys have significant domestic and international impacts, and some attract attention internationally. Also, a statistical survey is a means to grasp the shape of Japan after the Disaster, and the importance of such surveys is expected to be greater assuming that there is more demand for accurate judgments based on data in the phase of planning unprecedented reconstruction measures for extensive areas, etc.

On the other hand, it is a fact that due to the Disaster, the special measures must be taken for statistical surveys; therefore, details of the special measures need to be provided when the survey results are released for an accurate understanding and appropriate use of the statistics under the special measures.

(2) In the case of cancellation of release due to temporary cancellation of a statistical survey or postponement of the release day in consideration of a special measure, etc., assuming there are people waiting for the release of the statistics, it is required to make the measures to be changed widely known before the originally planned release date as

early as possible. However, considering that an administrative organ will make an effort to withhold the release date until the last possible moment, it is reasonable to strive to disseminate information about the change of release date by one week before the original release date as much as possible.

Moreover, regardless of whether the release date is changed or not, the release needs to be made on the assumption that the survey or aggregation will be affected by the measures taken in an emergency situation. Therefore, it is appropriate to post information, by one week before the release date, such as i) the date on which the release will definitely be made (when the release date has not been clearly indicated due to postponement, etc.) and ii) the use or non-use of special measures due to the Disaster, on the website of the Cabinet Office and each ministry, as well as on e-Stat's "Information from the Cabinet Office and Ministries" "Regarding the management of release and survey results of XXXX survey by Ministry of YYYY due to the impact from the Great East Japan Earthquake," etc.

### 3. Matters to Be Publicized (Matters to Be Released with the Survey Results)

The following matters are expected to be publicized as concrete contents of the special measures for the Disaster.

- a) Special measures to exclude the devastated area from the scope of the survey subject (change of the scope of the survey subject)
- b) Special measures to change the number of the survey reports, etc. (change of the respondents of the report)
- c) Special measures for deadline or time of the survey (change of the criteria as the day or period that demands a report)
- d) Special measures for survey methods (change of the methods used to gather a report)
- e) Special measures on items and methods used in the aggregation (incompletion of a part of aggregation tables, calculation of the national value including an estimate on the excluded areas, etc.)

\* Concerning the change of the aggregation methods, a public release of the special measures outline is assumed. For example, due to the exclusion of the devastated areas from the scope of the survey subject or to the significant drop of response rate in these areas. i) estimating the national value by using the national average and growth rate or the average and growth rate of the areas other than devastated areas as the estimated average value and growth rate for the excluded areas, or ii) publishing the results without the data from these areas as the national one, etc. are assumed.

- f) Special measures for the release

\* In the case where publishing method will be changed from usual release of the definite results only to early release of the preliminary results and the definite results afterward, a public release announcing the change should be made.

### 4. Preserving Records

We believe that the Cabinet Office and each ministry needs to record and preserve the circumstances of their countermeasures to the Disaster as much as possible.

## 5. Other Notices

In addition to the matters listed above, it is desirable to provide the following information as much as possible.

- (1) When the results of a certain area are excluded from the national result, the results of a certain past period, which are also excluding the results of the said area (release of retroactive information).
- (2) When the results of a certain area were estimated using certain information, the assumed impact from the said estimate (e.g. the difference in the results when the information obtained before the disaster is used, etc.).
- (3) When the response rate has dropped significantly in certain areas, the change of the response rate in the said areas.



**Material 7 State of Implementation of the Special Measures in Fundamental Statistical Surveys Pertaining to the Great East Japan Earthquake  
(By Type of Special Measures)**

(As of March 31, 2012)

| <b>Classification<br/>Type</b>                                            | <b>Name of the<br/>Fundamental<br/>Statistical Survey<br/>(Ministry Name)</b>                  | <b>Subject of the<br/>Survey<br/>(Survey Cycle)</b>       | <b>Point of the Measure</b>                                                                                                                                                                                                                                                                                                                                                                                                       |
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| Exclusion of the subject areas (cancellation of the survey in some areas) | Labour Force Survey (Ministry of Internal affairs and Communications (MIC))                    | Households and individuals (Monthly)                      | <ul style="list-style-type: none"> <li>For the surveys of March and April 2011, Iwate, Miyagi and Fukushima prefectures were excluded from the survey subject. The survey was resumed from May in Iwate and Miyagi prefectures, and from August in Fukushima prefecture in the possible range.</li> </ul>                                                                                                                         |
|                                                                           | Retail Price Survey (MIC)                                                                      | Establishments and households (Monthly and every 10 days) | <ul style="list-style-type: none"> <li>The survey was resumed from early April 2011 in Iwate, Fukushima and Ibaraki prefectures, and from mid-April in Miyagi prefecture.</li> </ul>                                                                                                                                                                                                                                              |
|                                                                           | Unincorporated Enterprise Survey (MIC)                                                         | Corporations (Quarterly and yearly)                       | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima) it was difficult to collect trend survey questionnaires from January to March 2011 and structural survey questionnaires for 2010, and to distribute the trend survey questionnaires from April to June 2011. Therefore, the survey was resumed from the third quarter (from July to September) excluding certain cities.</li> </ul> |
|                                                                           | Survey on Time Use and Leisure Activities (MIC)                                                | Households (Every 5 years)                                | <ul style="list-style-type: none"> <li>Excluding certain areas in Iwate, Miyagi and Fukushima prefectures, the survey was implemented for the year 2011.</li> </ul>                                                                                                                                                                                                                                                               |
|                                                                           | Economic Census for Business Activity (MIC and Ministry of Economy, Trade and Industry (METI)) | Establishments and corporations (Every 5 years)           | <ul style="list-style-type: none"> <li>Vigilance Zone and Evacuation planned Zone pertaining to Fukushima No.1 Nuclear Power Plant accident were excluded from the regional range of the survey subject scope in the Census conducted in February 2012.</li> </ul>                                                                                                                                                                |
|                                                                           | School Health Survey (Ministry of Education, Culture, Sports, Science and Technology (MEXT))   | Schools (Yearly)                                          | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima), health check by school which was the base of the survey was difficult to be implemented; therefore, the survey for the year of 2011 in these prefectures was cancelled and the notification was issued to the governors of these prefectures.</li> </ul>                                                                           |
|                                                                           | Monthly Labour Survey (Ministry of Health, Labour and Welfare (MHLW))                          | Establishments (Monthly and yearly)                       | <ul style="list-style-type: none"> <li>A part of the area around Fukushima No.1 Nuclear Power Plant was excluded from the survey for the time being.</li> </ul>                                                                                                                                                                                                                                                                   |

| <b>Classification</b><br><b>Type</b>                                                 | <b>Name of the Fundamental Statistical Survey (Ministry Name)</b>                       | <b>Subject of the Survey (Survey Cycle)</b>           | <b>Point of the Measure</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|--------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|-------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Exclusion of the subject area (cancellation of the survey in a certain area) (cont.) | Comprehensive Survey of Living Conditions (MHLW)                                        | Individuals and Households (Yearly and every 3 years) | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima) cancellation of the survey was determined and has been notified to the prefectures.</li> </ul>                                                                                                                                                                                                                                                                                    |
|                                                                                      | Patients Survey (MHLW)                                                                  | Establishments (Every 3 years)                        | <ul style="list-style-type: none"> <li>The survey was implemented except in a part of Miyagi prefecture and Fukushima prefecture.</li> </ul>                                                                                                                                                                                                                                                                                                                                    |
| Limitation of subject or item of the survey (partial exclusion or cancellation)      | School Basic Survey (MEXT)                                                              | Schools, board of education (Yearly)                  | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima), the “School Facilities Survey” was cancelled for elementary and secondary educational schools.</li> </ul>                                                                                                                                                                                                                                                                        |
|                                                                                      | Social Education Survey (MEXT)                                                          | Establishment (Every 3 years)                         | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima), private sports facilities were excluded from the survey subjects for 2011, surveyed items were limited to ones that were easy to grasp the current situation, and notifications of such decisions were issued to the superintendent of education in each prefecture. Implementation of complementary surveys are planned in 2012 for what have not been surveyed yet.</li> </ul> |
|                                                                                      | Monthly Labour Survey (MHLW)                                                            | Establishments (Monthly and yearly)                   | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima), out of the national surveys from March to April 2011 (from March to May for Miyagi prefecture), the part surveyed by the enumerators and local surveys were cancelled by the governors of three prefectures.</li> </ul>                                                                                                                                                          |
|                                                                                      | Survey of Medical Institutions (MHLW)                                                   | Establishments (Monthly, every 3 years)               | <ul style="list-style-type: none"> <li>Regarding static survey, the survey was implemented for limited items at the hospitals and clinics of certain areas in Miyagi prefecture. At the hospitals in Fukushima prefecture, the survey was implemented for limited items, and by the changed method to over the phone questioning by the prefecture. Clinics were excluded from the survey subject.</li> </ul>                                                                   |
| Postponement of the time of survey or submission deadline of the questionnaire       | Financial Statements Statistics of Corporations by Industry (Ministry of Finance (MOF)) | Corporations (Quarterly and every half year)          | <ul style="list-style-type: none"> <li>Regarding the quarterly survey (from January to March 2011), shipping of the questionnaire was postponed until early June for about 1,000 companies in the three prefectures (Iwate, Miyagi and Fukushima), a part of Aomori prefecture and a part of Ibaraki prefecture.</li> <li>Regarding the half year survey, corresponding to the postponement of the submission deadline of Annual</li> </ul>                                     |

| Classification<br>Type                                                                            | Name of the Fundamental Statistical Survey (Ministry Name)                | Subject of the Survey (Survey Cycle) | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
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| Postponement of the time of survey or submission deadline of the questionnaire (cont.)            |                                                                           |                                      | Securities Report of corporations suffered from the earthquake by the Financial Service Agency, related ministerial ordinances were prepared and the submission deadline of the questionnaire for the second half of the calendar year 2010 of devastated corporations was postponed to the end of September 2011.                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                                                                                                   | School Basic Survey (MEXT)                                                | Schools, board of education (Yearly) | <ul style="list-style-type: none"> <li>For the elementary and secondary educational schools in the three prefectures (Iwate, Miyagi and Fukushima), the submission deadline of the “School Survey”, “Correspondence Course Survey”, “Survey on Children in Educational Ages Who Refuse to Attend School” and “Survey on First Destination of New Graduates ” were postponed until October 2011.</li> </ul>                                                                                                                                                                                                                                                                                                                                                        |
|                                                                                                   | Basic Survey on Wage Structure (MHLW)                                     | Establishments (Yearly)              | <ul style="list-style-type: none"> <li>Regarding the three prefectures (Iwate, Miyagi and Fukushima), the submission deadline from each Director-General of the Prefectural Labour Bureau to the MHLW was postponed from August 20 to September 12 in 2011.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|                                                                                                   | Basic Survey of Japanese Business Structure and Activities by METI (METI) | Corporations (Yearly)                | <ul style="list-style-type: none"> <li>For the corporations with its headquarter located in the municipalities under the Disaster Relief Act, the shipment of questionnaires was delayed for a month. Then, it was sent after the agreement to ship the questionnaire was received from each corporation.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc. | Population Census (MIC)                                                   | Households (Every 5 years)           | <ul style="list-style-type: none"> <li>Regarding the three prefectures (Iwate, Miyagi and Fukushima), approximate aggregation of the population by sex and age by municipalities (shi, ku, machi and mura), the employed persons by industries by municipalities, etc. based on the Population Census conducted on 1 October 2010 were implemented early than ever before making a definite report and they were posted on the Statistics Bureau’s website (May 31, June 2, June 24 and July 12 in 2011) and provided to the prefectures.</li> <li>Regarding the three prefectures (Iwate, Miyagi and Fukushima), the results of basic aggregation of population, etc. were released on July 27, 2011, before the decided release date of all results.</li> </ul> |

| Classification<br>Type                                                                                    | Name of the Fundamental Statistical Survey (Ministry Name) | Subject of the Survey (Survey Cycle)            | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc. (cont.) | Economic Census for Business Frame (MIC)                   | Establishments and corporations (Every 5 years) | <ul style="list-style-type: none"> <li>Regarding the six prefectures (Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba), the result of aggregation by survey area and by municipalities (shi, ku, machi and mura) based on the Economic Census for Business Frame conducted in July 2009 was released on June 15, 2011, before the decided released date.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                                                                                                           | Labour Force Survey (MIC)                                  | Individuals and households (Monthly)            | <ul style="list-style-type: none"> <li>National aggregated result that excluded the results in the three prefectures (Iwate, Miyagi and Fukushima) and retroactive aggregated results up to January 2009, on which same measures were used, were released.</li> <li>Discussion to determine about the measures, such as complementary estimates pertaining to the three excluded prefectures, will be held in the future.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                                                                                                           | Family Income and Expenditure Survey (MIC)                 | Households (Monthly)                            | <ul style="list-style-type: none"> <li>After the survey conducted in March 2011 and after, a policy to not to determine the excluding area by prefecture, municipalities (shi, ku, machi and mura) and Enumeration Districts beforehand, but to implement the survey in the possible range and exclude the area when it is difficult to collect the questionnaires was released. (April 21)</li> <li>Regarding the survey results for March 2011 and after, the national result, which was complementarily estimated using the results from the households, which the questionnaires were collected in Tohoku region was released Regarding the survey result on March 2011, since additional questionnaires were collected in a certain area, the result was retroactively changed at the time of the release for June. (July 29)</li> <li>From the survey in January 2012, the subject municipality, Otuchi-cho in Iwate prefecture, where it has been difficult to implement the survey, was replaced with Tono city in the same prefecture. With this change, there was no area that was impossible to collect the questionnaires and normal survey, aggregation and release resumed (March 2 in 2012).</li> </ul> |

| Classification<br>Type                                                                                   | Name of the Fundamental Statistical Survey (Ministry Name)       | Subject of the Survey (Survey Cycle)                      | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
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| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc.(cont.) | Retail Price Survey (MIC)                                        | Establishments and households (Monthly and every 10 days) | <ul style="list-style-type: none"> <li>● Regarding the nationwide survey for March 2011 (Released on April 28, 2011), the survey encountered some trouble in the part of four prefectures (Iwate, Miyagi, Fukushima and Ibaraki). Thus, the simple arithmetic mean of the prices surveyed in related cities were adopted as the prices in them to maintain the accuracy of the survey. And its results were released.</li> <li>● The nationwide survey for April 2011 was released on May 27, 2011 as usual.</li> <li>● Before the release of the nationwide survey for April 2011 (May 27), preliminary result related to retail prices in the East Japan region was released for the purpose to understand the impact of the Great East Japan Earthquake on retail prices (April 28, May 11, 2011).</li> </ul> |
|                                                                                                          | Unincorporated Enterprise Survey (MIC)                           | Corporations (Quarterly and yearly)                       | <ul style="list-style-type: none"> <li>● In the three prefectures (Iwate, Miyagi and Fukushima) it was difficult to collect trend survey questionnaires from January to March, 2011 and structural survey questionnaires for 2010, and to distribute the trend survey questionnaire from April to June 2011. However, as the impact of these prefectures to the nationwide results was negligible, therefore, the results of the trend survey from January to March 2011 (released on May 26, 2011), the trend survey from April to June 2011 (released on August 25, 2011) and the structural survey for 2010 (released on July 12, 2011) were released as nationwide results excluding the three prefectures.</li> </ul>                                                                                       |
|                                                                                                          | Financial Statements Statistics of Corporation by Industry (MOF) | Corporations (Quarterly and every half year)              | <ul style="list-style-type: none"> <li>● Regarding the quarterly survey (from January to March 2011), shipping of the questionnaire was postponed until early June 2011 for about 1,000 companies in the three prefectures (Iwate, Miyagi and Fukushima), a part of Aomori prefecture and a part of Ibaraki prefecture. These were complemented based on the nationwide average and aggregated to be released as a preliminary result on June 2, 2011. Later, related ministerial ordinances were developed and the deadline date of submission was also postponed until the end of June 2011. After adding the results of the questionnaires submitted</li> </ul>                                                                                                                                               |

| Classification<br>Type                                                                                   | Name of the Fundamental Statistical Survey (Ministry Name) | Subject of the Survey (Survey Cycle) | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
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| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc.(cont.) |                                                            |                                      | <p>by the end of June, the definite results based on the re-aggregation for this period was released on July 29, 2011. (Last year, the results of the period of from January to March was released on June 3, 2010.)</p> <ul style="list-style-type: none"> <li>Regarding the yearly survey 2010, the release date of the survey for the last half-year was set on October 31, 2011.</li> </ul>                                                                                                                                                                                                                                                                                                           |
|                                                                                                          | Monthly Labour Statistics (MHLW)                           | Establishments (Monthly and yearly)  | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima), out of the nationwide surveys for March - April 2011 (from March to May 2011 for Miyagi prefecture), the part surveyed by the enumerators and local surveys were cancelled by the related governors' judgment.</li> <li>Situation of the response mentioned above and its impact on the aggregated result, etc. were released.</li> </ul>                                                                                                                                                                                                                                                                  |
|                                                                                                          | Vital Statistics (MHLW)                                    | Local municipalities (Monthly)       | <ul style="list-style-type: none"> <li>In the Prompt Report and Monthly Report (preliminary), the questionnaires that were not collected by the deadline for prompt questionnaires of each month were not included. The excluded questionnaires were included in the Prompt Report data in the month they were collected and its results were released. In the Annual Vital Statistics Report of 2011 (final data) scheduled to be released in September 2012, aggregation will be done in incidence by months.</li> <li>Taking the status on the collection of questionnaires into account, possibility of implementing special aggregations related to the Disaster are under consideration.</li> </ul> |
|                                                                                                          | Statistical Survey on Farm Management and Economy (MAFF)   | Households, etc. (Yearly)            | <ul style="list-style-type: none"> <li>Out of the survey results of 2010, some of the statistics were estimated with an exclusion of a part of households that were difficult to collect questionnaire in the three prefectures (Iwate, Miyagi and Fukushima) and released.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                                                                                                          | Statistical Survey on Crops (MAFF)                         | Households, etc. (Yearly)            | <ul style="list-style-type: none"> <li>Regarding the Survey on Fruit and Nuts (Amount of Apple produce for year 2010, etc.), national value was estimated excluding the data from three prefectures (Iwate, Miyagi and Fukushima) and released (May 20).</li> <li>Since the data from the three prefectures became available, the national value was re-calculated with</li> </ul>                                                                                                                                                                                                                                                                                                                        |

| Classification<br>Type                                                                                   | Name of the Fundamental Statistical Survey (Ministry Name)           | Subject of the Survey (Survey Cycle)              | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
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| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc.(cont.) | Statistical Survey on Supply and Demand of Sawlogs and Lumber (MAFF) | Establishments (Monthly and yearly)               | <p>the three prefectures and the second report was released (July 20, 2011).</p> <ul style="list-style-type: none"> <li>● Monthly Statistics on Lumber have been released with the exclusion of the three prefectures (Iwate, Miyagi and Fukushima) for February and the following months in 2011, but the survey including the three prefectures was resumed from July 2011 and reported (Released on August 25, 2011).</li> <li>● Monthly Statistics on Plywood have been released with the exclusion of the two prefectures (Iwate and Miyagi) for February and the following months in 2011. From October 2011, the data from Miyagi prefecture became collectable so that only Iwate prefecture has been excluded from the release. Survey and release that includes Iwate prefecture will resume from the month the data from Iwate becomes collectable.</li> <li>● When the aggregated result that excludes a few prefectures is released, the fact that the released data is from the data excluding those prefectures is annotated. In the meantime, values of the preceding month and the same month in the preceding year are shown with the values excluding the said prefectures for reference.</li> <li>● The possibility to compliment missing data will be determined as the recovery situation will be ascertained.</li> </ul> |
|                                                                                                          | Statistical Survey on Marine Fishery Production (MAFF)               | Households, establishments (Quarterly and yearly) | <ul style="list-style-type: none"> <li>● The result, excluding Iwate, Miyagi and Fukushima prefectures, was released during the time that was originally planned for the release (May 9, 2011).</li> <li>● The second report, including Miyagi and Fukushima prefectures, was released (June 24, 2011). The nationwide results, including Iwate prefecture, were released (November 10, 2011).</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|                                                                                                          | Statistical Survey on Milk and Dairy Products (MAFF)                 | Establishments (Monthly and yearly)               | <ul style="list-style-type: none"> <li>● Releases for February and March 2011 were postponed because the submission of report due to the disaster (The report for February (originally scheduled for release in the end of March) and for March (originally scheduled for release in the end of April) has been released on April 20 and May 9, 2011.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |

| Classification<br>Type                                                                                   | Name of the Fundamental Statistical Survey (Ministry Name)                 | Subject of the Survey (Survey Cycle)      | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc.(cont.) |                                                                            |                                           | <p>respectively. The delay and the new scheduled release date were announced in advance.</p> <ul style="list-style-type: none"> <li>For April 2011 (scheduled for release in the end of May 2011) and the following months, results will be released as usual.</li> </ul>                                                                                                                                                                                                                                                                          |
|                                                                                                          | Statistical Survey on Current Industrial Production by METI (METI)         | Establishments and corporations (Monthly) | <ul style="list-style-type: none"> <li>For March 2011, the report was released as usual without excluding the prefectures that suffered from the disaster. The damages situations were confirmed by calling the subject establishment in the area to gather information necessary to make a reasonable estimate. The information was also provided to the related prefectures.</li> <li>For April 2011 and the following months, the report was, again, released as usual without excluding the prefectures suffered from the disaster.</li> </ul> |
|                                                                                                          | Statistical Survey of Energy Consumption in the Selected Industries (METI) | Establishments (Monthly and yearly)       | <ul style="list-style-type: none"> <li>For March 2011, the report was released as usual without excluding the prefectures that suffered from the disaster. For the establishments in the disaster area that could not submit the questionnaire, the data was estimated based on the hearing implemented in the Current Survey of Production.</li> <li>For April 2011 and the following months, the report was, again, released as usual without excluding the prefectures that suffered from the disaster.</li> </ul>                              |
|                                                                                                          | Monthly Report on the Current Survey of Commerce (METI)                    | Establishments and corporations (Monthly) | <ul style="list-style-type: none"> <li>For March 2011, the report was released as usual without excluding the prefectures that suffered from the disaster. When the questionnaires from the establishments in the disaster area were not submitted, the data was complemented to be close to the actual condition by making estimation by day.</li> <li>For April 2011 and the following months, the report was, again, released as usual without excluding the prefectures that suffered from the disaster.</li> </ul>                            |
|                                                                                                          | Current Survey of Petroleum Products Supply and Demand (METI)              | Establishments (Monthly)                  | <ul style="list-style-type: none"> <li>For March 2011, the report was released as usual without excluding the prefectures that suffered from the disaster. The damage situations were confirmed by calling the subject establishment in the area to gather</li> </ul>                                                                                                                                                                                                                                                                              |



| Classification<br>Type                                                                                   | Name of the Fundamental Statistical Survey (Ministry Name)                                                            | Subject of the Survey (Survey Cycle)   | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Change of the methods of aggregation or estimation. Change of the timing or date of release, etc.(cont.) |                                                                                                                       |                                        | <p>information necessary to make reasonable estimate.</p> <ul style="list-style-type: none"> <li>For April 2011 and the following months, the report was, again, released as usual without excluding the prefectures that suffered from the disaster.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                                                                                                          | Current Survey of Production Concerning Gas Industry (METI)                                                           | Establishments (Monthly and quarterly) | <ul style="list-style-type: none"> <li>The survey from March to May 2011, reminder to submit questionnaire was not sent, and the nationwide result excluding the portion of establishments which data was not collected was released.</li> <li>For June 2011 and the following months, collection was executed on all subjects, and released as usual. The data from March to May 2011 was also collected retroactively and a final report was released.</li> </ul>                                                                                                                                                                                                                                                                     |
|                                                                                                          | Statistical Survey on Current Orders for Construction (Ministry of Land Infrastructure, Transport and Tourism (MLIT)) | Corporations (Monthly, yearly)         | <ul style="list-style-type: none"> <li>Preliminary report release was cancelled due to the delay in collecting the questionnaires for February 2011. However, the final report was released as scheduled (April 11, 2011).</li> <li>Regarding the release of the result for April 2011, due to the delay in collecting data from Miyagi prefecture, estimated data excluding the said prefecture was released (June 10, 2011). Re-calculated values including Miyagi prefecture were released at the same time the report for May was released (July 11, 2011).</li> <li>From this point, the survey will be implemented as usual with sufficient consideration to the situation of the survey objects in the affected area.</li> </ul> |
| Others (release of reference values, etc.)                                                               | Population Census (MIC)                                                                                               | Households (Every 5 years)             | <ul style="list-style-type: none"> <li>In the three prefectures (Iwate, Miyagi and Fukushima), regarding the population by sex and age by municipalities (shi, ku, machi and mura), and employed persons by industries, etc. based on the 2010 Population Census, aggregations are implemented with preliminary report and posted on the Statistics Bureau's website before making a final report (May 31, June 2, June 24 and July 12 in 2011) and provided to the related prefectures.</li> <li>In the three prefectures (Iwate, Miyagi and Fukushima), the result of Basic Complete Tabulation on Population</li> </ul>                                                                                                              |

I The Countermeasures in the Official Statistical System and the Provision of Information on Statistical Survey Results in Japan in light of the Great East Japan Earthquake

| Classification<br>Type                             | Name of the Fundamental Statistical Survey (Ministry Name) | Subject of the Survey (Survey Cycle)                      | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|----------------------------------------------------|------------------------------------------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Others (release of reference values, etc.) (cont.) |                                                            |                                                           | <p>and Households, etc. was released on July 27, 2011, before the scheduled release date.</p> <ul style="list-style-type: none"> <li>Utilizing the survey results of 2010, statistical maps of population and households in the flooded area were published. (April 25, 2011)</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|                                                    | Retail Price Survey (MIC)                                  | Establishments and households (Monthly and every 10 days) | <ul style="list-style-type: none"> <li>Regarding the nationwide survey for March 2011 (Released on April 28, 2011), the survey encountered some trouble in the part of four prefectures (Iwate, Miyagi, Fukushima and Ibaraki). Thus, the simple arithmetic mean of the prices surveyed in related cities were adopted as the prices in them to maintain the accuracy of the survey. And its results were released.</li> <li>Before the release of the nationwide survey for April 2011 (May 27), preliminary result related to retail prices in the East Japan region was released for the purpose to understand the impact of the Great East Japan Earthquake on retail prices (April 28, May 11, 2011).</li> </ul>                                                                                                                                         |
|                                                    | Survey of Research and Development (MIC)                   | Corporations, etc. (Yearly)                               | <ul style="list-style-type: none"> <li>Regarding the establishments of survey subject in the three prefectures (Iwate, Miyagi and Fukushima), the possibility of implementing the survey was confirmed at the time of questionnaire distribution by phone, etc.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                                                    | Economic Census - for Business Frame (MIC)                 | Establishments, Corporations (Every 5 years)              | <ul style="list-style-type: none"> <li>Regarding the six prefectures (Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba), the result of aggregation by survey area and by municipalities (shi, ku, machi and mura) based on the Economic Census for Business Frame conducted in July 2009 was released on June 15, 2011, before the decided released date. The following was posted on the website of the Statistics Bureau, MIC as a special aggregation result pertaining to the East Japan Pacific Coastal Areas (Prefectures of Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba).</li> <li>The number of establishments and employed persons by municipality and by industry (by Division and by Groups of JSIC) were posted on May 11, 2011 (Updated on June 3 based on the definite result).</li> <li>The number of establishments and</li> </ul> |

| Classification<br>Type                             | Name of the Fundamental Statistical Survey (Ministry Name)           | Subject of the Survey (Survey Cycle)            | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------------------|----------------------------------------------------------------------|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Others (release of reference values, etc.) (cont.) |                                                                      |                                                 | employed persons by municipality and by industry (by Division of JSIC) – in the flooded survey area were posted on May 11, 2011 (Updated on June 15 based on the result of aggregation by survey district).                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|                                                    | Economic Census for Business Activity (MIC and METI)                 | Establishments and Corporations (Every 5 years) | <ul style="list-style-type: none"> <li>Among the independent establishments or new establishments scheduled for survey by enumerators in 2011 Census, the change of survey method via mail from the government instead to it were implemented for the ones in some municipalities in Iwate, Miyagi and Fukushima prefectures suffering from significant damage from the tsunami, etc. caused by the earthquake and not being able to secure the implementation system.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|                                                    | Monthly Labour Survey (MHLW)                                         | Establishments (Monthly, yearly)                | <ul style="list-style-type: none"> <li>As special aggregations, ratio of establishments by the state of worker increase/decrease in the three prefectures (Iwate, Miyagi and Fukushima) were released on May 2, May 18, etc. in 2011 and the regional results by two area. East Japan area and other Hokkaido, Chubu and West Japan area were released on May 31, June 17, etc. in 2011.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|                                                    | Statistical Survey on Supply and Demand of Sawlogs and Lumber (MAFF) | Establishments (Monthly, yearly)                | <ul style="list-style-type: none"> <li>Monthly Statistics on Lumber were released with the exclusion of the three prefectures (Iwate, Miyagi and Fukushima) for February and the following months in 2011, but the survey including the three prefectures was resumed from July 2011 and reported (Released on August 25, 2011).</li> <li>Monthly Statistics on Plywood have been released with the exclusion of the two prefectures (Iwate and Miyagi) for February and the following months in 2011. From October 2011, the data from Miyagi prefecture became collectable so that only Iwate prefecture was excluded from the release. Survey and release that includes Iwate prefecture will resume from the month the data from Iwate becomes collectable. When the aggregated result that excludes a few prefectures is released, the fact that the released data is from the data excluding those prefectures is</li> </ul> |

I The Countermeasures in the Official Statistical System and the Provision of Information on Statistical Survey Results in Japan in light of the Great East Japan Earthquake

| Classification<br>Type                             | Name of the Fundamental Statistical Survey (Ministry Name) | Subject of the Survey (Survey Cycle)      | Point of the Measure                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------------------------------|------------------------------------------------------------|-------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Others (release of reference values, etc.) (cont.) |                                                            |                                           | annotated. In the meantime, values of preceding month and the same month in the preceding year are shown with the values excluding the said prefectures for reference.                                                                                                                                                                                                                                                                                                                                             |
|                                                    | Monthly Report on the Current Survey of Commerce (METI)    | Establishments and corporations (Monthly) | <ul style="list-style-type: none"> <li>For March 2011, the report was released as usual without excluding the prefectures suffered from the disaster. When the questionnaires from the establishments in the disaster area were not submitted, the data was complemented to be close to the actual condition by making estimation by day.</li> <li>For April 2011 and the following months, the report was, again, released as usual without excluding the prefectures that suffered from the disaster.</li> </ul> |
|                                                    | Statistical Survey on Motor Vehicle Transport (MLIT)       | Automobile (Monthly)                      | <ul style="list-style-type: none"> <li>Each survey is implemented as usual with sufficient consideration to the situation of the survey objects in the affected areas by calling to check the situation in regards to the possibility of implementing the survey, etc.</li> </ul>                                                                                                                                                                                                                                  |
|                                                    | Survey on Ports and Harbors (MLIT)                         | Establishments (Monthly and yearly)       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                                                    | Statistical Report on Coastwise Vessel Transport (MLIT)    | Establishments (Monthly and yearly)       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|                                                    | Survey on Shipbuilding and Engineering (MLIT)              | Establishments (Monthly, quarterly)       | <ul style="list-style-type: none"> <li>Each survey is implemented as usual with sufficient consideration to the situation of the survey objects in the affected areas by calling to check the situation in regards to the possibility of implementing the survey, etc.</li> </ul>                                                                                                                                                                                                                                  |
|                                                    | Survey on Current Rail Stock Production (MLIT)             | Establishments (Monthly, quarterly)       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

**Material 8 The Provision of Special Statistical Information for Understanding the Damage from the Great East Japan Earthquake and Its Recovery**

(As of March 31, 2012)

| <b>Name of the Ministry</b>                     | <b>Contents of the Information Provided</b>                                                                                                                                              | <b>Aggregated Areas</b>                                         | <b>Name of the Survey</b>                                                      | <b>Release Date (Website)</b>                                                                                                                       |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|--------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| Ministry of Internal affairs and Communications | Population and households by the Basic Unit Blocks (Enumeration Districts) concerned with the range of flooded area due to the tsunami                                                   | Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba prefectures | 2010 Population Census                                                         | April 25, 2011<br>( <a href="http://www.stat.go.jp/info/shinsai/index.htm#kekka">http://www.stat.go.jp/info/shinsai/index.htm#kekka</a> )           |
|                                                 | Population and employed persons by smaller area than municipalities (shi, ku, machi and mura)                                                                                            | Iwate, Miyagi and Fukushima prefectures                         | 2010 Population Census                                                         | July 12, 2011<br>(Same as above)                                                                                                                    |
|                                                 | Number of establishments and employees by municipalities (shi, ku, machi and mura) and by industry (by Divisions of JSIC)                                                                | Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba prefectures | 2009 Economic Census for Business Frame                                        | June 3, 2011<br>(Same as above)                                                                                                                     |
|                                                 | Data of the East Japan Coastal Pacific Area and data related to the damage from the disaster                                                                                             | Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba prefectures | Note 1                                                                         | March 29, 2012<br>(Same as above)                                                                                                                   |
|                                                 | Impact on internal migration based on the Basic Register of Residents                                                                                                                    | Iwate, Miyagi and Fukushima prefectures and nationwide          | Report on Internal Migration in Japan based on the Basic Register of Residents | March 26, 2012<br>(Same as above)                                                                                                                   |
| Ministry of Agriculture, Forestry and Fisheries | Estimated area of the farmland washed away or flooded by the tsunami associated with the Great East Japan Earthquake (by prefectures and by municipalities (cities, towns and villages)) | Aomori, Iwate, Miyagi, Fukushima, and Ibaraki prefectures       | Note 2                                                                         | March 29, 2011<br>( <a href="http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai.pdf">http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai.pdf</a> )       |
|                                                 | Number of fishery management entities, fishery workers, marine product processing facilities and refrigerating plants by                                                                 | Aomori, Iwate, Miyagi, Fukushima, and Ibaraki prefectures       | 2008 Fishery Census                                                            | May 11, 2011<br>( <a href="http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai_gyo.pdf">http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai_gyo.pdf</a> ) |

| Name of the Ministry                            | Contents of the Information Provided                                                                                                                                                                                                                                                               | Aggregated Areas                                                           | Name of the Survey                                | Release Date (Website)                                                                                                                                     |
|-------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|---------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ministry of Agriculture, Forestry and Fisheries | municipalities in the five prefectures that suffered from the Great East Japan Earthquake                                                                                                                                                                                                          |                                                                            |                                                   |                                                                                                                                                            |
|                                                 | Agricultural output of the four prefectures that suffered from the Great East Japan Earthquake                                                                                                                                                                                                     | Iwate, Miyagi, Fukushima and Ibaraki prefectures                           | Statistics of Agricultural Income Produced (2009) | May 12, 2011 ( <a href="http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai_gaku.pdf">http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai_gaku.pdf</a> )         |
|                                                 | Number of fishery management entities, fishery workers, aquaculture management entities and area of the aquaculture by type of culture, marine product processing facilities and refrigerating plants by fishery zone in the seven prefectures that suffered from the Great East Japan Earthquake. | Hokkaido, Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba prefectures  | 2008 Fishery Census                               | August 12, 2011 ( <a href="http://www.maff.go.jp/j/tokei/census/fc/2008/saigai.html">http://www.maff.go.jp/j/tokei/census/fc/2008/saigai.html</a> )        |
|                                                 | Main data of the municipalities (cities, towns and villages) and agricultural communities which were devastated by the tsunami of the Great East Japan Earthquake in six prefectures.                                                                                                              | Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba prefectures            | 2010 Census of Agriculture and Forestry           | August 22, 2011 ( <a href="http://www.maff.go.jp/j/tokei/census/afc/2010/saigai.html">http://www.maff.go.jp/j/tokei/census/afc/2010/saigai.html</a> )      |
|                                                 | Damages on agricultural management entities caused by the Great East Japan Earthquake and the status of their operation resumption (As of July 11, 2011)                                                                                                                                           | Municipalities along the coast of East Japan (except Fukushima prefecture) | 2010 Census of Agriculture and Forestry,, Note 3  | September 22, 2011 ( <a href="http://www.maff.go.jp/j/tokei/census/afc/2010/saigai2.html">http://www.maff.go.jp/j/tokei/census/afc/2010/saigai2.html</a> ) |
|                                                 | Damages on fishery management entities caused by the Great East Japan Earthquake and the status of their operation resumption (As of July 11, 2011)                                                                                                                                                | Municipalities along the coast of East Japan (Except Fukushima prefecture) | 2008 Fishery Census, Note 4                       | September 22, 2011 ( <a href="http://www.maff.go.jp/j/tokei/census/fc/2008/jyokyo.html">http://www.maff.go.jp/j/tokei/census/fc/2008/jyokyo.html</a> )     |

| Name of the Ministry                            | Contents of the Information Provided                                                                                                                                                                                                | Aggregated Areas                                                                                                    | Name of the Survey                                                                         | Release Date (Website)                                                                                                                                                                         |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ministry of Agriculture, Forestry and Fisheries | The Great East Japan Earthquake and the basic statistical data of agriculture, forestry and fishery industries (Illustration)                                                                                                       |                                                                                                                     | Note 5                                                                                     | October 21, 2012 ( <a href="http://www.maff.go.jp/j/tokei/joho/zusetsu/zusetsu.html">http://www.maff.go.jp/j/tokei/joho/zusetsu/zusetsu.html</a> )                                             |
|                                                 | Area of the restored farmland which were devastated by the Great East Japan Earthquake (As of March 11, 2012)                                                                                                                       | Aomori, Iwate, Miyagi, Fukushima, Ibaraki, Chiba, Yamagata, Gunma, Tochigi, Saitama, Niigata and Nagano prefectures | Note 6                                                                                     | April 20, 2012 ( <a href="http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai_nouchi_240311.pdf">http://www.maff.go.jp/j/tokei/saigai/pdf/shinsai_nouchi_240311.pdf</a> )                         |
|                                                 | Damages on agricultural management entities caused by the Great East Japan Earthquake and the status of their operation resumption (As of March 11, 2012)                                                                           | Municipalities along the coast of East Japan                                                                        | 2010 Census of Agriculture and Forestry, Note 3                                            | April 12, 2012 ( <a href="http://www.maff.go.jp/j/tokei/census/afc/2010/saigai3.html">http://www.maff.go.jp/j/tokei/census/afc/2010/saigai3.html</a> )                                         |
|                                                 | Damages on fishery management entities caused by the Great East Japan Earthquake and the status of their operation resumption (As of March 11, 2012)                                                                                | Municipalities along the coast of East Japan                                                                        | 2008 Fishery Census, Note 4                                                                | April 12, 2012 ( <a href="http://www.maff.go.jp/j/tokei/census/fc/2008/jokyo3.html">http://www.maff.go.jp/j/tokei/census/fc/2008/jokyo3.html</a> )                                             |
| Ministry of Economy, Trade and Industry         | Estimates of Indices of Industrial Production by region pertaining to the earthquake (Preliminary report for February 2012) *It has been provided with the monthly Indices of Industrial Production continuously since August 2011. | Affected areas and areas other than affected areas                                                                  | Statistical Survey of Current Industrial Production and , Indices of Industrial Production | March 30, 2012 ( <a href="http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h24/h4a1202eeu.pdf">http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h24/h4a1202eeu.pdf</a> ) |

| Name of the Ministry                    | Contents of the Information Provided                                                                                                                                    | Aggregated Areas                                                                                                      | Name of the Survey                                                                                                                                                                                                   | Release Date (Website)                                                                                                                                                                          |
|-----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ministry of Economy, Trade and Industry | Estimated output of the industrial establishments (59 establishments) located in the area flooded by the tsunami (comparison with the same month in the preceding year) | 62 municipalities along the coast of East Japan in 6 prefectures, Aomori, Iwate, Miyagi, Fukushima, Ibaraki and Chiba | Statistical Survey of Current Industrial Production                                                                                                                                                                  | March 14, 2012 ( <a href="http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h24/h4a1201tnm.pdf">http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h24/h4a1201tnm.pdf</a> )  |
|                                         | Export situations from the ports located in the affected area                                                                                                           | Aomori, Iwate, Miyagi, Fukushima, and Ibaraki prefectures                                                             | Trade Statistics (MOF) and Indices of Industrial Production                                                                                                                                                          | December 8, 2011 ( <a href="http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h23/h4a1112j2.pdf">http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h23/h4a1112j2.pdf</a> )  |
|                                         | Trend of consumer's consumption after the earthquake                                                                                                                    | Hokkaido, Tohoku, Kanto, Chubu, Kinki, Chugoku, Shikoku, Kyushu and Okinawa regions                                   | Family Income and Expenditure Survey (MIC), Consumer Price Index (MIC), Consumer Confidence Survey (Cabinet Office), Monthly Report on the Current Survey of Commerce, Current Survey of Selected Service Industries | September 7, 2011 ( <a href="http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h23/h4a1109j2.pdf">http://www.meti.go.jp/statistics/toppage/report/bunseki/pdf/h23/h4a1109j2.pdf</a> ) |
|                                         | Economic scale of the manufacturing industry and commerce in the area affected by the Earthquake (Number of establishments, employees, sales, etc.)                     | Aomori, Iwate, Miyagi, Fukushima, Ibaraki, Tochigi and Chiba prefectures                                              | Census of Manufactures, Census of Commerce                                                                                                                                                                           | August 24, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/khozo/sinsai_1_keizaikibo.pdf">http://www.meti.go.jp/statistics/tyo/khozo/sinsai_1_keizaikibo.pdf</a> )                         |
|                                         | Establishments of the manufacturing industry located in the area flooded by the tsunami caused by the earthquake (Number of establishments, employees, sales, etc.)     | Iwate, Miyagi and Fukushima prefectures                                                                               | Census of Manufactures                                                                                                                                                                                               | August 24, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/khozo/sinsai_2_sinsuichiki_kogyo.pdf">http://www.meti.go.jp/statistics/tyo/khozo/sinsai_2_sinsuichiki_kogyo.pdf</a> )           |



| Name of the Ministry                    | Contents of the Information Provided                                                                                                                                                                                                                          | Aggregated Areas                                                                                                              | Name of the Survey                               | Release Date (Website)                                                                                                                                                                       |
|-----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ministry of Economy, Trade and Industry | Establishments of the manufacturing industry and the commerce located in the No-Entry Zone, Evacuation Planned Zone and Evacuation in Emergency Planned Zone around the Fukushima No.1 Nuclear Power Plant (Number of establishments, employees, sales, etc.) | No-Entry Zone, Evacuation Planned Zone and Evacuation in Emergency Planned Zone around the Fukushima No.1 Nuclear Power Plant | Census of Manufactures, Census of Commerce       | August 24, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/khozo/sinsai_3_hinanciki_kogyo.pdf">http://www.meti.go.jp/statistics/tyo/khozo/sinsai_3_hinanciki_kogyo.pdf</a> )            |
|                                         | Impact of the earthquake on large-scale retail stores and convenience stores (Nationwide, Tohoku region)                                                                                                                                                      | Nationwide and Tohoku region                                                                                                  | Monthly Report on the Current Survey of Commerce | November 14, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/syoudou/result/pdf/h2sk_topic2309.pdf">http://www.meti.go.jp/statistics/tyo/syoudou/result/pdf/h2sk_topic2309.pdf</a> )    |
|                                         | Impact of the earthquake on advertising businesses                                                                                                                                                                                                            | Nationwide                                                                                                                    | Current Survey of Selected Service Industries    | December 8, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/tokusaibido/advertisement.pdf">http://www.meti.go.jp/statistics/tyo/tokusaibido/advertisement.pdf</a> )                     |
|                                         | Impact of the earthquake on rental and leasing businesses                                                                                                                                                                                                     | Nationwide                                                                                                                    | Current Survey of Selected Service Industries    | December 8, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/tokusabido/rental.pdf">http://www.meti.go.jp/statistics/tyo/tokusabido/rental.pdf</a> )                                     |
|                                         | Impact of the earthquake on amusement parks and theme parks                                                                                                                                                                                                   | East Japan and West Japan                                                                                                     | Current Survey of Selected Service Industries    | December 8, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/tokusabido/theme park.pdf">http://www.meti.go.jp/statistics/tyo/tokusabido/theme park.pdf</a> )                             |
|                                         | Trend of overseas subsidiaries (Comparison between before and after the earthquake)                                                                                                                                                                           | Overseas (Local subsidiaries in overseas)                                                                                     | Quarterly Survey of Overseas Subsidiaries        | September 26, 2011 ( <a href="http://www.meti.go.jp/statistics/tyo/gentihou/result-1/h23/pdf/h2c311aj.pdf">http://www.meti.go.jp/statistics/tyo/gentihou/result-1/h23/pdf/h2c311aj.pdf</a> ) |

Note 1) Data collection was made by organizing the data released in the “System of Social and Demographic Statistics (Overview of Prefectures and Municipalities with Statistics)” developed by the MIC and the data on the disaster published by the Fire and Disaster Management Agency and other related organizations.

- Note 2) Utilizing materials, such as ‘the synoptic map of the area flooded by the tsunami associated with the Great East Japan Earthquake’ (provided by the Geospatial Information Authority of Japan), judging through eye observation based on satellite images, farmland that seemed washed away or submerged was presumed for mensuration.
- Note 3) The staffs of the Local Branch Offices of MAFF aggregated the data based on the results from the information collected from interested parties and the result of the 2010 Census of Agriculture and Forestry.
- Note 4) The staffs of the Local Branch Offices of MAFF aggregated the data based on the results from the information collected from interested parties and the result of the 2008 Census of Fisheries.
- Note 5) MAFF collected and published the information about the status of agriculture, forestry and fishery concerning the Great East Japan Earthquake, which included the scales of the earthquake and tsunami and the damages from them, magnitude of the damage on agricultural, forestry and fisheries industries, impact of the accident at the Tokyo Electric Power Company, Fukushima No.1 Nuclear Power Plant, damages on agricultural and fishery management entities caused and the status of their operation resumption.
- Note 6) The staffs of the Local Branch Offices of MAFF confirmed the areas of the farmland, which were devastated but restored completely as of March 11, 2012, on site based on the information collected from the relevant organizations.
- Note 7) In addition to the information provisions using statistical data mentioned above, each ministry has been providing information about their understanding of the damage from the disaster, etc. by using their administrative records.

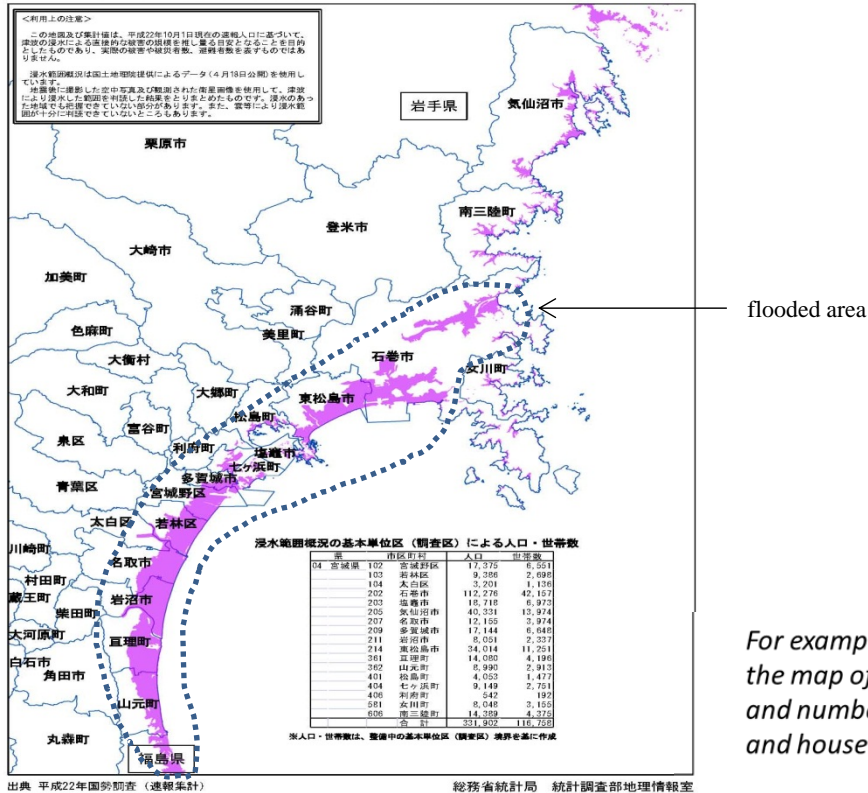
[ Example ]

## 2. Effective Information Management (Dissemination)

### ◆ Emergency measures

- The e-Stat contributed to providing information about “The Great East Japan Earthquake”

宮城県内の浸水範囲概況にかかる基本単位区（調査区）による人口・世帯数



flooded area

For example, we had posted the map of the flooded area, and number of population and households there



## **II Guidelines for Quality Assurance of the Official Statistics**

(Revised on April 8, 2011. Agreed on at a conference for Director-Generals and Directors of the main statistics departments of the Cabinet Office and each ministry)



## 1. Background and Circumstances

The concept of quality in statistics was applied to the management of statistical accuracy from data collection through aggregation until the 1970s, similar in nature to quality management in factories. However, in the 1980s this concept started to include views on user satisfaction levels, and has come to be applied in a more comprehensive manner, having expanded from relating to one subject to the whole system. Canada introduced this broader concept of quality as a goal promptly and prepared guidelines in 1985.

The framework related to the quality of statistics has been examined since the 1990s, mainly by EU nations, and was developed in some nations in around the year 2000. International organizations such as the EU, OECD and IMF also developed similar frameworks. Some frameworks adopt standards to aim for regarding statistics, such as validity, accuracy and timeliness, and express specific check items and checking points related uniquely to statistics. Such frameworks can be used as guideline for evaluation, or can be included in evaluation processes.

In Japan, the “Master Plan Concerning the Development of Official Statistics” (approved by the Cabinet decision on March 13, 2009; hereafter referred as the “Master Plan”) states that, from the perspective of increasing and maintaining the quality of official statistics, continued reexaminations of existing statistics and streamlining of the methods for producing statistics will be promoted, while taking heed of the alleviation of burdens of reports and the maintenance and improvement of the quality of statistics, etc. To be specific, the Master Plan suggests the development of guidelines for self-evaluation related to the quality of statistics including a “Common Style for Quality Indication of Statistics.”

Following the move, the government made the “Guidelines for Quality Assurance of the Official Statistics” (agreed on at a conference for director-generals and directors of the main statistics departments of the Cabinet Office and each ministry on March 31, 2010, and revised on April 8, 2011; hereafter referred to as “the Guidelines”) and has engaged in activities related to the quality assurance of official statistics.

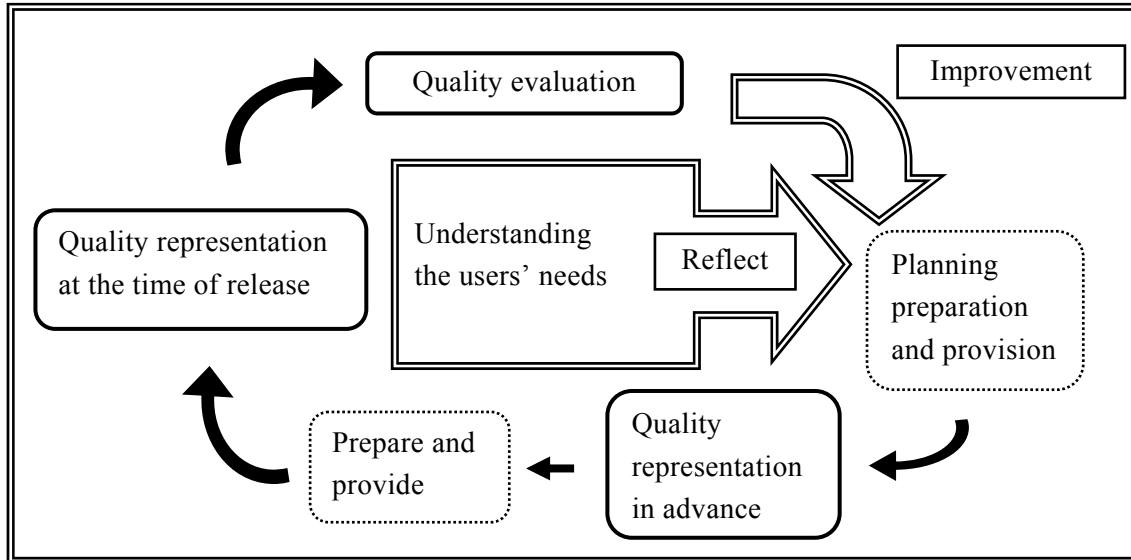
## 2. Objectives

The Master Plan addresses the point that no matter how accurately and promptly we prepare statistics, if they are not used they have no value. Therefore, in this sense, the fundamental principle of the Master Plan regards ensuring the value of statistics (in other words, how to prepare statistics that meet requirements appropriately).

With consideration given to the principles of the Master Plan, the Guidelines include quality assurance measures for official statistics through systematic activities by the Cabinet Office and each ministry. The Guidelines aim to assist in continuously making progress on autonomous improvement in its effort for better quality representation and evaluation for the preparation and provision of official statistics (which correspond to user needs), as shown in the illustration below.

[Illustration: Concept of Quality Assurance]

**Quality Assurance of the Official Statistics**  
=> **Securing Statistics and Improving Value and Reliability**



Having said this, the Guidelines are simply a standard guide for the improvement of quality assurance, and eventually, upon consideration of the characteristics of statistics and resources, efforts made toward quality assurance should progress depending on the decision of the Cabinet Office and relevant ministries in charge of statistics. However, to win the trust of the public, it would be ideal to promote integrated efforts as much as possible. Regarding effective measures not provided in the Guidelines, we will try to share information in the “Quality Assurance Working Group” of official statistics and discuss the possibility of making such measures common among the Cabinet Office and relevant ministries.

### 3. Implementation Methods

#### A. Implementation System

In implementing measures related to quality assurance, it would be ideal for the Cabinet Office and each ministry to employ a system that secures objectivity as much as possible (e.g. the division in charge of objectivity (i.e. the management/coordination section of certain official statistics) and the division in charge of technical specialty (i.e. the preparation section of the statistics, checking together or the management/coordination section running a secondary check) to work on their quality assurance.

It also seems that it would be effective to utilize the existing study group meeting for the review and examination of the said statistics and have discussions about quality assurance. Either way, the Cabinet Office and relevant ministries need to keep in mind that quality assurance requires continuous effort and consideration of the resources available in each organization, building the system promptly and reviewing it as required.



## B. Methods of Quality Indication

The Cabinet Office and ministries shall make a checklist using the “Checklist of Quality Indication Items” based on Appendix 2 “Quality Representation Items for Official Statistics” in the Guidelines as a basis, then examine and determine the contents necessary for presentation.

Furthermore, the Cabinet Office and ministries shall demonstrate their evaluation regarding the users’ needs and the characteristics of the statistics by i) setting links to the related items, ii) setting a Q&A section on the website, iii) indicating the references clearly, etc., and by examining contents to present efficiently and precisely.

Moreover, when the Cabinet Office and ministries exercise their quality indication, they will release it in roughly two steps: first, they will release the summary, planned release date and references before releasing the results (at the planning phase of the statistics), and second, they will release a summary of the statistical results upon availability. Information on corrections shall be provided without delay.

## C. How to Implement Quality Evaluation

The Cabinet Office and ministries decide what to evaluate after making a checklist using the “Checklist of Quality Evaluation Items” developed based on the “Quality Evaluation Items for Official Statistics” in Appendix 3 of the Guidelines and complete necessary examination on the content of the evaluation.

During the course of decision-making, those organizations need to pay attention to the causal relationship that if you try to pursue one target excessively, others will be sacrificed. Examples of targets can be seen in the elements listed in Appendix 1 in the Guidelines, such as “suitability to needs” and “efficiency” or “accuracy” and “timeliness.”

Therefore, when the Cabinet Office and ministries implement evaluations, they should consider each element and eventually examine necessary improvements comprehensively so that each element listed above is maintained and achieved thoroughly.

Evaluation is implemented at the planning stage as well as after the preparation/release of the statistics. Considering the relationship of evaluation with the timing of examination for approval by the Director-General for Policy Planning (Statistical Standards), MIC, it seems effective to implement it at the planning stage. Either way, the Cabinet Office and ministries shall decide the timing of evaluation while taking into consideration resources and related administrative procedures.

## D. Planned Promotion

The Cabinet Office and ministries shall strive to draw up implementation plans in relation to quality representation and quality evaluation through use of a “Form of Quality Evaluation of Official Statistics Implementation Plan” as a basis (with regards to the fundamental statistics and general statistics they manage).

In addition, regarding this implementation plan, a rolling system (continuous cycle of review and revision) shall be employed as required, in order to satisfy the aim of providing the continued quality assurance of official statistics.

#### 4. Others

##### A. Relationship with the “Optimization Plan of the Operations and Systems for Statistical Survey Operations”

The Cabinet Office and ministries have been promoting the quality representation of official statistics through “the Plan for Operations and System Optimization of Statistical Survey Operations, etc.” (decision made at a liaison meeting among chief information officers (CIO) of each office and ministry on March 31, 2006 , developed to provide statistical data that are convenient and easy to use for the public, and to bring the statistical information systems of the Cabinet Office and ministries together.

Therefore, the effort of quality representation as a part of quality assurance needs to be enriched further while maintaining consistency with the said plan.

##### B. Relationship with the Examination for Approval by the Office of Director-General for Policy Planning (Statistical Standards), MIC

Regarding “Quality Evaluation Items” and the “Checklist of Quality Evaluation Items” in Appendix 2, they should also be utilized for an examination for approval, based on Article 9 and 19 of the Statistics Act. Based on the fact that fundamental statistical surveys and general statistical surveys have an impact on the rights and obligations of the public, such an examination evaluates the implementation plan of the survey in advance and determines its rationale and validity, etc. objectively. Such items should be utilized by the Director-General for Policy Planning (Statistical Standards), MIC and are set up to be consistent with the viewpoints of examination published in the “Guidelines of Administrative Procedure Regarding the Procedures of Application for Approval Pertaining to Fundamental Statistical Survey and General Statistical Survey”.

## **Guidelines for “Quality Assurance” of the Official Statistics**

### 1. Purpose

"The quality of official statistics" is a concept built on the compatibility of users' needs, the timeliness of dissemination, and the interpretability of the statistics data as well as accuracy.

We devise these guidelines as a standard guidance to promote the practices of “Quality Assurance,” which aim at improving the usefulness and the reliability of the official statistics through compilation and dissemination as well as through indication, evaluation and improvement of the statistics quality in the administrative organs (\*).

(\*) The administrative organs correspond to the ones prescribed in the Article 2 (1) of the Statistics Act (Act No. 53 of 2007; hereafter referred to as "The ministries").

### 2. Background

In these guidelines the phrase "Quality Assurance" of the official statistics refers to the premeditated and systematic application of the quality assurance activities mentioned above. As a concept it differs from other assurances, such as product guarantees, which promise to repair and/or compensate for damages when there is a defect in the product.

In the first place, the “Quality Assurance” movement has been promoted in industries and related academic societies since the 1970's. It includes activities which

- (1) establish the process of grasping the needs and providing goods and services effectively,
- (2) evaluate and grasp the compatibility of the needs on a continuous basis, and make improvements to those goods and services,
- (3) provide reliance and a sense of security concerning those goods and services.

(Source: “Guidebook on the new quality guarantee (new edition)” edited by Japanese Quality Management Society)

The way of thinking about the statistics quality in "the Master Plan Concerning the Development of Official Statistics (\*)" is based on these same ideas of "Quality Assurance." Specifically, the Master Plan prescribes the policies for reexamining and streamlining the statistics through the continuous grasp and use of the statistics needs as well as through the evaluation of the statistics. It also promotes reexamining and streamlining of the official statistics through self-evaluation of the quality and an objective evaluation of the results. The aim is a reduction of both the respondents' burdens and the maintenance as well as the improvement in statistics quality.

In these situations, it is necessary for the ministries to stimulate the adaption of the quality assurance guidelines for the official statistics.

(\*) It was decided by the Cabinet on the 13th of March in 2009 and is hereafter referred to as “the Master Plan.”

### 3. Principles

- (1) The quality of official statistics

The quality of the official statistics is determined by various factors, such as

- (i) "Accuracy," meaning that the official statistics most accurately show the state of society and the economy,
- (ii) "Needs compatibility," meaning that the official statistics meet the users' needs as well as possible,
- (iii) "Timeliness," meaning that the produced official statistics are disseminated promptly in accordance with the users' needs and purposes.

These guidelines assume that the quality of the official statistics is determined by the elements which are defined in attached sheet 1, and the guidelines regard these elements as the indexes of the quality indication and the quality evaluation. Concerning these quality elements, these guidelines set up certain universal elements which are adopted by many countries and the international institutions as major elements. It also sets up supplementary elements, which are thought to be necessary for the quality assurance.

#### (2) The quality assurance of official statistics

The ministries improve the quality indications of the official statistics under their control in accordance with the methodology stipulated in section 5 (depicted below). They also carry out self-evaluation of the quality and utilize the evaluation results by regularly making improvements to the official statistics.

The ministries regard "needs compatibility" as the core element and pay attention to the relevance between each element because public statistics are an important part of the information infrastructure for the people. Therefore it is important to compile them based on the people's needs.

In addition, these guidelines are established as a standard guide to the ministries' policies and, therefore, will not prevent the ministries from implementing the current measures and the effective planned measures based on the characteristics of each type of statistics.

#### (3) Guidelines review

These guidelines will be constantly reviewed based on

- (i) results of the approaches by the ministries,
- (ii) results of research by the related academic societies, and
- (iii) international trends of the approaches.

### 4. Coverage

These guidelines cover fundamental statistics (\*1) and general statistics (\*2).

(\*1) Fundamental statistics are prescribed in Article 2 (4) of the Act.

(\*2) General statistics are compiled based on the general statistical surveys which are prescribed in Article 2 (7) of the Act.

In view of the importance, the ministries give priority to the fundamental statistics in their approaches.

In addition, the ministries shall make any feasible improvement to official statistics that are neither fundamental statistics nor general statistics according to these guidelines.

### 5. Implementation methods

#### (1) Implementation system

The ministries invest in the quality assurance of the official statistics through systems which can secure both the objectivity and the specialty concerning the target statistics.

(2) Indication of the quality

The ministries improve the indications of statistics quality under their control based on "the quality indication matters of the official statistics" as per attached sheet 2, while paying attention to consistency with "The Optimization of Operations and Systems for Statistical Work," which was decided by the ministries chief information officer liaison conference. In addition, the ministries perform regular reviews of the contents of the quality indication.

(3) Evaluation of the quality

The ministries carry out regular self-evaluations of the quality of the official statistics under their control based on "the quality evaluation matters of official statistics" as per attached sheet 3.

The ministries perform not only evaluations of each quality element but also those from a comprehensive viewpoint while paying attention to the trade-offs between the elements. In addition, the ministries disseminate summaries of the results from the standpoint of securing objectivity and transparency.

The Ministry of Internal Affairs and Communications (the Director-General for Policy Planning) makes use of the results of the evaluations for the approval examination based on Article 9 and Article 19 of the Statistics Act and tries to reduce the burdens on the ministries.

In addition, the ministries will assess the validity of the introduction via a peer review process (mutual evaluations with other ministries) and third party evaluation through further consideration.

6. Systematic implementation

The ministries draw up execution plans for quality assurance in the fundamental statistics and the general statistics and try to disseminate the summaries.

In addition, the desirable interval between these execution plans is around five years, but they should be decided in relation to the status of the ministries' data compiling plans.

7. Others

(1) Information sharing and discussions among the ministries

The ministries continue information sharing and discussions in "the working group on the quality evaluation of statistics" in order to make progress in the field of quality assurance of the official statistics and to perform a review of the guidelines based on 3 (3) mentioned above.

(2) Range of the possession of statistics information before the dissemination date

Leaking the contents of official statistics before the dissemination date would betray the peoples' trust in the overall official statistics.

Therefore, the ministries determine the range of the shared statistics information before the dissemination date by the internal regulations in accordance with the guidance about the range and the procedure for the shared statistics information before the dissemination date (\*) and disseminate such information.

(\* The guidance was decided by the Director-General for Policy Planning (Statistical Standards) of the Ministry of Internal Affairs and Communications on the 12th of May in 2010.

Attached sheet 1

**The Quality of Official Statistics: Elements and Definitions**

| Elements      |                           | Definitions                                                                                                                                                                                                                                                                                                                              |
|---------------|---------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Main Elements | Relevance                 | The relevance of official statistics, as fundamental public information to be widely and effectively used by a variety of social entities, reflects the degree to which they meet users' needs. The users are the public, national and local governments, researchers, economists, and others.                                           |
|               | Accuracy                  | The accuracy of official statistics is the degree to which they correctly describe social and economic values or conditions.                                                                                                                                                                                                             |
|               | Timeliness                | The timeliness of official statistics refers to whether they are published or made available in time to be useful for users' objectives.                                                                                                                                                                                                 |
|               | Interpretability /Clarity | The interpretability/clarity of official statistics reflects the availability of necessary information which users can appropriately understand and effectively use. The information is on methods/procedures for data collection, processing, storage and publication.                                                                  |
| Sub-Elements  | Integrity                 | The integrity of official statistics reflects the reliability and/or accuracy of statistics and statistics producing agencies. The integrity can be ensured by providing information on methods/procedures for data collection, processing, storage and publication, all of which are determined based on expertise and professionalism. |
|               | Coherence /Comparability  | The coherence/comparability of official statistics reflects the degree of coherence or consistency in concepts, definitions, and classifications among different statistics so that users can compare these statistics between regions and over time.                                                                                    |
|               | Accessibility             | The accessibility of official statistics reflects the degree to which both the data and basic information is made easily available to respond to users' needs.                                                                                                                                                                           |
|               | Effectiveness             | The cost effectiveness of official statistics reflects the degree to which they are produced by appropriate sources and methods in view of the cost and burden on respondents.                                                                                                                                                           |

Attached sheet 2

## Quality Indication Matters of the Official Statistics

### I. Statistical Surveys

| Common menu |                                                  | Common publishing item                                                                           |                                  | Content of publishing                                                                      | Specific example |                                                                                                                                                                                                   |
|-------------|--------------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------|--------------------------------------------------------------------------------------------|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1           | Outline of statistical surveys<br><Prior>        | (1)                                                                                              | Purpose of statistical surveys   | Description of the purpose of the statistical survey.                                      | i                | Approval of the surveys purpose under Article 9 or Article 19 of the Statistics Act                                                                                                               |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Purpose and position of the statistical research under the Master Plan                                                                                                                            |
|             |                                                  |                                                                                                  |                                  |                                                                                            | iii              | International standards and recommendations                                                                                                                                                       |
|             |                                                  | (2)                                                                                              | History of statistical surveys   | Description of details, transition, history, etc. of the statistical survey.               | i                | Details, transition, and history of the statistical survey                                                                                                                                        |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Name of the statistical survey and information on statistics concerned, statistical surveys when statistics have been modified in the past (unification and/or reorganization) (post link here?). |
|             |                                                  | (3)                                                                                              | Basic law of statistical surveys | Description of the basic law that underlies the statistical research.                      | i                | Distinction of basic statistical research and general statistical research according to the Statistics Act                                                                                        |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Fundamental laws other than the statistical method (in some cases)                                                                                                                                |
|             |                                                  | (4)                                                                                              | Object of statistical surveys    | Description of range of the objects and the number people surveyed.                        | i                | Range of the survey.                                                                                                                                                                              |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Persons reported on                                                                                                                                                                               |
|             |                                                  |                                                                                                  |                                  |                                                                                            | iii              | Usage of business register                                                                                                                                                                        |
|             |                                                  |                                                                                                  |                                  |                                                                                            | iv               | Presence of repetition-correcting procedures                                                                                                                                                      |
|             |                                                  |                                                                                                  |                                  |                                                                                            | v                | Use or nonuse of the administrative recorded information as business register (In some cases, outline of administrative record information)                                                       |
|             |                                                  | (5)                                                                                              | Sampling method                  | Description of the sampling method in the sampling survey.                                 | i                | Sampling method                                                                                                                                                                                   |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Sampling rate                                                                                                                                                                                     |
|             |                                                  |                                                                                                  |                                  |                                                                                            | iii              | Target accuracy                                                                                                                                                                                   |
|             |                                                  | (6)                                                                                              | Matters for statistical surveys  | Description of the topics researched in the statistical survey.                            | i                | Topics researched                                                                                                                                                                                 |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Purpose for research                                                                                                                                                                              |
|             |                                                  | (7)                                                                                              | Questionnaire                    | Picture file, etc. of the questionnaire are attached.                                      | i                | As required under the Statistics Act pictures of questionnaires are published in the order of the surveys' execution.                                                                             |
|             |                                                  |                                                                                                  |                                  |                                                                                            | ii               | Picture file of the questionnaire (sample)                                                                                                                                                        |
|             |                                                  |                                                                                                  |                                  |                                                                                            | iii              | How to fill in the questionnaire                                                                                                                                                                  |
|             |                                                  | (8)                                                                                              | Time of statistical surveys      | Description of statistical surveys date and specific statistical surveys period.           | i                | Statistical surveys date or period                                                                                                                                                                |
| ii          | Questionnaire distribution and collection period |                                                                                                  |                                  |                                                                                            |                  |                                                                                                                                                                                                   |
| (9)         | Survey methodology                               | Description of the survey procedure and the surveying technique, etc. of the statistical survey. | i                                | Flow of procedure and execution of survey                                                  |                  |                                                                                                                                                                                                   |
|             |                                                  |                                                                                                  | ii                               | Surveying technique                                                                        |                  |                                                                                                                                                                                                   |
|             |                                                  |                                                                                                  | iii                              | Administrative record information used as substitution and supplementation during research |                  |                                                                                                                                                                                                   |



| Common menu |                                                                  | Common publishing item                                                                                                                    |                           | Content of publishing                                                                                                                                                    | Concrete example |                                                                                                                                    |
|-------------|------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------------|
| 1           | Outline of statistical surveys<br><Prior>                        | (9)                                                                                                                                       | Survey methodology        | Description of the survey procedure and the surveying technique, etc. of the statistical survey.                                                                         | iv               | Outline of specifications, details of the quote, and contract (only when employing a private contractor).                          |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | v                | Topics researched when conducting a survey under Article 15 of the Statistics act.                                                 |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | vi               | Processing standards, etc. regarding legal clerical work.                                                                          |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | vii              | Measures taken for privacy protection                                                                                              |
|             |                                                                  | (10)                                                                                                                                      | (Others)                  | Besides the above-mentioned, other items can be published depending on the characteristics of the statistical survey.                                                    | i                | Range of information sharing before date of publication                                                                            |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | ii               | Outline of discussion on Statistical Commission (including departmental meetings) (even a link is possible).                       |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | iii              | Outline of discussion in a research society concerning implementation of statistical research concerned (even a link is possible). |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | iv               | In the case of an amendment to matters stated in (1) to (9), the purpose and content of the amendment                              |
| 2           | Results of statistical surveys<br><When results are made public> | (1)                                                                                                                                       | Explanation of terms      | Descriptions of the definitions and explanations of the main terms.                                                                                                      | i                | Definition and explanation of terms                                                                                                |
|             |                                                                  | (2)                                                                                                                                       | Outline of results        | Description of the outline of the results                                                                                                                                | i                | Outline of results                                                                                                                 |
|             |                                                                  | (3)                                                                                                                                       | Total and estimate method | Description of the method of estimating the data value in the sampling survey.                                                                                           | i                | Procedure for total process: outline of specifications, details of the quotation (only when a private contractor has been used)    |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | ii               | Estimation method                                                                                                                  |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | iii              | Data sampling and tabulation methodology                                                                                           |
|             |                                                                  | (4)                                                                                                                                       | Attention in use          | Description of points that the user should be aware of, e.g. structural factors can cause differences between similar data in regards to accuracy, margin of error, etc. | i                | Statistical standard used                                                                                                          |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | ii               | Seasonal adjusted information                                                                                                      |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | iii              | Information on accuracy of results (recovery percentage, valid response rate, computational method, etc.)                          |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | iv               | Information about the difference between preliminary and final results                                                             |
|             |                                                                  |                                                                                                                                           |                           |                                                                                                                                                                          | v                | Notes when comparing with other statistics (difference, etc. of definitions)                                                       |
| vi          | Notes on other various chapters of the table                     |                                                                                                                                           |                           |                                                                                                                                                                          |                  |                                                                                                                                    |
| (5)         | Correction information                                           | When a correction is implemented in the data after initial publication, publication of correction information, such as a table of errata. | i                         | Correction information                                                                                                                                                   |                  |                                                                                                                                    |

| Common menu |                                                                           | Common publishing item |                                                                                                                                                                                                                                           | Content of publishing                                                                                                        | Concrete example                                                                       |                                     |
|-------------|---------------------------------------------------------------------------|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------|
| 2           | Results of statistical surveys<br><When results are made public>          | (6)                    | Statistical table list                                                                                                                                                                                                                    | Publication of the list of the spread sheet, etc. linked with the statistical table management system.                       | i                                                                                      | Statistical table list              |
|             |                                                                           |                        |                                                                                                                                                                                                                                           |                                                                                                                              | ii                                                                                     | Other published/unpublished reports |
|             |                                                                           | (7)                    | Profit use case                                                                                                                                                                                                                           | Publication of results of for profit use of previous survey results. Publication of estimated profit use for present survey. | i                                                                                      | Profit use case                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           |                                                                                                                              | (8)                                                                                    | (Others)                            |
|             |                                                                           | ii                     | Comparison with past results                                                                                                                                                                                                              |                                                                                                                              |                                                                                        |                                     |
|             |                                                                           | i                      | Information about correct/incorrect usage, i.e. which parties are entrusted to produce statistics?                                                                                                                                        |                                                                                                                              |                                                                                        |                                     |
| 3           | Schedule for the announcement<br><Prior>                                  |                        | The schedule for the publication of statistics is published at the latest three months before the publication day itself. The schedule is updated whenever it changes                                                                     | i                                                                                                                            | Schedule for publications                                                              |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | ii                                                                                                                           | Information on statistics which are not made public                                    |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | ii                                                                                                                           | Method of publication (medium, distribution place, charge, etc.)                       |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | i                                                                                                                            |                                                                                        |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | i                                                                                                                            | Range of information available before date of official publication (post link here?).  |                                     |
| v           |                                                                           |                        |                                                                                                                                                                                                                                           |                                                                                                                              |                                                                                        |                                     |
| 4           | Q&A<br><At the right time>                                                |                        | Description of FAQ concerning the statistical survey.                                                                                                                                                                                     | i                                                                                                                            | Q&A                                                                                    |                                     |
| 5           | Inquiries<br><Prior>                                                      |                        | Description of the department name and the telephone number, etc. of those contact persons users with questions should contact.                                                                                                           | i                                                                                                                            | Department name                                                                        |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | ii                                                                                                                           | Telephone number                                                                       |                                     |
| 6           | (Information in the past)<br><At the right time>                          |                        | Previously published information is properly marked with the survey number and year.                                                                                                                                                      | i                                                                                                                            | Past offer information (post link here?).                                              |                                     |
| 7           | (Others)<br><At the right time>                                           |                        | Besides the above mentioned, publication in pamphlets and posters of pictures showing the characteristics of various statistical survey forms. The timing of publication is dependent on the schedule of the various statistical surveys. | i                                                                                                                            | Slogans, posters, and pamphlets, etc.                                                  |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | ii                                                                                                                           | Research papers                                                                        |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | ii                                                                                                                           | Introduction of the medium in which information about statistical surveys is published |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | i                                                                                                                            |                                                                                        |                                     |
|             |                                                                           |                        |                                                                                                                                                                                                                                           | i                                                                                                                            | Information in foreign language                                                        |                                     |
| v           | Storage method of survey results (magnetic media, electronic media, etc.) |                        |                                                                                                                                                                                                                                           |                                                                                                                              |                                                                                        |                                     |

II. Statistics that do not depend on statistical surveys

| Common menu |                                                                                       | Common publishing item                                                                                                                    |                                                                        | Content of publishing                                                                                                 | Concrete example     |                                                                                                                                                                                                  |     |                                                                        |
|-------------|---------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|------------------------------------------------------------------------|
| 1           | Outline of statistical surveys<br><Prior>                                             | (1)                                                                                                                                       | Purpose of statistics                                                  | Description of the purpose of the statistical survey.                                                                 | i                    | Purpose of statistics                                                                                                                                                                            |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | ii                   | Purpose and position of the statistical research under the Master Plan                                                                                                                           |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | iii                  | International standards and recommendations                                                                                                                                                      |     |                                                                        |
|             |                                                                                       | (2)                                                                                                                                       | History of statistical surveys                                         | Description of details, transition, history, etc. of the statistical survey.                                          | i                    | Details, transition, and history of the statistical survey                                                                                                                                       |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | ii                   | Name of the statistical survey and information on statistics concerned, statistical surveys when statistics have been modified in the past (unification and/or reorganization)(post link here?). |     |                                                                        |
|             |                                                                                       | (3)                                                                                                                                       | Method of making statistics                                            | Description of the method of producing statistics.                                                                    | i                    | Method of making statistics                                                                                                                                                                      |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | ii                   | Procedure for repetition corrective action                                                                                                                                                       |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | iii                  | Procedure for use of administrative record information (in some cases, outline of administrative record information)                                                                             |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | iv                   | Outline of specifications, details of the quote, and contract (only when employing a private contractor).                                                                                        |     |                                                                        |
|             |                                                                                       | (4)                                                                                                                                       | (Others)                                                               | Besides the above-mentioned, other items can be published depending on the characteristics of the statistical survey. | i                    | Outline of discussion of Statistical Commission (departmental meeting is included) (even a link is possible).                                                                                    |     |                                                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       | ii                   | Outline of discussion in a research society concerning production of statistics concerned (even a link is possible).                                                                             |     |                                                                        |
|             |                                                                                       | 2                                                                                                                                         | Final results or preliminary results<br><When results are made public> | (1)                                                                                                                   | Explanation of terms | Descriptions of the definitions and explanations of the main terms.                                                                                                                              | i   | Definitions and explanations of terms                                  |
|             |                                                                                       |                                                                                                                                           |                                                                        | (2)                                                                                                                   | Outline of results   | Description of the outline of the results                                                                                                                                                        | i   | Outline of results                                                     |
|             |                                                                                       |                                                                                                                                           |                                                                        | (3)                                                                                                                   | Attention in use     | Description of points that the user should be aware of, e.g. structural factors can cause differences between similar data in regards to accuracy, margin of error, etc.                         | i   | Statistical standard used                                              |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       |                      |                                                                                                                                                                                                  | ii  | Seasonal adjustment information                                        |
|             |                                                                                       |                                                                                                                                           |                                                                        |                                                                                                                       |                      |                                                                                                                                                                                                  | iii | Information about the difference between preliminary and final results |
| iv          | Information on the characteristics of results due to different methods of production. |                                                                                                                                           |                                                                        |                                                                                                                       |                      |                                                                                                                                                                                                  |     |                                                                        |
| v           | Notes when comparing with other statistics (differences of definitions, etc.)         |                                                                                                                                           |                                                                        |                                                                                                                       |                      |                                                                                                                                                                                                  |     |                                                                        |
| vi          | Notes on other various chapters of the table                                          |                                                                                                                                           |                                                                        |                                                                                                                       |                      |                                                                                                                                                                                                  |     |                                                                        |
| (4)         | Correction information                                                                | When a correction is implemented in the data after initial publication, publication of correction information, such as a table of errata. | i                                                                      | Correction information                                                                                                |                      |                                                                                                                                                                                                  |     |                                                                        |

| Common menu |                                                                        | Common publishing item |                 | Content of publishing                                                                                                                                                                                                         | Concrete example |                                                                                        |
|-------------|------------------------------------------------------------------------|------------------------|-----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------|
| 2           | Final results or preliminary results<br><When results are made public> | (5)                    | Statistics      | Publication of the list of the spread sheet, etc. linked to the statistical table management system.                                                                                                                          | i                | Statistical table list                                                                 |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | ii               | Other published/unpublished reports                                                    |
|             |                                                                        | (6)                    | Profit use case | Publication of results of for profit use of previous survey results. Publication of estimated profit use for present survey.                                                                                                  | i                | Profit use case                                                                        |
|             |                                                                        | (7)                    | (Others)        | According to the characteristics, etc. of each statistical survey, optional items are properly published in an optional position in addition to above-mentioned items.                                                        | i                | International comparison of results, Comparison with past results.                     |
| 3           | Schedule for the announcement<br><Prior>                               |                        |                 | Besides the above-mentioned, other items can be published depending on the characteristics of the statistical survey.                                                                                                         | i                | Announcement schedule                                                                  |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | ii               | Information on statistics which are not made public                                    |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | iii              | Method of publication (medium, distribution place, and fee, etc.)                      |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | iv               | Range of information available before date of official publication (post link here?).  |
| 4           | Inquiries<br><Prior>                                                   |                        |                 | Description of the department name, telephone number, etc. of those contact persons users with questions should contact.                                                                                                      | i                | Department name                                                                        |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | ii               | Telephone number                                                                       |
| 5           | (Information in the past)<br><At the right time>                       |                        |                 | Previously published information is properly marked with the survey number and year.                                                                                                                                          | i                | Past offer information (post link here?).                                              |
| 6           | (others)<br><At the right time>                                        |                        |                 | Besides the above mentioned, publication in pamphlets and posters showing the characteristics of various statistical survey forms. The timing of publication is dependent on the schedule of the various statistical surveys. | i                | Slogans, posters, pamphlets, etc.                                                      |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | ii               | Research papers                                                                        |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | iii              | Introduction of the medium in which information about statistical surveys is published |
|             |                                                                        |                        |                 |                                                                                                                                                                                                                               | iv               | Information in foreign language                                                        |

### Quality Assessment Matter of Public Statistics

|               | Elements                  | Viewpoint                                                                                                                                                                                                                                                                                                                                                                                                                            | Assessment matter                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|---------------|---------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Main Elements | Relevance                 | <ul style="list-style-type: none"> <li>Understand user's needs as completely and adequately as possible, and make statistics according to the user requests.</li> <li>Make statistics regarding information that is indispensable for policymaking.</li> <li>Collect information necessary for a statistical analysis without excesses or deficiencies.</li> </ul>                                                                   | <ul style="list-style-type: none"> <li>Is it necessary to produce statistical data?</li> <li>Are measures taken to understand user's needs?</li> <li>Are users needs appropriately reflected?</li> <li>Is there a rationality process in place for matters such as statistical surveys and the statistical surveys cycles?</li> <li>Is a review conducted corresponding to the change in socioeconomic circumstances, etc.?</li> </ul>                                                                                                                                                                                                                                                                                                                                                                         |
|               | Accuracy                  | <ul style="list-style-type: none"> <li>The final value of the statistics should be as close to the true value as possible.</li> <li>The approximation process of the specimen design (population information, range of the object, and sampling error, etc.) and the results must be appropriately accurate.</li> <li>The statistics should be made in such a way that sampling errors, etc. become as small as possible.</li> </ul> | <ul style="list-style-type: none"> <li>Is the design of the statistical survey appropriately based on statistical theory, etc.?</li> <li>Is the execution of the statistical survey done accurately and appropriately?</li> <li>Are the definitions of the statistical standards and the terms used suitable?</li> <li>Is the setting of the statistical surveys system suitable?</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                   |
|               | Timeliness                | <ul style="list-style-type: none"> <li>After ensuring that the necessary quality has been achieved the statistics should be made public in a timely manner.</li> <li>Publication of statistics should follow a schedule that has been published in advance.</li> </ul>                                                                                                                                                               | <ul style="list-style-type: none"> <li>Is the schedule suitable for the announced date and purpose of the statistics?</li> <li>Is the schedule for the announcement, etc. made public as early as possible?</li> <li>Before making public a delay in the publication schedule, are all options to avoid the delay exhausted?</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|               | Interpretability /Clarity | <ul style="list-style-type: none"> <li>Information on the process of producing statistics and on points of attention, etc. for the use of statistics information must be clarified.</li> <li>An appropriate explanation must be given regarding the final value so that statistics might not be misinterpreted.</li> </ul>                                                                                                           | <ul style="list-style-type: none"> <li>Are the estimate method, matters for statistical surveys of the object population, the specimen design (sampling method, sampling fraction, and precision aimed at), the resulting numerical values, explanations of the method of executing the statistical surveys, etc. assessed?</li> <li>When the statistical standard used is different from the standard statistical method or different from international standards, etc., is the difference explained?</li> <li>When producing statistics, the metadata and how to use raw data should be paid attention to. Has this process been properly explained?</li> <li>Are the ways to utilize the results of the statistical tables, as well as the main results, well known amongst the general public?</li> </ul> |

|              | Elements                  | Viewpoint                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Assessment matter                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|--------------|---------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Sub Elements | Integrity                 | <ul style="list-style-type: none"> <li>● Statistical information relating to the preparation process (statistical data collection, processing, storage procedures, methods of publication), has to be clarified.</li> <li>● Major changes, such as changes to statistical methodology or changes related to source data, have to be clarified.</li> <li>● Access to official statistics should be limited to the minimum range until they are released to the public.<br/>The procedure for accessing statistics, and such range of clearance, should be clarified.</li> <li>● Adequate procedures should be implemented to ensure privacy protection.</li> </ul> | <ul style="list-style-type: none"> <li>● Are the sample design (sampling method, sampling rate, and precision aimed at), the methods of estimating the resulting numerical values, and the methods of executing the statistical surveys made public?</li> <li>● When important changes take place, such as changes concerning methodology or the source of information of the statistics, is the discussion process made public?</li> <li>● Are the measures that are being taken to preserve the anonymity of the statistical data, as well as the identity of the people handling the data, being made public?</li> <li>● Are the privacy protection measures in place adequate?</li> <li>● Is questionnaire information appropriately managed?</li> <li>● Is the objectivity of statistics secured?</li> </ul> |
|              | Coherence / Comparability | <ul style="list-style-type: none"> <li>● When two or more related statistics items are produced, they must be based on a common concept, definition, classification, etc.</li> <li>● Comparison between time series and regions must be possible.</li> <li>● When making statistics, elements that affect the statistics, such as concepts, definitions, ranges, and classifications, are to conform to standards based on Statistics Act, international standards and policies, or desirable practices.</li> </ul>                                                                                                                                               | <ul style="list-style-type: none"> <li>● When the statistical standard used is different from a standard based on the Statistics Act, an international standard, etc., is the difference acceptable?</li> <li>● When the statistics method, the source, etc. are changed, is the change acceptable?</li> <li>● If there is a discrepancy with past results, is the reason acceptable?</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                  |
|              | Accessibility             | <ul style="list-style-type: none"> <li>● Methods of accessing statistical data should be clearly clarified and well known.</li> <li>● Statistical data should be provided using the methods that users request</li> <li>● Information gained from the census and other surveys should serve the secondary goal of being usable for research purposes.</li> </ul>                                                                                                                                                                                                                                                                                                  | <ul style="list-style-type: none"> <li>● Is there a significant time lag between the time of publishing statistics and the dissemination to the user (via e-Stat, etc.)?</li> <li>● Is a list of accessible information made public?</li> <li>● Is a customer service counter/helpdesk set up?</li> <li>● Is secondary use of statistics encouraged?</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|              | Effectiveness             | <ul style="list-style-type: none"> <li>● Procedures that can be automated (for instance, data capture, coding, and confirmation) must be automated as much as possible.</li> <li>● Administrative records must be utilized as much as possible when producing statistics.</li> <li>● The burden on the person writing the publications must be considered when making statistics.</li> </ul>                                                                                                                                                                                                                                                                      | <ul style="list-style-type: none"> <li>● Are statistics gathered by a more appropriate method, after it has been ascertained that the same level of quality can be achieved?</li> <li>● Is utilization of other questionnaire information and administrative record information aimed at?</li> <li>● Is the respondent's burden considered?</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

# **III Development of the Logo for Governmental Statistics**





## 1. Circumstances behind the development of the Logo for Governmental Statistics

In recent years, the environment surrounding statistical surveys has become more challenging due to rapidly growing concerns about personal information protection among individuals and awareness of information management among establishments and corporations. Thus, the “Master Plan Concerning the Development of Official Statistics” (March 13, 2009, Cabinet decision), states that the government shall discuss and implement concrete measures to promote public understanding (c.f. Material 1). In addition, the result of the “Public Opinion Poll on Statistical Surveys” (December 17, 2009 Released by the Public Relations Department in the Cabinet Office) clearly showed that people are experiencing uneasiness regarding statistical surveys (c.f. Material 2).

In response to such circumstances, the “Action Guidelines for Promotion of People’s Better Understanding Toward Statistical Surveys” (March 30, 2010, agreed on at a conference for Director-Generals of the main statistics departments of the Cabinet Office and each ministry) was created as a concrete measure to promote the smooth and accurate carrying out of statistical surveys by the government (c.f. Material 3).

In the guidelines, the development of a “Logo for Government Statistics” (hereafter referred as the “Logo.”) to enable the public, establishments and corporations to easily identify official statistical surveys was decided upon (c.f. Material 4).

## 2. Determination of the Logo for Governmental Statistics

Out of 1,100 designs submitted from the general public, the selection committee (including some experts) nominated 10 designs, and votes were cast on the 10 designs by the general public, ministries and municipalities. Based on the results, the Logo was selected and announced by the Minister for Internal Affairs and Communications on October 18, 2011, “Statistics Day.”

The designer of the Logo, Mr. Hayato Ogata, received an award from the Minister for Internal Affairs and Communications during the National Statistics Conference held on November 16, 2011.



( Governmental Statistics )

### Concept

- Images of Japanese islands and the Japanese flag (makes it easy to recognize the government’s statistical surveys)
- Image of a bar graph (makes it easy to recognize statistics)

### **3. Use of Governmental Logo**

The Logo certifies that (1) a survey is a national statistical survey, and (2) all possible measures are being taken to protect privacy. It has been used on the questionnaires of official surveys, etc. since April 2012, based on the “Standards on the Use of the Logo for Governmental Statistics” (January 13, 2012, agreed at a conference for Director-Generals of the main statistics departments of the Cabinet Office and ministries) (c.f. Material 5).

The Minister for Internal Affairs and Communications holds the trademark rights for the Logo. Any person who uses the Logo illegally, such as by carrying out a fraudulent survey using the Logo, will be punished with imprisonment, a fine, or both.

Material 1

**Master Plan Concerning the Development of Official Statistics (Extract)**

(March 3, 2009)

(Cabinet decision)

**Appendix: Concrete Measures that Should Be Established within the next Five Years****“No.3 Matters Necessary for Promoting the Development of Official Statistics”****Partial**

## 3. Responses of economy and society to the environmental changes

## (3) Encouragement of the public’s understanding of statistics

| Items                                                | Concrete measures, polices, etc.                                                                                                                                                                     | Office and/or ministry in charge               | Implementation period                     |
|------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|-------------------------------------------|
| (b)<br>Policies for handling non-cooperating parties | o Cooperation from each office and ministry as well as local public entities, etc., will be obtained to review concrete policies for handling parties who do not cooperate in statistical surveys.   | Ministry of Internal affairs and Communication | A conclusion will be obtained in FY 2009. |
|                                                      | o Based on the above-mentioned specific policies, each office and ministry will make approaches with regard to parties who do not cooperate in statistical surveys that they have jurisdiction over. | Each office and ministry                       | Will be implemented starting in FY 2010.  |

**Main Results of the “Public Opinion Poll on Statistical Surveys”**

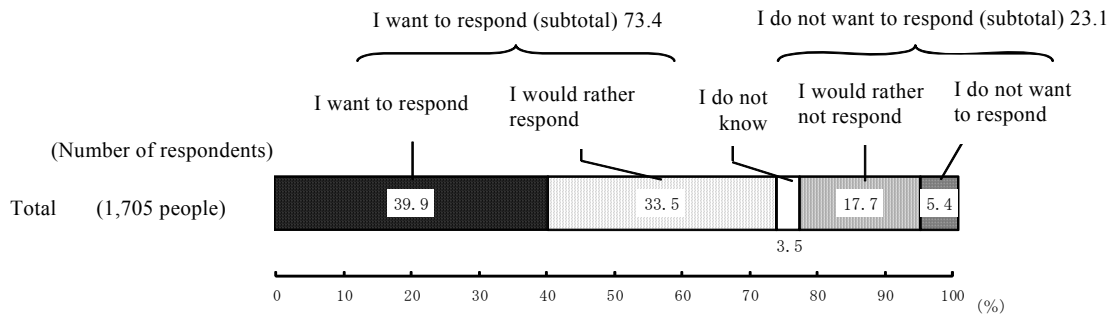
December 2009  
Public Relations Department  
in the Cabinet Office

**1. Summary of the Survey**

|                           |                                           |
|---------------------------|-------------------------------------------|
| Subject                   | Nationwide 3,000 people over 20 years old |
| Number of valid responses | 1,853 people (61.8%)                      |
| Survey period             | From November 5 to November 15 in 2009    |
| Survey method             | Individual direct interview by enumerator |

**2. Main Survey Items and Responses**

(1) Do you want to respond to the national statistical surveys?



(2) Things that trouble you when you respond (Multiple responses, the top 4 items)

- |                                                                                            |               |
|--------------------------------------------------------------------------------------------|---------------|
|                                                                                            | November 2009 |
| • It does not explain how the survey result is being used                                  | 42.0%         |
| • There is a feeling of insecurity because personal information may leak to a third party  | 38.7%         |
| • Not being able to confirm that it is a national survey                                   | 36.3%         |
| • Asked to respond to the survey suddenly without getting public notice or advance request | 35.7%         |

## **Action Guidelines for the Improvement of People's Understanding toward Statistical Surveys**

March 30, 2010

Agreed on at a conference for Director-Generals of  
the main statistics departments of the Cabinet Office  
and each ministry

### **Introduction**

Official statistics are important information and property not only for the government, but also for all the people involved in the activities in our society and economy in order to make decisions. Therefore, it is extremely essential to receive accurate information smoothly in our survey.

However, in recent years, the environment of the statistical survey has become more challenging due to the rapidly growing concerns about personal information protection among individuals and awareness of information management among establishments and corporations. Thus, the “Master plan Concerning the Development of Official Statistics” (March 13, 2009, Cabinet decision), states that the government shall discuss and implement concrete measures to promote the understanding of the people. In addition, the result of the “Public Opinion Poll on Statistical Surveys” (December 17, 2009 Released by the Public Relations Department in the Cabinet Office) clearly showed that people are experiencing uneasiness toward statistical surveys and poor awareness of reporting duties and penalties for important statistical surveys.

In light of such circumstances, in order to support accurate and smooth reporting in official statistical surveys, concrete measures (hereafter referred to as the “Action Guidelines.”) for the Cabinet Office and ministries to work on together are determined as follows. The Cabinet Office and ministries shall positively implement their efforts to improve people’s understanding in statistical surveys in accordance with the Action Guidelines.

### **I. Measures to Improve People’s Understanding of the Importance of Official Statistics**

#### **1. Measures to have the usefulness of statistical survey results known to public**

The following measures are implemented in order that the general public and subjects of survey easily understand how administrative organs, establishments and enterprises are using the survey results, how much they contribute to peoples’ lives and private business activities and what kind of impact would it have if people do not report to statistical surveys.

- (1) Actively collecting, announcing and publicizing information concerning the usefulness of statistical survey results
  - (i) Information to collect

Each office and ministry actively collects the following information concerning the utilization and application of statistical survey results (hereafter referred to as the “examples of utilization”), which people, establishments and enterprises feel familiar to.

- (a) Examples of actual or planned utilization of statistics in policy planification directly related to the people’s living and private business activities, such as the social benefit project, evaluation of policies and basis of benefit calculation by the departments of policy making/implementation in administrative organs
- (b) Examples of actual and planned utilization of survey results in business activities by establishments and enterprises
- (c) Examples of actual and planned utilization of survey results in the study and analysis of economic activities and education by researchers and think tanks
- (d) Examples of analysis and easy-to-understand interpretation of the matters for which people have interest, such as the relevance between survey results/statistical indices and market trends

(ii) Collecting methods

- (a) The Cabinet Office and ministries (hereafter referred to as “each ministry”) actively collects examples of utilization by conducting hearings with parties, which utilize survey results from various standpoints, such as policy making/execution departments in administrative organs, establishments, enterprises, researchers, academic societies, think tanks and various industry groups.
- (b) From a viewpoint that accumulation and analysis of basic information regarding the users of survey results is important to improve people’s understanding toward statistical surveys, the MIC collects this information by adding functions to surely collect a minimum amount of information, such as the user’s attributes and purpose of use, from the “Portal Site of Official Statistics” (hereafter referred to as “e-Stat.”) and provide it to each ministry.

(iii) Publicity and public relations

Each ministry proactively publicizes examples of utilization by the following approaches. To make it easy to understand for the general public and survey subjects, they must avoid using technical terms and detailed explanations, utilize illustrations and use simple and plain expressions.

(a) Approaches toward the general public

To let the general public refer to it anytime as needed, implementation plans for the future surveys, outline of the ongoing survey [name of the survey, purpose of the survey, survey items, method of the survey, sampling method of the survey, survey period (time of enumerator’s visit included), release of the survey result, Ministerial Ordinance which is the basis of the survey, outlines of past survey results and information regarding reports as well as the examples of utilization are posted on e-Stat in the unified style or format (related to the approach explained in II-1- (2)). Moreover, until the One-Stop Service (approach explained

in II-1- (2)) which utilizes e-Stat starts, the said survey's outlined information, as well as the examples of utilization, will be posted on the website of the each ministry in charge (related to the approach explained in IV-1- (2)).

- (b) Approach toward survey subjects (households, establishments and enterprises)
  - a) Add the description of the examples of utilization of the survey directly or attach material with such description to a "Notification of Survey" or a letter of survey request (hereafter referred to as "Survey Notice Information") concerning individual statistical survey distributed to the survey subjects (related to the approach in IV-1- (1)).
  - b) When publicizing about an implementation of the statistical survey through familiar media (e.g. newspapers and industry magazines), print the examples of utilization in the publication material (related to the approach in IV-1- (3)).
  - c) Print the examples of utilization on the public relations goods (Means PR posters of the survey, pamphlets, and leaflets. The same applies to the following) of the said statistical survey (connected to the approach in IV-1- (3)).

(iv) Guidance to enumerators

Each ministry mentions the Examples of Utilization in the "Survey guide", "Enumerator's Leaflet" and "Instruction DVD" etc. (hereafter referred to as the "Enumerator Guidance Material."). In addition, during the enumerators' survey briefing, have them fully informed of the Examples of Utilization so that they can make sufficient explanations to the survey subjects.

(2) Provision of information concerning the possible impact of the absence of report to the survey

Each ministry organizes the information of the possible impacts when the survey subjects do not report to the said survey and the survey cannot be implemented smoothly (e.g. possible disadvantages that policy making, administrative operations, people's living and private sector's projects may suffer, disadvantages that the survey subjects themselves may suffer, increase of the cost of survey, delay of the release of the survey result, etc.) (hereafter referred to as the "Impact Information.") using simple forms, such as Q&A, and announce/publicize the information through the following approaches.

- (i) Approach toward survey subjects (households, establishments and enterprises)
  - (a) Directly mention the Impact Information of the said survey result briefly and simply on the Survey Notice Information, or attach material that has the information (related to the approach in IV-1- (1)).
  - (b) Up until the One-Stop Service (approach explained in II-1- (2)) that utilizes e-Stat launches, post the Impact Information along with the outline information of the said survey on the website of each ministry in charge of the survey to allow the survey subjects to see the information anytime as needed (related to the approach in IV-1- (2)).

## (ii) Guidance to enumerators

Include the Impact Information in the Enumerator Guidance Material in the form of Q&A examples. In addition, during enumerators' survey briefing, have them fully informed of the Impact Information so that they can make sufficient explanations to the survey subjects.

## 2. Policies for Effective Survey Results Provision

From the viewpoint that people, establishments and corporations improve their understanding on the usefulness of the survey results through effective utilization, Ministries implement the following policies to provide the survey result in a form that is easier to understand and utilize.

## (1) Provision of the points to see in the survey results

When the survey result is released, provide aggregate tables as well as information like for example "Points to See in the Survey Results" and simple explanations of the related technical terms. Also, visual explanations with illustrations and graphs should be provided.

## (2) Facilitate comparison with the past survey results

When the Ministries provide results of statistical surveys from Internet, post on e-Stat long-term chronological data with available survey results in the past as one of the One-Stop Services (approach explained in II-1- (2)). In addition, make arrangements to enable the users to search survey results easily and print them with ease for each volume and format of the data.

## (3) Other approaches

- (a) Regarding Fundamental Statistical Surveys, when it is necessary for international comparison, electronic data in foreign languages or write it in multiple languages.
- (b) Concerning statistical surveys, released via various media (e.g. TV, radio and PR brochure) which people feel familiar to, simple forms that utilize illustrations and charts are used. Also, to meet the demand from those who request detailed information and verify the information, proactively provide information by posting the detailed result report and explanation of the survey on its website when the release is announced, etc. If the release of the survey result is phased, such as preliminary result and final result, take appropriate measures depending on the phase according to above purposes.

**II. Measures to Ensure Survey Subjects' Security toward Statistical Surveys**

## 1. Measures for clear recognition and easy verification of governmental statistical surveys

From the viewpoint of eliminating the uneasiness toward the statistical survey from the survey subjects, the following measures are implemented to be able to judge or identify governmental statistical surveys and obtain information about statistical surveys easily.



## (1) Preparation of the Contacts for Inquiries and Fraud Report

Each ministry prepares contacts where survey subjects can easily make inquiries about the content of the survey or report fraud when they implement statistical surveys.

Also, each ministry proactively publicizes information regarding the said contact's phone number, email address, etc. (hereafter referred to as "Contact Information.") through following approaches. During the implementation of the following approach or handling at the point of contact, each ministry shall give consideration to the development and maintenance of trusting relationship with the survey subject as much as possible.

## (i) Approach toward survey subjects (households, establishments and enterprises)

- (a) Include the Contact Information in the Survey Notice Information (related to the approach explained in IV-1- (1)).
- (b) Up until the One-Stop Service (approach explained in II-1- (2)) that utilizes e-Stat launches, post the Contact Information during the implementation period along with the outline information of the said survey on the website of the Ministry in charge of the survey to allow the survey subjects to see the information anytime as needed (related to the approach explained in IV-1- (2)).
- (c) When publicizing about an implementation of the statistical survey through familiar media (e.g. newspapers and industry magazines), print the Contact Information in the publication material (related to the approach explained in IV-1- (3)).
- (d) Print the Contact Information on the publicity goods of the said statistical survey (related to the approach explained in IV-1- (3)).

## (ii) Guidance to enumerators

Include the Contact Information in the Enumerator Guidance Material. In addition, during enumerators' survey briefing, have them fully informed of the Contact Information so that they can make sufficient explanations to the survey subjects.

## (2) One-Stop Service Utilizing e-Stat

## (i) Realization of One-Stop Service

Each ministry posts the following information on e-Stat to realize One-Stop Service of the information of statistical surveys they implement through the Internet for the survey subjects to be able to obtain the information pertaining to the implementation of the survey. When completed, avoid the use of technical terms and use simple expressions, which are easy to understand. Up until this service launches, post the information on the website of the Ministry in charge of the survey.

- (a) Outline of the ongoing statistical survey (outline information in I-1-(1)-C-(a))
- (b) Information regarding the usefulness of the statistical surveys (examples of utilization in I-1-(1)-(i))

- (c) Information regarding the impacts of the absence of report (Impact Information in I-1-(2))
- (d) Information regarding the contacts for inquiries and fraud report (Contacts Information in II-1-(1))
- (e) Information regarding appropriate management of questionnaire information (Appropriate Management Information in II-2-(1))
- (f) Information regarding duty to report or penalties (information in III)
- (g) Other necessary information

- (ii) Information provision to survey subjects (households, establishments and enterprises)

Each ministry mentions the e-Stat website address as well as the fact that detailed information of the said survey and details of the survey result and its release schedule etc. are available in the Survey Notice Information they distribute to the survey subjects (households, establishments and enterprises) (connected to the approach in IV-1-(1)). Additionally, up until the One-Stop Service utilizing e-Stat explained in (i) above launches, post the information on the website of the Ministry in charge of the survey.

### (3) Utilization of QR Code for Handheld Terminal

- (i) Website dedicated to hand-held terminals

When the MIC implements a statistical survey subjected to households and sole proprietors, it utilizes the information listed in (2) above and launches the website dedicated to handheld terminals so that the subjects can find the information of the survey easily.

Up until the website explained above launches on e-Stat, each ministry has a website dedicated to hand-held terminals available on their website.

- (ii) Information provision to survey subjects (households, private businesses)

Each ministry includes QR code for the website dedicated to hand-held terminals launched according to (i) above in the Survey Notice Information distributed to the survey subjects (households, private businesses) (related to the approach in IV-1-(1)).

### (4) Development of the Logo for Governmental Statistics, etc.

- (i) Development of the Logo

For the people, establishments and corporations to be able to use statistical survey results and report to surveys, the MIC develops the logo in fiscal year 2010, and take approaches for the infiltration and establishment of the said logo among people so that people, establishments and corporations can easily distinguish that (a) it is a statistical survey implemented by the government and (b) it is a statistic made by the government with its statistical survey.

## (ii) Use of the Logo

From January 2012, each ministry starts using the unified logo developed as in (i) above by displaying it on the (a) survey materials, such as questionnaires and survey notice information, (b) advertising goods for statistical survey and website, (c) publications of statistical survey results and other printed materials that each ministry issues, one by one regarding statistical survey. Also, in order to promote penetration and establishment of the logo throughout citizens, each ministry disseminates the logo in the series of activities regarding surveys from the implementation to the publication of the results by attaching materials, which explain the logo, etc.

## (5) Consideration of Survey Material Standardization

The MIC and each ministry consider the following measures paying sufficient attention to the expenses, effects and realities.

- (a) Coordination of the survey materials colors, such as postcards and envelopes each ministry uses based on the implementation period of each statistical survey
- (b) Development of the standard specifications of postcards, envelopes, Survey Notice Information, thank-you letters and absentee slips (memorandum) etc.
- (c) Introduction of the measures that allow the survey subject (person, establishment or corporation) to distinguish or recognize the enumerator by his or her look as one who leads statistical survey implemented by the government when visiting a survey subject

## (6) Important Notice for the Case of Outsourcing the Statistical Survey to a Private Business

When each ministry outsources a part or all of their statistical survey operation to private businesses, they take measures described in the “Guidelines Pertaining to the Use of Private Businesses for Statistical Surveys” (March 31, 2005, agreed upon at a meeting of the Chiefs of Statistics Director-General Section in Each Ministry, last revised on March 25, 2010) in addition to the approach (1) to (5) above.

## 2. Expansion of Dissemination and Publicity Regarding Appropriate Management of Questionnaire Information

The following measures are implemented to publicize the facts that all possible measures are taken against leakage of information regarding the questionnaires that survey subjects submit etc., for example, under the Statistics Act (Act No.53 in 2007), appropriate management of questionnaire information became an obligation and is under strict management.

## (1) Information to be Under Expanded Dissemination and Publicity

Each ministry expands the publicity of the following information regarding appropriate management of questionnaire information (hereafter referred to as “Appropriate Management (implementation) Information.”).

- (a) Information regarding the status of actual approaches, for example, under the Statistics Act, personnel involving surveys (staff of national and local public bodies, instructors, enumerators and survey contractors) have the duty of confidentiality and through guidance to observe it
- (b) Information regarding the status of actual approaches, for example, the Statistics Act provides strict management and limited use of the questionnaire information; therefore, collected questionnaires are kept in the room with full security system away from the outsider's eyes and are destroyed by dissolution after completion of aggregation

(2) Method of Dissemination and Public Relation

(i) Approach toward general public

The MIC proactively disseminates and publicizes the provision of appropriate management of questionnaire information of the Statistics Act as well as the approaches, such as strict management of questionnaire information, implemented by each ministry to the public, mainly through the "Statistics Day" (October 18) related events and the approaches to infiltrate and establish the unified logo described in II-1-(4)-(i) above.

(ii) Approaches toward survey subjects (households, establishments, enterprises)

Each ministry disseminates and publicizes Appropriate Management Information.

- (a) Directly print Appropriate Management Information in brief and simple manner on the Survey Notice Information or attach material with the information to it (related to the approach in IV-1-(2)).
- (b) Up until the One-Stop Service (approach explained in II-1- (2)) that utilizes e-Stat launches, establish a Q&A section on the website and post Appropriate Management Information in brief and simple manner (related to the approach in IV-1- (2)).
- (c) When conducting public relations pertaining to the implementation of the said statistical survey through familiar media, mention the Appropriate Management Information in brief and simple manner (related to the approach in IV-1-(3)).
- (d) Print the Appropriate Management Information in brief and simple manner (related to the approach in IV-1-(3)) on the publication relations' goods of the said survey.

(iii) Guidance to enumerators

Each ministry prints Appropriate Management Information in the form of Q&A examples. In addition, during enumerators' survey briefing, have them fully informed of the Appropriate Management Information so that they can make sufficient explanations to the survey subjects.

3. Responding measures when fraud survey occurs

Each ministry investigates all facts swiftly and thoroughly when they receive a report of fraud survey to ensure the trust of the general public toward the statistical survey

system. They shall report the situation to the MIC and, cooperating with prefectures, actively move forward to the accusation process. Accusation is executed after preparing sufficient evidence by recording the facts of violator's actions and behavior etc. referring to the material separately prepared by the MIC and the Bill of Indictment.

### **III. Measures to Arouse the Mindset that Reporting to Statistical Surveys is a Duty as a Citizen**

Fundamental statistical surveys are important surveys implemented to create essential Fundamental Statistics, which form the core of the official statistics. Duty to Report is imposed on the survey subjects under the Statistics Act and penalties are laid down when the subject does not report. The fact that duty to report and penal regulations are provided shall be disseminated and publicized by the following approaches.

#### 1. The further dissemination of the fact that reporting to Fundamental Statistical Survey is a duty/obligation as a member of the society

##### (1) Approaches toward households

Cooperating together, MIC and other ministries actively implement public relations about duty to report and penal regulations provision along with the "Statistics Day" related events and approach for infiltration and establishment of the logo.

##### (2) Approaches toward establishments and corporations

Cooperating together, MIC and other ministries advise cross sectional economic organization, such as the KEIDANREN (Japan Business Federation), the Japan Chamber of Commerce and Industry, and the Central Federation of Societies of Commerce and Industry to inform about the duty to report and penal regulations.

#### 2. Dissemination Approach for Individual Fundamental Statistical Survey

##### (1) Use of terms and wording, which do not give misconception that the participation is voluntary

When implementing, informing or explaining about a Fundamental Statistical Survey, the Ministries use terms and wording that do not let people misunderstand that he/she does not have the obligation to report for the survey while being careful not to make the survey subject feel uncomfortable. Additionally, implementing, informing or explaining about general statistical survey, also, mind the use of terms and wording that encourage active reporting to the said survey.

##### (2) Informing survey subjects about the Fundamental Statistical Survey system etc.

Regarding implementation of Fundamental Statistical Survey, Ministries shall publicize and explain the necessity to implement the survey as one of the Fundamental Statistical Surveys, duty to report and penal regulations by the following approaches.

##### (i) Approach toward survey subjects (households, establishments and enterprises)

- (a) Directly print about the duty to report and penal regulations briefly and simply, or attach material that includes the information (related to the approach in IV-1-(1)).

- (b) Up until the One-Stop Service (approach in II-1- (2)) that utilizes e-Stat launches, establish Q&A section on the website of the Ministry and post about the duty to report and penal regulations in brief and simple manner (related to the approach in IV-1- (2)).
- (c) When conducting public relations for the implementation of the said statistical survey through familiar media, mention about the duty to report and penal regulations in a brief and simple manner (related to the approach in IV-1-(3)).
- (d) Print about the duty to report and penal regulations in a brief and simple manner (related to the approach in IV-1-(3)) on the publication relations' goods of the said survey.
- (ii) Guidance to enumerators
  - Each ministry prints about the duty to report and penal regulations in the form of Q&A examples on the Enumerator Guidance Materials. In addition, during the enumerators' survey briefing, have them fully informed about the duty to report and penal regulations and guide them to be able to explain and respond in a manner which does not arouse resentment of the survey subject.

### 3. Measures for the Survey Subjects Who Refuse to Report

In order to deal with some survey subjects, who refuse to report to Fundamental Statistic Survey, properly and smoothly, the following approaches are taken. When Fundamental Statistic Survey is implemented via the local government, the following approaches are implemented by cooperating with the said local government and share the information.

#### (1) Approaches toward survey subjects

- (a) Cooperating with enumerator or the supervisor, each ministry requests or demands the survey subject, who refuses to report to the Fundamental Statistical Survey, to report with phone calls or letters, or visit to persuade the subject at the appropriate time with appropriate manners. When it is considered as a particularly vicious case, prepare sufficient evidence by recording the facts of violator's actions and behavior and the Bill of Indictment, then move forward to the accusation process. Additionally, to be able to do these works properly, create a manual by referring to the material separately prepared by the MIC.
- (b) Each ministry organizes the cases of the refusal to report (including cases like a corporation, which runs its business nationwide, systematically refuses to report to the statistical survey) and the corresponding ways to respond or deal with them and shares the organized information among each ministry.  
The MIC takes necessary measures like putting all the information together to support smooth information sharing among each office and ministry.

#### (2) Guidance to the enumerators

Each ministry prints the typical cases of refusal to report and information regarding the corresponding ways to respond or deal with those cases on the Enumerator Guidance Materials.

#### IV. Measures to Promote the Smooth Implementation of Statistical Survey

##### 1. Focus on Advance Publication about the Survey Implementation to the Survey Subjects

From the viewpoint to promote smooth implementation of statistical survey, the following measures are taken to inform the contents of the statistical survey to the survey subjects.

###### (1) Conduct of advance guidance of statistical survey

Each ministry distributes the “Notice of Survey”, which puts together the following information. Also, when the other method is expected to create the same effects, resort to these methods.

- (a) Outline of the ongoing statistical survey (outline information in I-1-(1)-C-(a))
- (b) Information regarding the usefulness of the statistical survey (Examples of Utilization in I-1-(1)-(i))
- (c) Information regarding the impacts of the absence of report (Impact Information in I-1-(2))
- (d) Information regarding the contacts for inquiries and fraud report (Contacts Information in II-1-(1))
- (e) Information regarding postings on e-Stat etc. (e-Stat posting information in II-1-(2)-(ii))
- (f) Information regarding website for mobile phones (QR code Information in II-1-(3))
- (g) Information regarding appropriate management of questionnaire information (Appropriate Management Information in II-2-(1))
- (h) Information regarding duty to report or penalties (information in III)
- (i) Other necessary information

###### (2) Utilization of the e-Stat and Website

When a Ministry implements a statistical survey, it posts the information (a)-(d) in (1) and (g)-(i) above on the website in advance. Also, up until One-Stop Service (approach in II-1-(2)) that utilizes e-Stat launches, it posts the information on the website of the Ministry, which conducts the survey.

###### (3) Utilization of governmental publications and existing media etc.

When a Ministry implements a large-scale statistic survey, in order to implement the publication or PR through various media (TV, radio and PR brochure) effectively, it utilizes governmental publication and conducts the press release in advance. If report data or publication goods for the statistical survey are prepared, avoid putting detailed information and make a summarized content of the information (a), (b) in (1) and (d)-(i) above.

##### 2. Request for Cooperation for Smooth Implementation of Statistical Survey to Industry Groups

When a request for cooperation to the related industry group is concluded to be effective for statistical survey, following approaches are conducted. In addition,

regarding multiple statistical surveys that are concluded to be effective to request for cooperation integrally, or are cross sectional surveys in Ministry wise, the related Ministries request for cooperation together.

- (1) Request for cooperation to the industry group that the survey subjects (establishments and corporations) belong

With cooperation from the Ministry that regulates the said industry group, each ministry publicizes the matters listed in an attached document, and requests for their cooperation. When doing so, try to use places for general meetings and conference, where many establishments and corporations under the industry group participate to have an opportunity to explain and ensure that the request reaches to the establishments and corporations. Also, make efforts to inform and publicize to the affiliate establishments and corporations of the through the public relations tools of the said group, such as having them post or mention the information regarding the implementation of statistical survey on the group's website PR magazine.

- (2) Request for cooperation to the industry group related to condominium/building management

When a survey by enumerator is conducted, with the cooperation of the regulating ministry, publicize the information on an attached sheet and request their cooperation to the industry group related to condominium/building management.

- (3) Request for cooperation to the headquarters of establishment/corporation

In order to be able to conduct statistical surveys on establishments/corporations smoothly, with cooperation from other Ministries, MIC utilizes the establishment's population database (business register), move forward with the approach that sends the materials on an attached sheet and information of the entire official statistic surveys including the schedule for the following year mainly to the headquarters' of the corporations, which become the subject of many statistical surveys. It posts the same information on e-Stat, in calendar format etc. in a way that makes it easy to understand.

Also, when each ministry implements statistical surveys on individual establishments, inform the material on an attached sheet to the headquarters of the said establishments and request for their cooperation.

- (4) Request for cooperation to a cross-industry economic organization

The MIC and each ministry put together the outline information of economy-related annual surveys and other surveys scheduled in the following year and provide it to the cross-industry economic organization, such as the KEIDANREN (Japan Business Federation), the Japan Chamber of Commerce and Industry and the Central Federation of Societies of Commerce and Industry and request for their cooperation for the smooth implementation of the statistical survey.



### 3. Effective Approach to Provide the Information of Statistical Survey Result to the Survey Subject

Following approaches are taken to promote smooth report on the next survey from the survey subjects.

#### (1) Provision of information, such as statistical survey results

After releasing the survey result, if a better collection rate can be expected depending on the survey subjects' character, scale, burden or the frequency, each ministry promptly sends a thank-you letter, which has a note that the survey result has been posted on the website of the ministry, to the survey respondent. In addition, if it is considered to be particularly effective, provide the final report, its outline (including the interpretation of the results that are visualized by using illustrations and charts) and information regarding the planned utilization of the result in the form of booklet, CD etc.

#### (2) Provision of information, such as the analysis result, for survey respondents

Each ministry provides practical and useful information, which explains or analyzes the survey results for the survey subjects who responded to the survey.

### 4. Commendation for Respondents of Statistical Surveys

When it is considered necessary depending on the survey subjects' character, scale, burden or the frequency of participation, each ministry implements commendation to a person who reported to the statistical survey and made a significant contribution for the preparation and provision of Official Statistics to recognize the meritorious service for statistical reports, as a related event of the "Statistics Day", every year. The event is released to the press and posted on e-Stat. Up until the One-Stop Service (approach in II-1- (2)) that utilizes e-Stat launches, the commendation to the person who rendered meritorious service to the statistical report is posted on the website of each ministry that regulates the survey.

From the point of securing the fairness, each ministry that implements commendation to the meritorious person for statistical reporting, determines the standard of the award and publicizes it.

### 5. Measures against Obstructions in Statistical Survey

The following approaches are implemented to properly and smoothly respond against interference in statistical surveys. Additionally, when the following approaches are taken regarding the implementation of Fundamental Statistical Survey via local public body, each ministry cooperates with the local public body and share the necessary information.

#### (1) Approach against obstructionists

(a) Each ministry responds properly against the person, who obstructs the implementation of statistical survey, in cooperation with the enumerator and supervisor. If it is considered as a particularly vicious case, prepare sufficient

evidence by recording the facts of violator's actions and behavior and the Bill of Indictment, then move forward to the accusation process as a case of obstruction of performance of public duty or violation of the Statistics Act. Additionally, to be able to do these works properly, create a manual by referring to the material separately prepared by the MIC.

- (b) Each ministry organizes the cases of obstruction to the implementation of statistical surveys and the corresponding ways to respond or deal with them and shares the organized information among each ministry. Also, the MIC takes the necessary measures like putting all the information together to support smooth information sharing among each ministry.

## (2) Guidance to enumerators

Each ministry prints the typical cases of obstruction to the implementation of statistical survey on the Enumerator Guidance Materials. In addition, during enumerators' survey briefing, have them fully informed about the duty to report and penal regulations and guide them to be able to explain and respond in a manner, which does not arouse resentment of the survey subject.

## V. Others

### 1. Approach for the Utilization of the e-Stat and Website

MIC and other ministries engage the operation necessary for the revision of the "Plan for Operations and System Optimization of Statistical Survey Operations, etc." (decision made at the liaison meeting of CIOs on March 31, 2006; hereafter referred to as "Optimization Plan") in fiscal year 2010, to unify the information that each Ministry post on its own website.

In addition, in order to start the One-Stop Service that utilizes e-Stat mentioned above, MIC and each ministry do the necessary work for the revision of the Optimization Plan promptly. For example, after the renewal of the e-Stat system, which is scheduled in fiscal year 2012, organize all the information pertaining to the statistics on e-Stat and the website of each ministry in a way that consolidates all to the utmost.

After the One-Stop Service launches, each ministry puts together information pertaining to overall statistics in the e-Stat.

### 2. Follow-Ups

- (a) MIC and each ministry hold a "Working Group for Promotion of People's Better Understanding toward Statistical Surveys" every year to share their approaches based on these action guidelines.

Also, MIC and each ministry hold the said Working Group (meeting) as needed to examine measures presented as an agenda in the guidelines or measures for new agendas and to review these guidelines etc.

- (b) MIC utilizes the opinion poll system etc., to grasp the effect of measures based on these action guidelines.

3. Enhancement of Collaboration among the Ministries and Prefectures

The ministries enhance the collaboration with other ministries and the related departments within each ministry and prefecture for an effective implementation of the measures that are based on the action guidelines, while they secure the consistency of the government as a whole. MIC sets up an opportunity for each ministry and prefectures to exchange their information as needed.

### Request of Cooperation to Industry Groups Regarding Implementation of Statistical Surveys

| Classification                                                               | Items to Inform                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Industry Groups that survey subjects (establishments and corporation) belong | <ul style="list-style-type: none"> <li>(a) Outline of the statistical survey [name and purpose of the survey, survey items, method of the survey, survey subject, sampling method of the survey period (Includes the time of enumerator's visit), date of the survey result publication], and outline of the last survey</li> <li>(b) Record of concrete usage, plan of use and the merit of survey result utilization particular to this industry</li> <li>(c) The fact that the survey contents are handled strictly under the Statistics Act</li> <li>(d) The fact that it is an obligation to report to the Fundamental Statistical Survey and penal regulations are applied to refusal and false report</li> <li>(e) The fact that reporting to statistical survey is a social responsibility of establishments and corporations</li> <li>(f) Other necessary matters</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Condominium/ building-management related business association                | <ul style="list-style-type: none"> <li>(a) Outline of the statistical survey [name and purpose of the survey, survey items, method of the survey, survey subject, sampling method of the survey period (Includes the time of enumerator's visit), date of the survey result publication], and outline of the last survey</li> <li>(b) Record of concrete usage, plan of use and the merit of survey result utilization</li> <li>(c) The fact that the survey contents are handled more strictly under the Statistics Act than the Act on the Protection of Personal Information</li> <li>(d) Details of enumerators' activities and the fact that the survey is implemented under the Statistics Act</li> <li>(e) The fact that entering condominiums and buildings is a lawful official business of enumerators and refusal of their entry may become the subject of a penalty as an obstruction.</li> <li>(f) When an enumerator requests the information of the residents during a statistical survey, it is not a violation of the duty of confidentiality under the Act on Advancement of Proper Condominium Management.</li> <li>(g) The fact that it is an obligation to report to the Fundamental Statistical Survey, and penal regulations are applied to refusal and false report</li> <li>(h) Reporting to statistical survey is a duty of citizens and a social responsibility of establishments and corporations</li> <li>(i) Other necessary matters</li> </ul> |
| Headquarter of establishments and corporations                               | <ul style="list-style-type: none"> <li>(a) Outline of the statistical survey [name and purpose of the survey, survey items, method of the survey, survey subject, sampling method of the survey period (Includes the time of enumerator's visit), date of the survey result publication], and outline of the last survey</li> <li>(b) The fact that the establishment of the corporation became the subject of the survey and the reason.</li> <li>(c) Record of concrete usage, plan of use and the merit of survey result utilization particular to this industry</li> <li>(d) The fact that the survey contents are handled strictly under the Statistics Act</li> <li>(e) The fact that it is an obligation to report to the Fundamental Statistical Survey and penal regulations are applied to refusal and false report</li> <li>(f) The fact that reporting to statistical survey is a social responsibility of establishments and corporations</li> <li>(g) Other necessary matters</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

## **Action Guidelines for the Improvement of People’s Understanding toward Statistical Surveys (Extract)**

March 30, 2010

Agreed on at a conference for Director-General of the  
main statistics department of the Cabinet Office and  
each ministry

### **II. Measures to Ensure Survey Subjects’ Security toward Statistical Surveys**

#### 1. Measures for clear recognition and easy verification of governmental statistical surveys

##### (4) Development of the Logo for Governmental Statistics etc.

###### (i) Development of the Logo

For the people, establishments and corporations to be able to use statistical survey results and report to surveys, the MIC develops the logo in fiscal year 2010, and take approaches for the infiltration and establishment of the said logo among people so that people, establishments, and corporations can easily distinguish that (a) it is a statistical survey implemented by the government and (b) it is a statistic made by the government with its statistical survey.

###### (ii) Use of the Logo

From January 2012, each ministry starts using the unified logo developed as in A above by displaying it on the (a) survey materials, such as questionnaires and survey notice information, (b) advertising goods for statistical survey and website, (c) publications of statistical survey results and other printed materials that each ministry issues, one by one regarding statistical survey. Also, in order to promote penetration and establishment of the logo throughout citizens, each ministry disseminates the logo in the series of activities regarding surveys from the implementation to the publication of the results by attaching materials, which explain the logo, etc.

#### 2. Expansion of Dissemination and Publicity Regarding Appropriate Management of Questionnaire Information

##### (2) Method of Dissemination and Public Relation

###### (i) Approach toward general public

The MIC proactively disseminates and publicizes the provision of appropriate management of questionnaire information of the Statistics Act as well as the approaches, such as strict management of questionnaire information, implemented by each ministry to the public, mainly through the “Statistics Day” (October 18) related events and the approaches to infiltrate and establish the logo described in II-1-(4)-(i) above.

### **III. Measures to Arouse the Mindset that Reporting to Statistical Surveys is a Duty as a Citizen**

1. The further dissemination of the fact that reporting to Fundamental Statistical Survey is a duty/obligation as a member of the society

(1) Approaches toward households

Cooperating together, MIC and other ministries actively implement public relations about duty to report and penal regulations provision along with the “Statistics Day” related events and approach for infiltration and establishment of the logo.

## Standards for the Use of the Logo for Governmental Statistics

|                                                                                                                             |                  |
|-----------------------------------------------------------------------------------------------------------------------------|------------------|
| Enacted                                                                                                                     | January 13, 2012 |
| Revised                                                                                                                     | August 20, 2013  |
| Agreed upon at the meeting of the Chiefs of Statistics<br>Director-General Sections at the Cabinet Office and<br>Ministries |                  |

The standards for the use of the national property, “Logo for Governmental Statistics” (registered trademark No. 5558519), the trademark rights for which belong to the MIC, are provided as follows:

### 1. Purpose

#### (1) Purpose of the Logo

The Logo for governmental statistics (hereafter referred to as the “Logo”) is displayed in a proper and unified manner on the materials related to the statistical surveys implemented by the national administrative organs under the Statistics Act so that:

- (a) The reporting person (the person who is requested to make a report for a statistical survey; the same applies hereafter) recognizes that the said survey is a national statistical survey and that it is safe to provide information for it, etc.
- (b) The person who is involved in statistical surveys is always aware of the need to manage information thoroughly during the survey.

Thus, the reliability of statistics is secured.

#### (2) Purpose of Setting the Standards for Use of the Logo

The standards for use of the Logo are set to achieve the purpose of the Logo provided in (1) by securing the proper use of the Logo by the national administrative organs.

### 2. Designs

The design and size of the Logo are as provided in the attachment, and the color is black monochrome, in principle. However, the user (the person who has been given the rights to use the Logo under these standards; the same applies hereafter) may use a monochrome color other than black when it is considered appropriate in terms of the design of printed matter and it will not interfere with the purpose of the Logo.

3. Use

(1) Instructions for Use of the Logo

(i) The Logo users given in the following Table 1 shall use the Logo in the places provided in the table, pertaining to a statistical survey that they conduct.

Table 1

| User                                                                                                                   | Where to Use                                                                                                                                                                                                                                  | Notes                                                                                                            |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| (a) Personnel who implement a fundamental statistical survey or general statistical survey                             | Questionnaires, envelopes for sending questionnaires, envelopes for returning (submitting) completed questionnaires                                                                                                                           | An explanation must be displayed in at least one of the places listed on the left (refer to 2 in the attachment) |
| (b) Local public entities that handle a part of the administrative work pertaining to a fundamental statistical survey |                                                                                                                                                                                                                                               |                                                                                                                  |
| (c) The party that is entrusted by a persons in (a) or (b) with the administrative work of a survey                    | Printable notice of visit during absence (material used to notify the fact that the enumerator has come to the address, etc. but the inhabitant was absent) to distribute, enumerator identification card, certificate for on-site inspection |                                                                                                                  |

\* Regarding the identification cards used for (b) Local public entities that handle a part of the administrative work pertaining to the fundamental statistical survey, the party who conducts the survey shall make sure that the Logo is used properly while respecting the initiative and independence of the local public entity.

\* When it is difficult to use the Logo according to Table 1 for a special reason, the way of handling the Logo shall be determined by consulting with the Director-General for Policy Planning (Statistic Standards), MIC.

(ii) The users provided in the following Table 2 shall be allowed to use the Logo in the places provided in the table, pertaining to a statistical survey that the user conducts.

Table 2

| User                                                                                                                   | Where to Use                                                                                                                                                                                                                               | Notes                             |
|------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|
| (a) Personnel who implement a fundamental statistical survey or general statistical survey                             | Materials that explain how to fill out the questionnaires, materials used to publicize statistical survey results, publicized statistical materials                                                                                        | Use the Logo as much as possible. |
| (b) Local public entities that handle a part of the administrative work pertaining to a fundamental statistical survey |                                                                                                                                                                                                                                            |                                   |
| (c) The party that is entrusted by a person in (a) or (b) with the administrative work of the survey                   | In addition to the materials in Table 1, the following materials, the value of which the user recognizes in achieving the purpose of the Logo:<br>(i) Materials and goods related to the statistical survey<br>(ii) PR materials and media |                                   |
| (d) The party who makes a fundamental statistical survey using a method other than a statistical survey                |                                                                                                                                                                                                                                            |                                   |



(2) Time of Initiating Use of the Logo

Use of the Logo will begin on April 1, 2012, as long as there is no special reason to not use it; for example, it is difficult to use it immediately due to survey preparations.

(3) Checking the Appropriate Use of the Logo

Regarding the use of the Logo, the Director-General for Policy Planning shall check the status of use at the time of the examining the application for statistical surveys, etc., as needed, and publicize the status of the Logo use.

4. Countermeasures to Illegal Use

The Director-General for Policy Planning and the Cabinet Office or relevant ministry shall take the following measures when they recognize illegal use of the Logo.

- (a) Warn people about the illegal use
- (b) Warn the person who is using the Logo illegally
- (c) Take measures based on the provisions on illegal use in the Statistics Act and the Trademark Act, etc.
- (d) Publicize the details of the illegal use
- (e) Publicize the measures taken against the person who is using the Logo illegally

5. Trademark Rights

(1) Right holder and User of the Logo

- (i) The trademark right for the Logo belongs to the Minister for Internal Affairs and Communications.
- (ii) As long as the standards for use are followed, a person described in (a)-(d) in Table 1 and 2 under 3 (1) above may use the Logo without taking the application procedure. Additionally, a person described in (c) may use the Logo when satisfying the requirements for obtaining an agreement from the party which commissions the administrative work for the statistical survey.
- (iii) The Logo user may not transfer the right to use the Logo to others.

(2) Fee for Use of the Logo

No fee is charged for approved use of this Logo under these standards.

(3) Compliance with laws and regulations by the Logo Users

- (i) A Logo user shall follow the Trademark Act and strive not to damage the function as a trademark or to lose the right of use.
- (ii) When a Logo user discovers that a third party has or is trying to infringe the trademark right, he/she shall inform the Director-General for Policy Planning immediately and take the measures listed in 4 if necessary.
- (iii) When a dispute, a trial or a lawsuit occurs against a third party, the Logo user shall deal with the issue in cooperation with the Director-General for Policy Planning.

6. Management of Interpretation/Uncertainty, etc.

The Director-General for Policy Planning is in charge of interpreting the standards for use and any uncertainty.

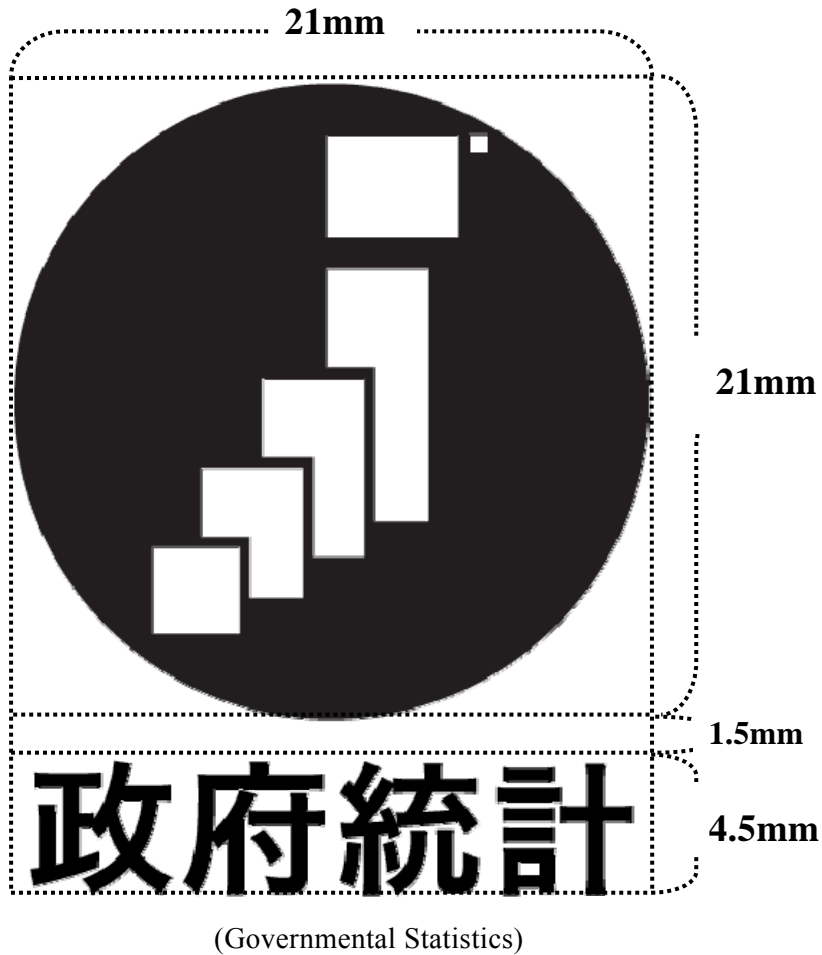
7. Effective Date

This standard of use will become effective on April 1, 2012.

Accompanying sheet

1. Design and Size of the Logo

The design and the size of the Logo are as shown below. (The dotted lines are not included in the Logo.)



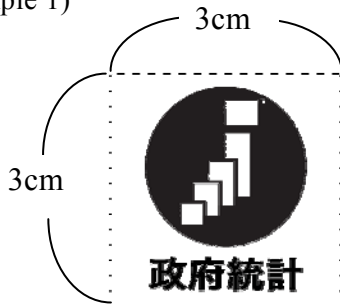
\* Logo users may adjust the size of the Logo as long as the contribution to achieving the purpose of Logo is expected and the size enables easy recognition. However, the ratio of the length and width must be the same as in the illustration shown above.

2. Explanation of the Logo

Logo users shall attach an explanation including the contents listed below to the Logo to the extent possible.

- (a) The fact that the survey is a national survey based on the Statistics Act.
- (b) The fact that all possible measures to protect the confidentiality of the questionnaire information are taken.

Example 1)

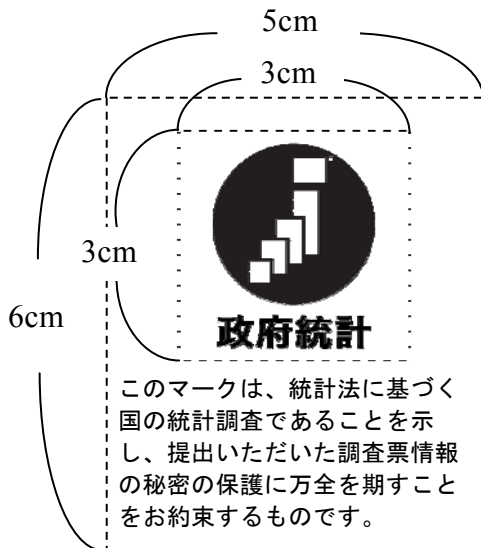


統計法に基づく国の統計調査です。調査票情報の秘密の保護に万全を期します。

(Governmental Statistics)

This is a national statistical survey based on the Statistics Act. All possible measures to protect the confidentiality of questionnaire information are taken.

Example 2)



このマークは、統計法に基づく国の統計調査であることを示し、提出いただいた調査票情報の秘密の保護に万全を期すことをお約束するものです。

(Governmental Statistics)

This mark represents national statistical surveys based on the Statistics Act and our promise that we will take all possible measures to protect the confidentiality of the questionnaire information you submit.

# **IV Secondary Use System for Statistical Data in Japan (1)**

(Background and Access to Questionnaire Information)



In the Statistics Act (Law No.53 in 2007), which was fully revised in May 2007 and has been implemented in full-scale since April 2009, a new system for the secondary use of statistical data, which enables production and provision of tailor-made tabulation and anonymized data, is provided in addition to provision for the use of questionnaire information for purposes other than statistical purposes (provided in the Statistics Act (Law No. 18 in 1947; hereafter referred to as the “Old Statistics Act.”) in order to promote wider utilization of statistical data.

This section and the next provide an overview of the history and outlines of the secondary use of statistical data in Japan.

#### (1) Use of Questionnaire Information under the Old Statistics Act

- The Old Statistics Act (Law No.18 in 1947) (Extract)

Article 15 No person shall use questionnaires collected to produce designated statistics for any purpose other than statistical purposes.

(2) The provision of the preceding paragraph shall not apply to questionnaires for which the Minister for Internal Affairs and Communications provided approval and issued a proclamation on their purpose of use.

In order to secure the protection of confidentiality and trust from survey respondents, the Old Statistics Act provided that information gained from questionnaires for statistical surveys implemented to produce designated statistics (hereafter referred to as “designated statistical surveys”) may not be used for any purpose other than statistical purposes. However, it also stipulated that such provision does not apply to questionnaires for which the Minister for Internal Affairs and Communications provided approval and issued a proclamation on their purpose of use, opening the door for the use of questionnaires for statistical purposes other than predetermined purposes.

The criteria for approval by the Minister for Internal Affairs and Communications was that “access to the questionnaire is granted to the minimum number necessary, and that the questionnaire information needs to be used for their duties.” Following up on this, the criteria limited the users of the questionnaires to “persons who fall under a public officer” or “employees at a university, hospital, research institute or other equivalent research facility,” and also stated that when an employee submits an application on his/her own in the latter case, from the viewpoint of public interest, certain conditions need to be satisfied, such as the questionnaire information being used for a part of research implemented in collaboration with an administrative organ, or an organ equivalent to the administrative organ.

In addition, regarding the procedures for use of questionnaire information of designated statistics for any purpose other than the original purpose, first the applicant applied to the body which implemented the survey. The body then submitted the application to the Minister for Internal Affairs and Communications after confirming that the application had no problem in its assessment.

Also, regarding approved statistical surveys and notified statistical surveys, using them for any purpose other than their original purpose was prohibited in general with a provision in Article 15 (2) (i) of the Old Statistics Act, stating that questionnaire information of such statistics “may not be used for any purpose other than statistical purposes,” and the second paragraph mentioned that such surveys could be used for purposes other than their original purpose under the discretion of the body which originally implemented the survey. However, in practical operation, the body which implemented the survey handles applications according to the criteria for approval by the Minister for Internal Affairs and Communications.

- The Old Statistics Act (Act No.18 in 1947) (Extract)

Article 15 (2) No person shall use questionnaires collected in a notified statistical survey (except the ones implemented by local public entities; the same applies to the next article) or statistical reports obtained by a collection of reports (limited to the part pertaining to the items solely used to produce statistics listed in the application form provided in Article 4 (2) of the Statistics Reports Coordination Act).

(2) The provision of the preceding paragraph shall not preclude persons who conduct a notified statistical survey or report from using or letting others use the questionnaires or statistical report in ways that cannot identify the respondents or persons who were required to make the report.

(2) Opportunity to Consider Secondary Use

There has been an international trend that considers official statistics as not only the basis of policy making by the government, but also as a public asset that supports social development. Due to this, and to secure confidentiality protection, many countries began to provide researchers with anonymized questionnaire information for their statistical studies. In addition, the development of information technology in recent years has provided an environment in which a great volume of data can be used easily by anyone to conduct complicated studies and analysis. However, this has increased the potential impact of any information leak that may occur. Therefore, it became necessary to thoroughly ensure the protection of confidentiality in various ways. In Japan, some people began to recognize that we shall develop a new system that allows for the secondary use of questionnaire information after securing the protection of confidentiality as well, and we decided to study this during the course of the drastic reform of our statistical systems.

(3) Examinations of an Experts Study Group

(a) Examinations of a “Study Group on the Statistical Legal System”

As progress was being made in the study of a full-scale revision of the Statistics Act due to the necessity to develop a statistical system that can deal with changes in the times, the “Study Group for Statistical Legal Systems” was established under the Director-General for Policy Planning (Statistical Standards), MIC in November 2004 to study the promotion of the secondary use of statistical data, etc., in relation to the legal



system. The study group had held 15 meetings by May 2006 and the results were issued as the “Report of the Study Group for the Statistical Legal System” in June 2006.

In the report, recommendations, including the following, are made regarding the secondary use of statistical data: (a) in order to simplify the procedures to promote the utilization of statistical data, the criteria for approval that had been provided in the administrative guidelines are required to be stated explicitly in laws and ordinances, and it is also necessary for the assessment for approval, which has been executed solely by the Minister for Internal Affairs and Communications, to be delegated to the bodies that implement the survey; (b) in order to expand the use of statistical data, tailor-made tabulation and anonymized sample data, which are new form of using statistical data that secures confidentiality, needs to be systematically established in the legislation. In addition, it was recommended to stipulate the obligation to appropriately manage questionnaires and apply penalties against users of secondary-use data and contractors of survey operations that divulge or steal confidential information other than the body which implements the survey. The Old Statistics Act also provided a penalty against the divulging of questionnaire information; however, it became important that responsibilities related to confidentiality shall be applied to the private entities due to an increase in the outsourcing of inputting and tabulating questionnaire information to private entities. Also, as peoples’ awareness of personal information has been increasing, it has become necessary to develop provisions that sufficiently cover new forms of data use, such as secondary use, which guarantee the protection of confidentiality and securing the trust of the people.

Additionally, the Old Statistics Act had a stringent provision on the protection of personal information contained in questionnaires, and such protection was not subject to general laws, such as the “Act on the Protection of Personal Information Held by Administrative Organs.” This provision is retained in the revised Statistics Act as well.

(b) Examination by the “Study Group on Promotion of Secondary Use of Statistical Data”

Resulting from the revision of the Statistics Act on May 2007, a new system which allows secondary use of statistical data was established. In order to study the various issues related to the operation of the system, the “Study Group on Promotion of Secondary Use of Statistical Data” was established under the Director-General for Policy Planning (Statistical Standards), MIC in October 2007. The study group had held 7 study meetings by June 2008 and the outcomes were put together as the “Report of the Study Group on Promotion of Secondary Use of Statistical Data” in October 2008.

In the report, it recommended that the aim of secondary use of statistical data needs to be to benefit the public, or to be specific, “when the use is recognized to be beneficial to the development of academic studies” or “when the data is used for educational purposes in lectures or seminars at higher education organizations.” Also, the report mentioned that it shall be required to submit an application for use including the purpose of use, and it suggested procedures for it. Also, it proposed the scope of aggregated tables to be anonymized, the scope of anonymized data to be produced, methods to anonymize data and methods to examine the process for anonymizing data.

## (c) Development of Ordinances

Based on the results of the examination in the Study Group meeting, a Cabinet Order concerning fees for secondary use (the Order for Enforcement of the Statistics Act (October 31, 2008, Cabinet Order No.334)) and an ordinance that provides procedures for secondary use (the Ordinance for Enforcement of the Statistics Act (December, 26, 2008, Ordinance of MIC No.145)) were developed. Also related ministries held the “Working Group on the Promotion of Statistical Data Use” several times and developed guidelines for the application of the system. Prior to the full-scale enforcement of the Statistics Act, the Director-General for Policy Planning (Statistical Standards), MIC, decided on the “Guidelines for the Application of Article 33 of the Statistics Act” (December 24, 2008), “Guidelines for the Production of Statistics by Entrustment” (February 17, 2009) and “Guidelines Concerning the Production and Provision of Anonymized Data” (February 17, 2009).

## (4) Provision of Questionnaire Information under the Current Statistics Act (so-called High-Level Public Use)

Following the full-scale enforcement of the Statistics Act from April 2009, a secondary-use system including the provision of questionnaire information, production of statistics based on entrustment (so-called tailor-made tabulation), and the production and provision of anonymized data has come into effect. In this system, one shall not use questionnaire information for any purpose other than statistical purposes, like the system under the Old Statistics Act. However, on the other hand, secondary use of questionnaire information is allowed for the purpose of benefiting the public.

- The Statistics Act (Act No. 53 of 2007) (Extract)

## (Provision of Questionnaire Information)

Article 33 When persons listed in the following items take the acts specified in the respective items, the head of an administrative organ or an incorporated administrative agency, etc. under Article 25 may provide such persons with questionnaire information pertaining to statistical surveys they have conducted:

- (i) An administrative organ, etc. or a person specified by an Ordinance of the Ministry of Internal Affairs and Communications as deemed to be equivalent to an administrative organ, etc.: the production of statistics, etc. or preparation of a list of names pertaining to surveys for producing statistics;
- (ii) A person who is engaged in production of statistics, etc. that serve public interest which are recognized by an Ordinance of the Ministry of Internal Affairs and Communications as equivalent to the production of statistics, etc. conducted by a person specified in the preceding item: the production of statistics specified by the Ordinance of the Ministry of Internal Affairs and Communications.

The provision of questionnaire information to parties (outsiders) other than administrative organs (known as “high-level public use”) is provided by Article 33 of the Statistics Act (hereinafter referred to as the “Act.”). In the said article, it states that

“When entities listed in the following items take the acts specified in the respective items, the head of an administrative organ or an incorporated administrative agency, etc. under Article 25 may provide such entities with questionnaire information pertaining to statistical surveys they have conducted” in the main paragraph. Then item (i) provides that bodies that implement surveys may provide questionnaire information when “An administrative organ, etc. or an entity specified by an Ordinance of the Ministry of Internal Affairs and Communications as deemed to be equivalent to an administrative organ, etc.” implements “the production of statistics, etc. or preparation of a list of target population for surveys to produce statistics.” Item 2 states that bodies that implement surveys may provide questionnaire information when “An entity engaged in the production of statistics for the public interest which is recognized by an Ordinance of the Ministry of Internal Affairs and Communications as equivalent to the production of statistics, etc. conducted by an entity specified in the preceding item” implements “the production of statistics specified by the Ordinance of the Ministry of Internal Affairs and Communications.” Item 2 is the provision which allows for the provision of questionnaire information to parties other than administrative organs.

- The Ordinance for Enforcement of the Statistics Act (December, 26, 2008, Ordinance of the MIC No.145) (Extract)

(Provision of Questionnaire Information)

Article 9 The production of statistics specified by the Ordinance of the MIC, prescribed in Item 2, Article 33 of the Act, is the production of the following statistics, and necessary measures to manage questionnaire information are taken appropriately.

- (i) Production of statistics pertaining to a research study that an administrative organ, etc. or an entity provided in the preceding article (referred to as a “public organization” in the next item) implements by outsourcing to an outside party, or by working in cooperation with an outside party.
- (ii) Production of statistics pertaining to a research study for which a public organization calls for public participation and decides to support the entire, or part of the cost necessary for implementation.
- (iii) Production of statistics with other special reasons, such as that the head of an administrative organ or the head of a local public entity acknowledges the usefulness of statistics in planning, forming, implementation or evaluation of their policies.

With this provision, the Ordinance of the MIC prescribes that “The production of statistics specified by the Ordinance of the Ministry of Internal Affairs and Communications, prescribed in Item 2, Article 33 (2) of the Act, is the production of the following statistics, and necessary measures to manage questionnaire information are taken appropriately,” and questionnaire information may be provided when (1) “Production of statistics pertaining to a research study that an administrative organ, etc. or an entity provided in the preceding article (referred to as a “public organization” in the next item) implements by outsourcing to an outside party, or by working in cooperation with an outside party...,” (2) “Production of statistics pertaining to a

research study for which a public organization calls for public participation and decides to support all or a part of the cost necessary for implementation,” and (3) “Production of statistics with other special reasons, such as that the head of an administrative organ or the head of a local public entity acknowledges the usefulness of the statistics in planning, designing, implementation or evaluation of their policies.”

This provision establishes a system for high-level public use of questionnaire information that approves of the use of such information when it has a high level of public benefit, taking into account the protection of confidentiality and the ensuring of people’s trust. The questionnaires collected during the statistical survey are to be used primarily for the production of the statistics already planned. However, like the Old Statistics Act, the New Act allows the use of questionnaire information as an exception for research, etc. in which public benefit is recognized and when there are no problems regarding confidentiality protection. The difference between the Old Act and the New Act is that the Old Act required designated statistics to obtain approval from the Minister for Internal affairs and Communication and other statistics needed to require approval from the ministry that implemented the survey, while the New Act clearly specifies that approval needs to be obtained from the body that implements the survey once the criteria is clarified in the law. Moreover, to prevent inconsistency by the Cabinet Office and each ministry, the “Guidelines for Application of Article 33 in the Statistics Act” (See attached) was determined.

## Guidelines for Implementation of Article 33 of the Statistics Act

Enacted December 24, 2008  
 Revised September 29, 2009  
 Revised March 28, 2011  
 Decided by Director-General for Policy Planning (Statistical Standards), MIC

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- No. 14 Report to the Minister for International Affairs and Communications about the Status of Questionnaire Information Provision

### No. 1 Purpose

The purpose of the Guidelines for Implementation of Article 33 of the Statistics Act (hereinafter referred to as “Guidelines.”) is to present administrative guidance on the provision of questionnaire information by the head of an administrative organ or incorporated administrative agencies (hereafter referred to as an “administrative organ, etc.”) based on the Statistics Act (Act No.53 of 2007; hereinafter referred to as the “Act”).

### No. 2 Definitions

#### 1) Questionnaire information

In the Guidelines, “Questionnaire information” refers to information provided in Article 2 (11) of the Act.<sup>(Note1)</sup>

Administrative data provided by another administrative organ does not fall within the scope of the questionnaire information in principle; however, this does not apply when the administrative organ, the provider of the administrative data, permits the provision of the information under Article 33 of the Act.

(Note 1) The term “questionnaire information” as used in this Act refers to information collected through statistical surveys that is recorded in documents, pictures or electromagnetic records (meaning

records made in an electronic form, a magnetic form, or any other form not recognizable to human perception). Article 2, (11), Statistics Act

## 2) Documents

In the Guidelines, “documents” refers to information providing a detailed description of the questionnaire information in an electronic or magnetic form for possible use in the future. For example, a data layout form, information needed to define the data by linking them to a code table, and a program to produce statistical tables by electronic computing processing. This also includes specifications and instructions for the program as well as a summary of the statistical survey.

## 3) Public Organizations

In the Guidelines, “public organizations” refers to the “public organizations” provided in Article 9 (1) of Ordinance for Enforcement of the Statistics Act (December 26, 2008, Ordinance of MIC No.145; hereinafter referred to as the “Ordinance for Enforcement”). Accordingly, “public organizations” are the administrative organs provided in Article 2 (1) of the Act (hereinafter referred to as “administrative organs”), local public entities and other executive agencies, incorporated administrative agencies provided in Article 2 (2) of the Act, and the entities provided in Article 8 of the Ordinance for Enforcement.

## 4) Incorporated Administrative Agencies

In the Guidelines, “incorporated administrative agencies” refers to the corporations provided in Article 8 of the Order for Enforcement of the Statistics Act (Cabinet Order No.334 of 2008).

## 5) Computers

In the Guidelines, “computers” refers to information processing devices, such as servers, PCs, and peripheral devices for input/output, etc.

## 6) Information Systems

In the Guidelines, “information systems” refers to systems pertaining to the implementation of statistical surveys, processing for aggregation or storage of statistical data by computers and the safekeeping or communication of data. It includes terminals not connected to the network, so-called stand-alone PCs.

### No. 3 Development of Manual for Provision of Questionnaire Information Based on Article 33 of the Act

#### 1) Institutional Arrangement within Administrative Organs, etc.

Administrative organs, etc. shall each develop a manual for procedures to provide questionnaire information by consulting with these guidelines, and the procedures based on Article 33 of the Act shall be implemented in accordance with their manuals.

Since it is expected that most of the questionnaire information is provided by copying data into electromagnetic recording media and that little information is provided in hardcopy, these Guidelines specifically indicates examples of provision by copying the

information into electromagnetic recording media. However, when a certain amount of provision by paper copies is expected, the arrangements shall be indicated in detail in the manuals as needed.

From the viewpoint of facilitating an application requesting questionnaire information based on Article 33 of the Act and securing transparency of the decision-making process in administrative organs, etc., administrative organs shall publicly release their manuals via the internet, etc., and engage in the preparation of questionnaire information and necessary documents, including data layout, in accordance with the recommendation in the “Plan for Optimization of Operations and Systems of Statistical Survey Operations” (Decision by Liaison Meeting of Chief Information Officers (CIO) on March 31, 2006) to standardize the wording.

## 2) Institutional Arrangement for Statistical Surveys Co-managed by Multiple Administrative Organs, etc.

Regarding the provision of questionnaire information of statistical surveys which is co-managed by multiple administrative organs, etc., such organs shall determine the arrangement in advance, referring the following:

- i) Appoint contact points to manage the administration for providing questionnaire information collectively. The contact points shall obtain consent to be entrusted with decision making concerning the provision of questionnaire information of co-managed statistical surveys from the Cabinet Office or other relevant ministries, and shall report to the other co-managing ministries when they have provided the information.
- ii) Appoint a contact point to communicate with the applicant. The contact point shall have the preliminary consultations with applicants, accept application documents and forward them to the Cabinet Office or other relevant ministries. Then, the Cabinet Office or each relevant ministry takes the internal procedure for the provision of questionnaire information.

Once such procedure is completed, the contact point has the responsibility to notify applicants of the results of assessment, to provide the questionnaire information, and to accept a disposition report after use, while sharing the necessary documents and communicating with the Cabinet Office or other relevant ministries.

- iii) Questionnaire information will be provided to the applicant when necessary procedures are completed and the Cabinet Office and all relevant ministries agree to provide the questionnaire information.

In this case, the Cabinet Office and relevant ministries need to communicate and coordinate with each other so that the decision on the provision is not incoherent among them.

### No. 4 Outline of the Procedural Arrangement

The Guidelines envisage the procedural arrangement to provide questionnaire information based on Article 33 of the Act.

- (1) Determination of Arrangement for Implementing Article 33 of the Act

- (2) Safekeeping and Archive Management of Questionnaire Information and Accompanying Documents
- (3) Preliminary Consultation
- (4) Acceptance of Application Forms from Applicants
- (5) Assessment by Administrative Organs, etc.
- (6) Notification of the Assessment Results
- (7) Provision of Questionnaire Information and Related Information
- (8) Confirmation of the Disposition of Questionnaire Information after Expiration of the Period of Use
- (9) Report to the Minister for Internal Affairs and Communications about the Status of Questionnaire Information Provision

|                                                                 |
|-----------------------------------------------------------------|
| No. 5 Arrangements for Implementing Article 33 of the Act, etc. |
|-----------------------------------------------------------------|

Since administrative organs, etc. decide themselves to provide questionnaire information based on Article 33 of the Act, they shall make institutional arrangements by designating contact points or coordinating sections (hereinafter, organizations with this function are referred to as “contact points”) to respond to persons/entities who wish to use questionnaire information (hereinafter referred to as “applicants”) in order to make their responses to applicants coherent, especially, in administrative organs that manage many statistical surveys.<sup>(Note 2)</sup>

Additionally, administrative organs shall establish meetings of related officials as the need arises and hold them periodically or as required to ensure coherence with respect to how to address the provision of questionnaire information among the organs.

(Note 2) The head division for management in the statistical section in Cabinet Office and Ministries can be a contact point.

\* If no contact point is appointed, the procedure that these guidelines assign to the point shall be managed by the substantive department responsible for the respective statistical survey except for the work described in No. 6 (below).

|                                                                                                  |
|--------------------------------------------------------------------------------------------------|
| No. 6 Safekeeping and Archive Management of Questionnaire Information and Accompanying Documents |
|--------------------------------------------------------------------------------------------------|

To provide questionnaire information to the applicants based on Article 33 of the Act, the original questionnaire and electronic questionnaire information need to be stored properly with the documents necessary for the use.

Each administrative organ, etc. shall take measures, such as proper storage of questionnaire information and documents after the production of the statistics is complete, based on the “Guidelines for Measures of Questionnaire Information Management and Leakage” (Decision of Director-General for Policy Planning (Statistic Standards Officer), MIC, on February 6, 2009).

In order to facilitate consultation with applicants concerning the provision of questionnaire information and procedures based on Article 33 of the Act, contact points shall make a list containing information on availability, location, and the storage status of



the questionnaire information and related documents as well as the department in charge of substantial assessment for the provision of the information by reference to form No.1.

Additionally, the said list shall be updated once a year or more.

#### No. 7 Preliminary Consultations

When applicants contact administrative organs, etc. based on Article 33 of the Act before the formal application is made, the contact point shall inform them of the purpose of Article 33 of the Act, the restrictions (duty of confidentiality, period of use, available data), the assessment criteria, and duty to appropriately manage questionnaire information. The administrative organs, etc. are encouraged to confirm that applicants don't become confused with related systems (Article 32, 34 and 36 of the Act).

Also, the contact point shall assess as thoroughly as possible whether the application is qualified to be granted access to questionnaire information and discuss any concerns relevant to the procedure as much as possible.

In principle, the consultation is conducted at the contact point, and relevant departments responsible for each statistical survey may be consulted when required.

#### No. 8 Acceptance of Application Forms from Applicants

##### 1) Submission of Application Documents

Application for the provision of questionnaire information shall be made by submitting a letter (hereafter referred to as an "application document") to the head of the relevant administrative organ (minister, etc.), through the contact point in advance. <sup>(Note.3)</sup>

Application documents shall be in a form determined by the head of the relevant administrative organ, etc. by referring to form No.3.

(Note 3) "In advance" means that the application reaches the head one month or more before the proposed starting date of the use.

##### 2) Applicants Falling Under Article 33 (i) and (ii) of the Act

###### (1) An applicant falling under Article 33 (i) of the Act

When an application is based on Article 33 (i) of the Act, the approval to access questionnaire information is issued to "the public organization" but not to "the individual who belongs to the said public organization."

Therefore, this application shall be submitted under the name of the head of an administrative organ, etc., local public entity, other executive organization or incorporated administrative agency, who is required to attach documents demonstrating that the statistical output or the list of the target population for statistical surveys which will be produced making use of the questionnaire information have a clear need for the activities of said organization (not required when an administrative organ, local public entity or other executive organization is the applicant).

Application documents shall be in a form determined by the head of an administrative organ, etc., referring to form No.2.

## (2) An applicant falling under Article 33 (ii) of the Act

A person/entity who falls under Article 33 (ii) of the Act is a person producing statistics stipulated by Article 9 of the Ordinance for Enforcement, which are regarded as equivalent to statistics produced by an applicant falling under Article 33 (i) of the Act; therefore, the applicant is not restricted to an organization, corporation, or individual.

When a corporation or other group makes an application, the representative is the applicant. In that case, the name and the address of the said corporation or other group shall be made clear.

When an individual makes an application, the individual is the applicant. In that case, the individual's date of birth and address shall be made clear. If it is an application by multiple individuals, the representative is the applicant.

All these applicants are requested to attach one of the following documents which indicate that the application falls within Article 9 (1) to (3) of the Ordinance of Enforcement.

- (a) When questionnaire information is used for research study outsourced by a public organization or collaborative research study with a public organization (applications that fall under Article 9 (1) of the Ordinance of Enforcement based on Article 33 (ii) of the Act) or questionnaire information is used for research study subsidized by a public organization (e.g. Ministry of Education, Culture, Sports, Science and Technology Grants-in-Aid for Scientific Research, Health and Labor Sciences Research Grants) (applications that fall under Article 9 (2) of the Ordinance of Enforcement based on Article 33 (ii) of the Act), a copy of a document that indicates the relationship of the outsourcing or aid and materials regarding the research study outlines.
- (b) When the purpose of the utilization of the said questionnaire information is considered effective for planning, developing, executing and evaluating policies implemented by the administrative organ or local public entity (applications that fall under Article 9 (3) of the Ordinance of Enforcement based on Article 33 (ii) of the Act), a document that indicates such recognition by the head of the administrative organ or local public entity.

3) Items to Be Contained in Application Documents

An application document shall state the following items;

- i) Title of the statistical survey
- ii) Purpose of the use of questionnaire information
- iii) Identification of the users
- iv) On-site users
- v) Data requirement
  - (a) Title
  - (b) Year(s)
  - (c) Geographical Area
  - (d) Attribution
- vi) Specification of variables to be accessed and the methodology

- vii) Duration of use
- viii) Location and environment of the access, location of storage, and management method
- ix) Method and expected timing of dissemination
- x) Disposition of the transcribed documents after use

Additionally, details and examples of items shall be provided in the administrative guidelines by referring to the following.

(1) Title of the Statistical Survey

The applicant shall describe the title of the statistical survey from which he/she wants to extract a dataset of the questionnaire information.

<<Sample form>>

- *XX Statistical Survey (Survey for producing the Fundamental Statistical Survey “XX”)*
- *XX Statistical Survey (General Statistical Survey)*

(2) Purpose of the Access to Questionnaire Information

The applicant shall describe the expected outputs by the use of questionnaire information and the purpose of the use.

When the application falls under Article 33 (i) of the Act, the purpose of the use is restricted to production of statistics or preparation of the list of the target population for the production of statistics.

When the application falls under Article 33 (ii) of the Act, the purpose of use is restricted only to the production of statistics.

<<Sample form>>

- *To obtain background information and comprehend the situation for developing the “Master Plan for XX”*
- *To obtain basic data to analyze --- in the “Study of---”, which is funded by a grant-in-aid of the Ministry of XX*
- *To select the target of a survey for XX Fundamental Statistical Survey*
- *To produce basic data for the “Study on -----” by matching the questionnaire information from XX survey by the Ministry of XX and the questionnaire information from XX survey by the Ministry of XX.*
- *To pre-print administrative variables such as addresses and names on the questionnaire by referring to the reported data from previous surveys and thereby reduce the burden on the respondents to XX Statistical Survey.*

(3) Identification of Users

The applicant shall identify all users of the questionnaire information including his/her organization, position and name.

When an individual user cannot be specified due to organizational use, indicate the name of the organization in as much detail as possible.

<<Sample form>>

- *Section Chief XXXX (Name), XX Division, Department of XX, Ministry of XX*
- *Staff in charge of XX, XX Department, XX Prefecture*
- *Professor XXXX (Name), Economics Department, University of XX*
- *Staff in charge of managing computers in XX Division, XX Department of XX Co., Ltd. outsourced with the calculation work from XX*

When applicants fall under either of the following items, they also need to attach the documents specified in each respective item.

- (a) When applying to use questionnaire information based on Article 33 (ii) of the Act, the applicant shall attach the signed declaration to demonstrate a commitment by all users to comply with the terms of use provided by administrative organs, etc.
- (b) When the applicant outsources its work to process questionnaire information to a person other than officials of a public organization based on Article 33 of the Act, the applicant shall attach a copy of the contract documents as well as a copy of the memorandum with the person to protect the confidentiality of questionnaire information, if such memorandum exists.

If copies of the contract or memorandum cannot be prepared because of such reasons as the contract has not been exchanged yet, documents that the applicant prepared based on form No. 4 can be deemed acceptable as a substitute for the contract or memorandum.

When applicants outsource the work dealing with questionnaire information, they shall take appropriate measures by stating the following items clearly on the contract documents or memorandum based on the “Guidelines Concerning Private Entrustment of Statistical Surveys” (Agreement at a conference of directors for the statistics management as of March 31, 2005) to protect confidentiality.

- Duty of care of prudent manager
- Duty of confidentiality
- Duty of safekeeping of the questionnaire information
- Prohibition of transcription, lending, and provision of questionnaire information
- Disposition of intermediate output, such as media that were derived from the processing of the questionnaire information and have become unnecessary
- Prohibition of re-outsourcing
- Monitoring questionnaire information management status
- Reporting of accident or disaster occurrence
- Cancellation of the contract in case of a breach, etc.

#### (4) On-site Users

The applicants shall state that the mode of access is on-site when they intend to access questionnaire information stored at a facility or on devices that administrative organs, etc. designate (hereinafter referred to as “on-site access”).

Designation of facility and devices shall be in line with an information security policy, which shall be developed based on the “Standards for Information Security Measures for the Central Government Computer System” (Information Security Policy Council) (hereinafter referred to as “information security policy”).

- The system which holds the data shall be kept for processing and storage in a facility that is physically and technologically secured. The data shall be protected under a certain rule by managers for managing facilities/systems and for supervising users.
- Managers for managing facilities/systems and for supervising users shall take measures, such as checking the work of the user, checking the identity of the user at the entrance, disconnecting from the outside network when users access questionnaire information, and preventing illegal data transmission outside the access facilities.

#### (5) Data Requirement

##### (i) Title

State the titles of the questionnaires which contains questionnaire information that the applicant wishes to access.

If there are many of such titles, number them or catalog them by organizing them in the simple manners shown below in this item and items (ii) to (iv).

<<Sample form>>

- *XX questionnaire (A and B)*
- *(a) XX questionnaire (for annual survey)*  
*(b) XX questionnaire (for monthly survey)*  
*(c) XX questionnaire (for framing survey)*

##### (ii) Year(s)

Provide the years of the questionnaire information described in (i).

If the data are different by year, mention that fact clearly.

<<Sample form>>

- *2002 and 2003*
- *Every month from April 2001 to December 2001*
- *2002 (for questionnaires XX, YY, ZZ) and 2003 (for questionnaire XX only)*

##### (iii) Geographical Area

The applicant shall specify the geographical area of the data he/she wishes to access.

When there are multiple users in an application and the area that each user intends to use are different, mention that fact here.

If there are multiple concepts regarding area attributes, mention them separately.

<<Sample>>

- *Nationwide*
- *XX prefecture*
- *User XX will use the nationwide data. User YY is limited to ZZ prefecture.*

##### (iv) Attribution

The applicant shall specify the attribution of the questionnaire information, otherwise it is considered that the applicant will use the questionnaire information regardless of attribution.

<<Sample>>

- *Establishments with 30 or more employed persons*
- *Corporations with a capital of 10 million yen or more.*

#### (6) Specification of Variables to be Accessed and the Methodology

##### (i) Specification of variables

The written application form shall describe all of the variables of the questionnaire information to be required. If there are many variables, the variables shall be clarified with headings or using tables to enable smooth review and precise extraction of items.

This section shall also state the variables (e.g. weight) that administrative organs, etc. produced secondarily by processing the questionnaire information, where needed.

If the variables are different depending on the year, state them clearly.

Variables concerning names, addresses, and locations of respondents are not provided in principle, but if these are to be used for the “preparation of a list of the target population pertaining to the survey to produce statistics” provided in No. 9-3-(1) (a) (iii), the reason for the use shall be stated.

<<Sample>>

- *Prefecture code number, business serial number, capital, output*
- *Name of the establishment, location, number of employed persons, capital amount,*  
*(The underlined data are used as a list of the target population and preprinted on the questionnaire for XX survey.)*

##### (ii) Methodology

This section shall describe the methodology to be used specifically on who, where, in what kind of environment, and how to use the questionnaire information. When users are different depending on the information to be used, clearly state such fact also.

The methodology shall also indicate clearly whether the method to access the questionnaire information is browsing, copying or aggregating. When the data is copied, attach a template of the copy.

In principle, in cases where the user produces statistics or conducts analytical study, attach all aggregation tabular forms or analytical output forms in electronic form.

When it is difficult to use an analytical technique to make an analytical output form, the applicant may state the concrete variables used in the said analysis, outputting statistical values and analytical methods to be applied after obtaining approval from the administrative organ, etc.

Moreover, when the applicant accesses the information by on-site use, a research plan shall be attached with a core set of aggregation tabular forms or analytical output forms made by computer.

<<Sample>>

- *XX Staff, XX Division, XX Department, XX Prefecture conduct aggregation with the provided CD-R using a PC physically detached from the outside network in the division. The aggregation form is as shown in the attached sheet.*
- *Professor XX and assistant professor XX, XX University will conduct an analysis of XX using the questionnaire information (format shown in Attachment 1) at XX (on-site facility) designated by XX Department, XX Bureau, Ministry of XX. The research plan is shown in Attachment 2, and the main aggregation format and analytical output is shown in Attachment 3.*
- *Professor XX and assistant professor XX, XX University will transcribe the questionnaire information by hand-writing onto paper. The format of the transcription is shown in Attachment 1. The content of the transcription will be input into the spreadsheet software at professor XX's research office in XX University and analyzed statistically. The analytical output format is shown in Attachment 2.*

#### (7) Duration of Use

Provide the start point and end point of the duration of the use. The end point shall be a specific date.

The duration of use shall be the minimum length for the use. However, if the duration of use is over a year for a rational reason judging from the purpose of the use, it may be set for over a year by a decision of the administrative organ, etc.

If the applicant intends to use the questionnaire information over multiple years of the ongoing survey in the future within three years, the applicant may claim the period of use for each questionnaire information. In this case, the period of use shall be a year for each use of questionnaire information, and when the period of use is over a year for a rational reason judging from the purpose of the use, it may be set for over a year for each use of the information.

<<Sample>>

- *From July 1 to November 30, 20YY*
- *From the day the information is provided to M/D/Y*

#### (8) Location and Environment of the Access, Location of Safekeeping and Management Method

Specify in detail the location and environment in which to access questionnaire information as well as the location for its safekeeping and management. When the work of data aggregation is outsourced to a private company, the applicant describes the place of the use (address), the environment of use, the location of storage, and the management method at the company.

This section may be omitted in the case of on-site use.

<<Sample>>

*Access to the questionnaire information is restricted to the lockable computer room of XX Division, XX Bureau, Ministry of XX, and staff members check each other's identities when they enter the room. The questionnaire information is accessed only in the independent LAN environment in the computer room, with the server detached from the outside network, and with X (number) client computers (all fixed by linking with wires). The questionnaire information and products derived from the process of the data processing are stored in the external drive and none of the information is stored in the internal storage in the server and client. Additionally, when the information is not being used, the drive is removed from the said server or client and stored in the lockable cabinet in the computer room. The staff member responsible for storage is XX, Section Chief of the Computer Room.*

*(As necessary)*

*The process of aggregation will be outsourced to XX Co. Ltd. and the data is used and stored at the address as follows: (address here)*

#### (9) Methods and Expected Timing of Dissemination

The applicant shall state whether the output of the statistics or the research study making use of the questionnaire information will be disseminated or not.

Upon disseminating the output, the applicant shall identify which channels and when to publicize the results as well as how to state the source of the data by specifying the name of questionnaire information and data-providing organs in the result. If the applicant will not publish the results, the reason shall be stated clearly.

Also, the applicant shall state that he/she will give consideration to the confidentiality of individual statistical units.

<<Sample form>>

- *The aggregated dataset will be publicly released in a printed publication (name of the title) by the end of March, 20XX. If a count of establishments in the results is 1 or 2, the name(s) of the establishment will be suppressed. Even if it refers to more than 3 observations, the result will be released in a way that will not identify individual establishments. Additionally, the data source for the results will be indicated by referring to "Statistical Survey XX by Ministry of XX."*
- *The questionnaire information is used only for preparing a list of the target population of Statistical Survey XX, and the list will not be published.*
- *The questionnaire information is used to compile basic information for developing the Master Plan for XX in the YY Council. The results of analysis will be submitted to the council. The data source will be indicated by referring to "Statistical Survey XX by Ministry of XX."*
- *The output of analysis making use of questionnaire information will be released in the XX White Paper. Also, the data source will be indicated by referring to "Statistical Survey XX by Ministry of XX."*



## (10) Disposition of the Transcribed Documents after Use

The applicant shall describe the method of disposition (destruction by fire, deletion, return, dissolution or shredding (hereafter referred to as “disposal”) after the storage.

When aggregated data tables prepared from questionnaire information allows the identification of an individual, the applicant shall inform how the tables will be disposed as well.

<<Sample form>>

- *Transcribed documents will only be used for an original purpose, and they will be shredded as soon as the use is over.*  
*Data tables will not be used for any purpose other than the said purpose and will be shredded as soon as the use is over.*
- *After the output making use of questionnaire information is publicized, the data tables will be stored at Statistics Division, General Affairs Department, XX Prefecture (the person in charge: Director for Statistics Division) for one month. Subsequently, the tables will be destroyed by fire immediately.*

## (11) Copyright

The applicants shall state that he/she will not claim his/her copyright in regards to the aggregation results made from questionnaire information.

|                                                |
|------------------------------------------------|
| No. 9 Assessment by Administrative Organ, etc. |
|------------------------------------------------|

1) Department in charge of the assessment

In principle, the department that conducts assessment of applications shall be the substantive department responsible for the relevant statistical survey, and the formality of application shall be assessed by the contact point. It doesn't necessarily deny the contact organization conducting substantial assessment depending on the management practice of the organization.

2) Acceptance of the application and assessment

An application is first assessed by the contact point that receives it, taking into account its formality and keeping a hardcopy of the submitted application form. The substantial assessment will be conducted by the department in charge from among the list of departments managing questionnaire information made in accordance with No. 6 above. In order to ensure coherence among assessments, departments in charge are encouraged to develop an assessment report based on form No. 5.

3) Basic criteria for assessment

Basic criteria for granting access to questionnaire information are that an applicant fulfills Article 33 of the Act, fully protects the confidentiality of individual respondents or business entities and adheres to Article 42 and 43 of the Act <sup>(Note4)</sup>.

For detailed assessment, the administrative organs, etc. shall develop assessment criteria referring to the following basic criteria, review each item and make the final decision on providing questionnaire information to the applicant based on the criteria.

## (Note 4) Statistics Act

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Article 42 Any person listed in the following items shall take necessary measures for managing the information specified in the respective items in an appropriate manner:</p> <ul style="list-style-type: none"> <li>(i) A person who has received questionnaire information pursuant to the provision of Article 33: the questionnaire information;</li> <li>(ii) A person who has received anonymized data pursuant to the provision of Article 36: the anonymized data.</li> </ul> <p>(2) The provision of the preceding paragraph shall apply mutatis mutandis to a person who has accepted an entrustment of the business concerning the handling of information specified in each item of the same paragraph from a person listed in the respective items or a person who has accepted an entrustment of other business pertaining to the entrustment.</p> <p>Article 43 Any person listed in the following items shall not divulge any secret of individuals or juridical persons, or other organizations which he/she has learned with regard to the business specified in the respective items:</p> <ul style="list-style-type: none"> <li>(i) A person listed in paragraph (1), item (i) of the preceding Article who is or was engaged in the handling of questionnaire information specified in the same item: the business to handle the questionnaire information;</li> <li>(ii) A person who has accepted an entrustment of the business concerning the handling of questionnaire information specified in paragraph (1), item (i) of the preceding Article from a person specified in the same item, or a person who is or was engaged in other business pertaining to the entrustment: the business pertaining to the entrustment.</li> </ul> <p>(2) A person who has received questionnaire information pursuant to the provision of Article 33, or a person who has received anonymized data pursuant to the provision of Article 36, a person who has accepted an entrustment of the business concerning the handling of the questionnaire information or the anonymized data from such persons, or a person who is or was engaged in other business pertaining to the entrustment shall not utilize himself/herself or provide the questionnaire information or the anonymized data for purposes other than those for having received the provision thereof.</p> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## (1) Purpose of access to questionnaire information

## (a) An application falling under Article 33 (i) of the Act

The purpose of use is required to be one of the following. Additionally, the application shall be made under the name of the head of an administrative organ, a local public entity, other executive organization or incorporated administrative agency with a document indicating why the outputs making use of questionnaire information are essential for the production of statistics and that the use is not individual use but is considered necessary for the organization.

## (i) For the production of statistics

“Production of statistics” means that the intended output making use of questionnaire information is new statistics other than those originally planned to be produced.

When unquantifiable variables (name of the corporation, etc.) are used to connect multiple questionnaire information to produce statistics as the final output, the use is included in the purpose of “production of statistics.”<sup>(Note 5)</sup>

Also, regarding the pre-printing of administrative variables on the questionnaire by referring to the reported questionnaire information from previous surveys, this use is included in the purpose of “production of statistics.”

(Note 5) For example, in order to connect the “name of the corporation” and “sales amount” in questionnaire information A with “name of the corporation” and “itemized research expenses” in questionnaire information B, when the user matches the data of both questionnaires using the common item of the two, “name of the corporation” as a key and makes statistics concerning the “sales amount” and “itemized research expenses”, the “name of the corporation” is not distinguished individually and is not the subject of aggregation while statistics related to the “sales amount” and “itemized research expenses” are made; therefore, this use is included in “production of statistics.”

## (ii) For statistical research

“Statistical research” means research which applies statistical methodologies involving the use of questionnaire information. For example, research that analyzes the population trends, assesses the statistical error, and develops proposals to improve statistical survey planning, as well as research to derive a regression equation to obtain population trends through regression analysis,<sup>(Note.6)</sup> fall under this category.

Individual case studies that focus on the individual subjects are not included.

(Note 6) “Regression analysis” is the analysis of the relationship of two variables, when one variable is considered to be the determinant or explanatory factor of another, such as income and expense in family finance, estimating a regression equation by least squares. When it seems that there are 2 or more variables that are considered as explanatory factors and the relationship of 3 or more are analyzed with the same technique, it is called multiple regression analysis. Selecting and sorting variables that are considered as explanatory variables and the regression equation formula are a part of regression analysis or multiple regression analysis.

## (iii) For preparing lists of the target population to produce statistics

It is required that the list is used only for a “survey to produce statistics” regardless of the form of lists such as documents, electromagnetic records, or other media.

In the “survey to produce statistics,” the “statistical survey” provided in Article 2 (5) of the Act, as well as surveys that request individuals, corporations or other groups to report their attitudes (“attitude surveys”/“opinion surveys”) conducted to produce statistics are included.

Additionally, information of the list which is not used to produce statistics but is pre-printed on questionnaires (e.g. address information, names of the corporations and their addresses) only, is included in this purpose.

It is not allowed to prepare lists to be used for any purpose other than for a “survey to produce statistics.”

## (b) In case the application falls under Article 33 (ii) of the Act

The location for using questionnaire information shall be in Japan and the purpose of use shall be either (a) (i) or (a) (ii) above. Additionally, the application shall demonstrate that the purpose of the access to questionnaire information falls under any of Article 9 (1) to (3) of the Ordinance for Enforcement by attaching the following:

## (i) When the purpose falls under Article 9 (1) or (2) of the Ordinance for Enforcement:

A copy of a document that proves that the use of the questionnaire information is related to research entrusted by the government, a joint study with the government or a project with a subsidy, and a document outlining the research and study.

## (ii) When the purpose falls under Article 9 (3) of the Ordinance for Enforcement:

An official document issued by a head of an administrative organization, such as a minister, governor, or mayors, to demonstrate the relevance of the statistics produced making use of questionnaire information for policy planning,

implementation and evaluation including administrative effects, such as promotion and adjustment of their policies.

It shall be noted that a person who falls under Article 33 (ii) of the Act is not allowed to produce a list for a survey other than one that produces statistics.

(2) Identification of users

Access to questionnaire information shall be granted to the minimum number of users necessary for the work.

In principle, students (including graduate students) are not approved as users of questionnaire information. However, a student is to be granted access to questionnaire information if he/she is formally committed as a researcher funded by a Grant-in-Aid for Scientific Research of Ministry of Education, Culture, Sports, Science and Technology.

To request access to questionnaire information under Article 33 (ii) of the Act, the applicant shall submit the declaration provided in No.8-3-(3)-(a) above. When the work of aggregation of the questionnaire information is outsourced, the document provided in No.8-3- (3)-(b) above needs to be attached.

(3) Data requirement

The years, geographical areas, attributions of the questionnaire information that the applicant requests to access shall be in the minimum range necessary for the purposes of the use of the data.

(4) Specification of Variables to be accessed and the methodology

(a) The case of access by methods other than on-site use

(i) If the purpose to access the questionnaire information is other than preparing lists of the target population or pre-printing

The level of data required to access shall be the minimal quantity necessary for the stated statistical purpose and for producing aggregation tables or analysis tables. Also, the format of the aggregation table data shall be one that cannot be derived using aggregation data which have been already released.

In principle, individual names and locations of respondents will not be provided; however, these variables may be provided when (a) public organizations use the information to prepare lists of the target population to produce statistics, or (b) users need to link multiple questionnaire information with other administrative records and information from the private sector by matching variables of individual names and locations of respondents to produce statistics and the users will destroy the dataset after completion of the process.

(ii) If the purpose to access the questionnaire information is preparing a list of the target population and obtaining variables to pre-print on questionnaires.

The level of data required to access shall be the minimum quantity necessary for preparing lists of the target population or getting variables to pre-print on a questionnaire, and nothing unnecessary is included.

## (b) The case of access by on-site use

Research proposals need to be specific and questionnaire information required to be accessed must not include anything that is obviously unnecessary in the context of the purpose of statistical use and the research proposal.

In this case, the users may be granted access to variables other than those which were already declared in the application to access in order to compile aggregation tables.

## (5) Duration of use

Access to the questionnaire information may be granted for the period proportionate to the research period, etc. (the shorter the better).

## (6) Location and environment of the access, location of storage, and the management method (except for on-site use)

Applicants have to meet the following criteria:

- (i) The access point of the questionnaire information must be located only in Japan.
- (ii) The access point must be limited to locked rooms preventing the transmission of the questionnaire information outside the access facilities. Also, computer systems on which the questionnaire information are stored must be safeguarded in place to ensure security of data, such as anchored with wire, to prevent being carried out illegally.  
The access facilities are encouraged to be in one place, not dispersed. If they are not, a rational reason shall be stated.
- (iii) The questionnaire information must be stored in a limited medium and be safely kept in a locked cabinet. It is desirable for the data to be kept and accessed in the same place. If it is not, an adequate reason shall be stated.
- (iv) Access to the facilities shall be limited to persons in Japan. Otherwise, the facilities shall check the identities of the persons entering.
- (v) The access facilities shall prevent the users from connecting to external networks, including the Internet.
- (vi) The IT systems on which questionnaire information are stored shall have solutions applied to prevent computer viruses, security holes, fraudulent identification, and fraudulent operations.
- (vii) The entity hosting questionnaire information files shall not leave any analysis results containing the questionnaire information or intermediate outputs in computers that may be connected to outside networks, or a computer that another person may use. Also, the questionnaire information and the intermediate outputs must be stored in a protected IT environment to which access is restricted to the authorized person only.
- (viii) When a public organization accesses an original questionnaire, it has to access the questionnaire in a public business office and must not transmit the questionnaire outside the office.
- (ix) The entity hosting questionnaire information must ensure appropriate data management to prevent any incident of breach of confidentiality of the

intermediate outputs and disposal, including newly derived information, in addition to questionnaire information and destroy the dataset after use.

(7) Method and expected timing of dissemination of the results of statistical analysis

None of the data, either copied or borrowed may be disseminated without data processing.

When the user does not disseminate the results, he/she must provide justification.

The disseminated results of aggregated data need to be modified for confidentiality to ensure identification and estimation of individual statistical units is not possible.

The user shall state the source of the data by referring to data providing administrative organs, etc. and the specific name of questionnaire information, for example: *These are the results we analyzed independently based on questionnaire information from XX Ministry, XX survey.*

(8) Disposition of the questionnaire information after use

After completing the use, the user must destroy any copies and all intermediate outputs (except ones that the administrative organs agree not to dispose under No.12-2)).

(9) Copyright

The user needs to state that he/she will not claim his/her copyright in regards to the aggregation results made from questionnaire information in the application.

#### 4) Modification of the application

(1) In the case where the application is still valid after modification

A new application has to be submitted incorporating the modifications. If mere formalities such as the name of the organization or the job title of the user are changed and/or the user is replaced due to a personnel reshuffle, the user shall inform the administrative organs, etc. of these changes with an appropriate method, such as by telephone or e-mail (no need to submit a new application).

Administrative organs, etc. shall manage this information appropriately.

(2) In the case where the application is invalid after modification

When a modification fails to meet the criteria under Article 9 of the Ordinance for Enforcement (e.g. the research is no longer subject to Grants-in-Aid for Scientific Research by the Ministry of Education, Culture, Sports, Science and Technology, etc.), the user shall promptly take the steps provided in No.12, 2) below.

If an output is already available, the user shall take the steps provided in No.12, 3) below as well.

|                                           |
|-------------------------------------------|
| No. 10 Notification of Assessment Results |
|-------------------------------------------|

The administrative organs shall develop an outline of procedures by referring to the items below, and notify the applicants of the result of assessment.

1) Assessment period

Administrative organs, etc. shall provide notification of the result of its decisions within 14 days, in principle, from the time the application is accepted.

2) Procedures after assessment

## (1) Notification of approval and provision of questionnaire information

The administrative organs, etc. will notify the applicant of their approval for providing questionnaire information by a letter. The form of the letter shall be decided by referring to Form No. 6. If modification has to be made to the information provided in the application and the administrative organ, etc. accepts it with some conditions, notification of those conditions must be made in the letter also.

## (2) Notification of non-approval

The administrative organ, etc. will notify the applicant of non-approval for providing questionnaire information by a letter. The form of the letter shall be decided by referring to Form No. 7.

## No. 11 Provision of Questionnaire Information and Related Information

The administrative organ, etc. will provide the applicant with the questionnaire information recorded in electromagnetic media as well as other related information with 14 days after the notification of approval.

The method of provision is handing to the applicant directly; otherwise, the administrative organ, etc. can provide the questionnaire information through registered mail if the applicant desires and sends necessary stamps to the organ.

To maintain the security of questionnaire information, the data copied in electromagnetic media are encrypted and password-protected before being sent out to users.

The questionnaire information must be recorded in newly purchased electromagnetic media and must not be provided via the Internet, in order to prevent any confusion with other data and virus infections.

Additionally, the administrative organs, etc. shall inform the users of the obligation for appropriate data management under Article 42 (i) of the Act, and the confidentiality obligation under Article 43 of the Act, and the sanction under Article 57 (1) (iii) of the Act.

## No. 12 Monitoring During the Period of Access and Confirmation of Disposition After Use

1) Monitoring during the period of access

The officer of the administrative organ, etc. is encouraged to visit the access facility, particularly in cases of access other than on-site access, and monitor the facility to secure confidentiality.

If the user wishes to take the results out of the designated area, the administrative organs, etc. need to confirm that the data have been modified to protect the confidentiality of respondents. If the data have not been modified, the users are encouraged to refrain from taking it out.

## 2) After completing the use

The user is encouraged to destroy, without being restored easily, any dataset, documents and intermediate outputs which have not been declared as possible output in the application. The printed copies must be destroyed by burning and the electronic copies must be destroyed by removing them quickly from the electromagnetic media or by crushing the media itself.

The user is required to report to the administrative organ, etc. after the completion of destruction. The form of the report needs to be designated by the administrative organ, etc. referring to Form No.6 in Attachment 1 (the contact point will receive the report).

The administrative organ, etc. is also encouraged to monitor the user to ensure the data are fully destroyed after their use.

A user who wishes to use the questionnaire information again in the future for a reasonable purpose such as making data-matching more efficient to identify respondents' names, is allowed to keep the questionnaire information under the written approval by the administrative organ, etc. In that case, all the information which the user can retain is a key code for matching to identify questionnaire information (serial numbers provided by the organ). The users shall store and access the questionnaire information under environments in line with the provisions of No. 9, 3), (6) above.

## 3) Report of the outcome

The administrative organ, etc. is encouraged to require the user in advance to submit a report on the outcome after the use is completed.

This report shall be in a form designated by the administrative organ, etc. by referring to Form No.6 in Attachment 2.

### No. 13 Countermeasures against Management of Improper Use of Questionnaire Information

#### 1) Sanction

The user must comply with the obligation for appropriate management of questionnaire information and the obligation of confidentiality in accordance with Article 42 (i) and Article 43 (ii) of the Act, and in the event of breach, the user is sanctioned in accordance with Article 57 (1) (iii) of the Act.

Similarly in the entrustment of statistical processing based on Article 34 of the Act and in the production/provision of anonymized data based on Article 35 and 36 of the Act, the breach of any of the provisions in the Act may result in a sanction, which may include terminating access to data taken.

The administrative organs, etc. on providing questionnaire information also have to fully ensure compliance with the obligations stipulated in legislation. In the event of non-compliance with Article 33 of the Act, the sanctions described in the Act as well as sanctions derived from operational procedures <sup>(Note 7)</sup> stipulated in Article 34 and 36 of the Act may be taken.

(Note 7) Simultaneous all-round suspension of service of secondary use of the questionnaire information based on Articles 33, 34, and 36 of the Act, at all ministries for a certain period of time.



## 2) Relation with the Whistleblower Protection Act

As the Whistleblower Protection Act (Law No.122 of 2004) applies to the Statistics Act, a worker who reports a violation of the Statistics Act is protected from disadvantageous treatment such as dismissal.

The administrative organ has to take necessary measures to develop internal regulations and designate a contact point for whistleblowers in accordance with the Whistleblower Protection Act and other related guidelines.

|                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------------------------------------|
| <h3>No. 14 Report to the Minister for Internal Affairs and Communications about the Status of Questionnaire Information Provision</h3> |
|----------------------------------------------------------------------------------------------------------------------------------------|

The administrative organ, etc. must report annually to the Minister for Internal Affairs and Communications about the number of applications, approvals and non-approvals for the year in accordance with Article 55 of the Act.

### Supplementary Provision

1. The guidelines revised on March 28, 2011, is in effect from June 1, 2011.
2. The “Administrative Guidelines Concerning Application for Approval to Use Questionnaire of Designated Statistics Survey for Other Purposes” decision by Director-General for Policy Planning (Statistical Standards), MIC

(Note) Appendices (forms, etc.) are omitted from this report.

For the complete version with appendices, go to the Ministry of Internal Affairs and Communication (MIC) website.

(MIC website: <http://www.stat.go.jp/indez/seido/houki.htm>)

\* The version on the website is in Japanese only.



# **V Secondary Use System for Statistical Data in Japan (2)**

(Tailor-made tabulation and anonymized data handling)



Due to the full enforcement of the Statistics Act since April 2009, the secondary use system, such as questionnaire information provision, production of statistics by entrustment (known as tailor-made tabulation), and anonymized data production/provision was launched. This system includes 3 main forms.

(a) The provision of questionnaire information (known as High Level Public Use)

\* Please refer to the last chapter (4) (Secondary Use System for Statistical Data in Japan (1) “Background and Access to Questionnaire Information”)

(b) The production of statistics by entrustment (tailor-made tabulation), etc.

- The Statistics Act (Act No. 53 of 2007) (Extract)

(Production of Statistics, etc. by Entrustment)

Article 34 The head of an administrative organ or an incorporated administrative agency, etc. under Article 25 may conduct production of statistics, etc. by utilizing questionnaire information pertaining to statistical surveys conducted by himself/herself in response to the request from the citizens, pursuant to the provision of an Ordinance of the Ministry of Internal Affairs and Communications, within limits that would not cause any hindrance to the performance of his/her business, when finding that it would contribute to the development of academic researches or in other cases specified by an Ordinance of the Ministry of Internal Affairs and Communications.

The tailor-made tabulation is provided as “the production of statistics by entrustment, etc.” in Article 34 of the Act. This provision was established for promotion of the effective use of statistical data.

Specifically, the organization that implemented the survey produces statistics according to requests from the general public and only provides results to the people who asked for them. With this system, the production of statistics using questionnaire information is done by the organization that implemented the survey and the requester does not use the questionnaire information; therefore, the stringent requirement provided in Article 33 (ii) of the Act might be considered unnecessary.

However, even with this system, if it provides for the organization complying with any request regardless of the purpose, the individuals or the entities in the survey could be identified depending on how questionnaire information is used in the tabulation, so that it may cause insecurity among the people. In addition, the organization needs to conduct individual operations for each request in addition to their primary operations; therefore administrative resources are consumed in order to fulfill those requests. Moreover, it seems that information collected to make official statistics is public property and should not be used for private purposes. Therefore, Article 34 of the Act provides that such questionnaires shall be “within limits that would not cause any hindrance to the performance of his/her business”, and it may accept the entrustment only “when finding that it would contribute to the development of academic research” or “when finding that it would contribute to the development of higher education” and when fulfilling certain

requirements (which are described in Article 10 of the Ordinance for Enforcement of the Statistics Act).

- Ordinance for Enforcement of the Statistics Act (Ordinance of the Ministry of Internal Affairs and Communications No.145 of 2008) (Extract)

(Cases where statistics can be produced by entrustment)

Article 10 The cases provided by the Ordinance of the Ministry of Internal Affairs and Communications based on Article 34 of the Act, are as follows:

- (i) When finding that it would contribute to the development of academic research and fulfilling all of the following requirements:
  - (a) The direct purpose is to use the statistical findings for academic research.
  - (b) The result of the academic research utilizing the statistical findings is publicized.
- (ii) When finding that it would contribute to the development of higher education and fulfilling all of the following requirements:
  - (a) The direct purpose is to use the statistical findings for educational purposes at a university or college of technology provided in Article 1 of the School Education Act (Law No.26 of 1947).
  - (b) The content of the education utilizing the statistical findings is publicized.

Consequently, regarding tailor-made tabulation, the scope of potential use is greater than those of purposes originally intended, and private entities can use the system as long as they fulfill the requirements. The requesting procedures, etc. are provided in the “Guidelines for Production of Statistics by Entrustment” (See Attached).

(c) Production and Provision of Anonymized Data

- The Statistics Act (Act No. 53 of 2007) (Extract)

(Production of Anonymized Data)

Article 35 The head of an administrative organ or an incorporated administrative agency, etc. under Article 25 may produce anonymized data by processing questionnaire information pertaining to statistical surveys they have conducted.

- (2) The head of an administrative organ shall, when intending to produce anonymized data pertaining to fundamental statistical surveys pursuant to the provision of the preceding paragraph, hear the opinions of the Statistics Commission in advance.

(Provision of Anonymized Data)

Article 36 The head of an administrative organ or an incorporated administrative agency, etc. under Article 25 may provide anonymized data produced pursuant to the provision of Article 35, paragraph (1) upon a request from the citizens, pursuant to the provision of an Ordinance of the Ministry of Internal Affairs and Communications, when finding that it would contribute to the development of academic researches or in

other cases specified by an Ordinance of the Ministry of Internal Affairs and Communications.

Production and provision of anonymized data is provided in Article 35 and 36 of the Act. These provisions were also established for promotion of effective use of statistical data like Article 34 of the Act.

As stated before, Article 34 of the Act regulates production and provision of statistics by entrustment as one of the new forms of questionnaire information use. However, this entrustment requires the organization which implemented the survey to perform separate work. As such, the result may not become available immediately, and production is only implemented within the range of the content of entrustment. Therefore, when the research is implemented by producing various statistics using trial-and-error methods, it is not effective in terms of the timeliness and flexibility of requesting procedures. On the other hand, provision of the information in individual questionnaires itself is strictly restricted from the viewpoint of confidentiality.

Accordingly, a new regulation concerning the provision of anonymized data, which is processed to make it impossible to identify individuals and juridical persons, has been established.

Additionally, restrictions on the purpose of use are set for provision of anonymized data, just like tailor-made tabulation. Although anonymized data is processed to protect confidentiality, individual's bare/raw responses related to personal life and true facts of the entity, etc. are included in the data, and it may make people feel insecure about statistical surveys, wondering whether private information may be disclosed or that their responses may be used against their wishes. Therefore, regarding anonymized data, same kind of consideration for keeping confidentiality needs to be given to the information in questionnaires. In Article 36 of the Act, the scope of requests possible to allow is restricted to the case, where a certain level of public benefit is expected, like the production of statistics by entrustment provided in Article 34 of the Act requires that it "contributes to the development of academic research", "contributes to the development of higher education" or "contributes to the increase of our nation's profit in international society and the healthy development of international economic society", and fulfills specific requirements (which are described in Article 15 of the Ordinance for Enforcement of the Statistics Act).

- Ordinance for Enforcement of the Statistics Act (Ordinance of the Ministry of Internal Affairs and Communications No.145 of 2008) (Extract)

(Cases where anonymized statistical data can be provided)

Article 15: The cases provided by the Ordinance of the Ministry of Internal Affairs and Communications based on Article 36 of the Act are as follows:

- (i) When it contributes to the development of academic research and fulfills all the following requirements.
  - (a) The anonymized data is used only for the production of statistics.
  - (b) The direct purpose is to use the anonymized data for academic research.
  - (c) The result of academic research utilizing anonymized data is publicized.
  - (d) Measures to properly manage anonymized data are taken.
- (ii) When it contributes to the development of higher education and fulfills all the following requirements:
  - (a) It falls under (a) and (d) in the preceding (i).
  - (b) The direct purpose is to use anonymized data for educational purposes at a university or college of technology provided in Article 1 of the School Education Act
  - (c) The content of the education utilizing the anonymized data is publicized.
- (iii) When it contributes to the increase of our nation's profit in international society, the healthy development of international economic society, and fulfills all the following requirements:
  - (a) Anonymized data is used only for the production of the statistics necessary to perform international comparison.
  - (b) Submission of the request (meaning the party that requests for provision of anonymized data to the head of the administrative organ or incorporated administrative agency. The same applies to the rest of this item and from Article 11 to 13 applying in Article 16) from an international organization that Japan is a member, or a party that falls under all the following requirements:
    - (1) The objective of the production of the statistics provided in item (a) is to provide statistics or results of statistical research necessary to conduct international comparison to public bodies, foreign governments (international organizations, foreign governments or other equivalent bodies. The same shall apply hereinafter.), or provide them to those who conduct academic research or higher education by using these statistics or results (hereinafter referred to as "provision of international comparative statistics").
    - (2) When the organization has been or will certainly be provided questionnaire information (which is limited to the same kinds of information required and those possible to compare with the anonymized data provided) necessary to produce statistics provided in item (a) from two or more foreign governments, etc. and when the organization has been or will certainly be receiving aid, such as dispatch of staff, funding or offers for use of buildings and other facilities, from public bodies or one or more foreign governments.
  - (c) Each item, which is determined depending on the following classification of the applicant requesting for provision, shall be publicized:
    - (1) International Organization that Japan is a member of: Result of the International comparison implemented with the anonymized data
    - (2) International Organization that Japan is not a member of: Status on the provision of international comparative statistics, etc. produced using the anonymized data
  - (d) It fulfills the requirement of (d) in item (i).

The procedures for request are provided in the "Guidelines for Production and Provision of Anonymized Data" (see attached).



## Guidelines for Production of Statistics by Entrustment (Tailor-Made Tabulation)

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 Planning (Statistical Standards), MIC

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### **No.1 Purpose of the Guidelines**

The purpose of the Guidelines for Production of Statistics by Entrustment (hereinafter referred to as the “Guidelines.”) is for administrative organs or incorporated administrative agencies, which are entrusted with the entire administrative affair based on Article 34 of the Statistics Act (Law No.53 of 2007. Hereinafter referred to as the “Act.”), to be able to implement these affairs properly and smoothly by clarifying and standardizing the administration pertaining to the production of statistics by entrustment based on Article 37 of the Act.

### **No.2 Definitions of Terms**

#### 1) Production of statistics

The term “production of statistics” in these Guidelines refers to tabulate and produce statistics that were not originally planned to be produced by using questionnaire information.

## 2) Statistical research

The term “statistical research” in these Guidelines refer to research conducted through a statistical approach, which utilizes questionnaire information. For example, research that evaluates variance of statistics and research that conducts regression analysis to find trends in a group of people fall under this classification.

Individual case studies that focus on individual survey objects, etc. are not included.

## 3) Production of statistics by entrustment (tailor-made tabulation)

The term “production of statistics by entrustment” (hereinafter referred to as “tailor-made tabulation”) in these Guidelines refer to the production of statistics or statistical research (hereinafter referred to as the “Production of Statistics, etc.”) which the entrusted organization does by utilizing questionnaire information pertaining to the statistical survey it implemented in response to a request from the general public based on Article 34 of the Act.

## 4) Statistical product

The term “statistical product” in these Guidelines refers to the outcome produced by tailor-made tabulation of the entrusted organizations based on Article 34 of the Act.

## 5) Questionnaire information

The term “questionnaire information” in these Guidelines refers to what is stipulated in Article 2 (11) of the Act. Administrative record information provided from other administrative organs is not included in the items used in tailor-made tabulation, in principle. However, this shall not apply when the administrative organ which provided the information, has given consent to use it for tailor-made tabulation.

(Note: Definitions, Article 2 (11))

The term “questionnaire information” as used in this Act means information collected through statistical surveys that is recorded in document, pictures, or electromagnetic records (meaning records made by any electronic form, a magnetic form, or any other form not recognizable to human perception).

## 6) Administrative organs

The term “administrative organs” in these Guidelines refers to administrative organs in charge of administrative affairs pertaining to Article 34 of the Act among those provided in Article 2 (1) of the Act.

## 7) Incorporated administrative agency, etc.

The term “incorporated administrative agency, etc.” in these Guidelines refers to the organization in charge of administrative affairs pertaining to Article 34 of the Act, among those provided in Article 25 of the Act.

## 8) Entrusted incorporated administrative agency, etc.

The term “entrusted incorporated administrative agency, etc.” in these Guidelines refers to the incorporated administrative agencies provided in Article 12 of the Order for Enforcement of the Statistics Act (October, 31, 2008, Cabinet Order No.334. Hereinafter

referred to as the “Order for Enforcement”) which are entrusted to handle all practical works according to the provision of Article 37 of the Act.

#### 9) Entrusted organization

The term “entrusted organization” in these Guidelines refers to the “administrative organ” in 6 and the “Incorporated administrative agency, etc.” in 7.

#### 10) Entrusted organization, etc.

The term “entrusted organization, etc.” in these Guidelines refers to the “entrusted organization” in 9 and “entrusted incorporated administrative agency, etc.” in 8.

#### 11) Applicant

The term “applicant” in these Guidelines refers to the person/entity who requests tailor-made tabulation based on Article 34 of the Act, Article 13 of the Order for Enforcement and Article 11 of the Ordinance for Enforcement of the Act (Ordinance of MIC No. 145 of 2008. hereinafter referred as the “Ordinance for Enforcements).

### **No.3 Basic Principles for Implementation of Tailor-Made Tabulation**

#### 1) Development of Manual and Clarification of Responsibilities

The entrusted organization, etc. shall develop common manual throughout the organization to clarify and optimize concrete details and procedures pertaining to tailor-made tabulation based on these Guidelines.

It shall also provide a system of work and role sharing of the involved departments and sections within the organization and establish council/managerial positions for smooth implementation of tailor-made tabulation, as required.

Additionally, when an entire work of tailor-made tabulation is entrusted to a designated incorporated administrative agency, the said agency, etc. shall develop manual for the entire work. Regarding development and revision of the manual, the said incorporated administrative agency shall consult with the entrusted organization based on the agreement made at the time both parties entered into contract for entrustment of the entire affair.

#### 2) Securing Confidentiality and Keeping Appropriate Management

##### (1) Measures to Be Taken at Entrusted Organizations, etc.

When an entrusted organization, etc. handles questionnaire information to implement tailor-made tabulation, from the perspective of securing trust from survey subjects, it shall take necessary measures taking into account the provisions for appropriate management of questionnaire information based on Article 39 (1) (i) and (iii) of the Act and provisions for confidentiality based on Article 41 (i) and (iii) of the Act, also taking into account the “Guidelines for Management of Questionnaire Information and Measures Against Information Leakage” (February 6, 2009, decision of the Director-General for Policy Planning (Statistical Standards)), MIC.

## (2) Measures when outsourcing works for tailor-made tabulation and other related operations

When entrusted organizations outsource works for tailor-made tabulation, they shall have the business entrusted with the operation take measures based on the provisions for appropriate management of questionnaire information in Article 39 (2) of the Act and provisions for keeping confidentiality in Article 41 (iv) of the Act. And when entrusted organizations make contract with the business, it shall include contract clauses for making the business keep it based on the “Guidelines for Management of Questionnaire Information and the Measures Against Information Leakage” (February 6, 2009, decision of the Director-General for Policy Planning (Statistical Standards), MIC) and the “Guidelines for Outsourcing Statistical Surveys to Private Entities” (undertaken at a conference among Director-Generals and Directors of the main statistics departments of the Cabinet Office and ministries held on March 31, 2005).

3) Efficient Implementation of works

Taking into account the fact that conducting tailor-made tabulation requires technical knowledge and experience for programming and examination of result tables, etc. entrusted organizations shall consider total or partial outsourcing of related works based on Article 37 of the Act if necessary. And they shall make efforts to develop and accumulate technologies related to tailor-made tabulation to be able to work efficiently.

4) Entrustment to Entrusted Incorporated Administrative Agencies Based on Article 37 of the Act

## (1) Coordination among entrusted incorporated administrative agencies, etc., the MIC and entrusted organizations

Entrusted organizations and entrusted incorporated administrative agencies, etc., which are entrusted with operations from the said entrusted organizations, shall communicate with each other closely and implement related works smoothly.

Also, communication to the MIC regarding the individual operations, which an entrusted incorporated administrative agency, etc. accepted, shall be conducted through the said entrusted organizations. (related section: No.17-2, No.18-2)

(Note: As of December 2013, only the National Statistics Center as incorporated administrative agency under the jurisdiction of MIC is designated as entrusted incorporated administrative agency based on related order and the Act.)

## (2) Change of entrusted incorporated administrative agency, etc.

When outsourcing of all works to an entrusted incorporated administrative agency, etc. based on Article 37 of the Act, starts, changes or terminates, and the entrusted organization has not completed the series of procedures pertaining to Article 34 of the Act, the entrusted organization shall inform the said fact to the related person/entity requesting tailor-made tabulation in advance and take necessary measures for the smooth handling of related works.

When an entrusted incorporated administrative agency, etc. is changed, the entrusted organization shall pay attention to the transfer of related documents, keeping of coordination among related organs, and so on so that there are no omissions.

#### **No.4 Release of the Plan for Tailor-Made Tabulation**

At the beginning of every fiscal year, entrusted organizations shall release in advance the information concerning works conducted in the year by posting them on the website, etc. such as the title and year of the statistical survey available for tailor-made tabulation, type of statistics that can be produced, kinds of tabulation services available, submission period of request, time period in which statistical products can be provided and the way they would be handled in the following years (related section: No.6)

- i) Title and year of statistical survey
- ii) Type of the statistics that can be produced and kinds of tabulation services available

<Example > :

[Kinds of aggregation service]

Limited to those fulfilling all of the following conditions:

- Cross tabulation (two-way or less)
- Tabulation that can be directly implemented only with the data set the entrusted organization possesses  
(Re-coding of the items, etc., is not available)

- Tabulation program (language);,

The ones that can be tabulated with the XX function of YY.

[Output Form]

XX Form, etc.

- iii) Period for the submission of request
- iv) Period for the provision of statistical products

#### **No.5 Establishment of Additional Charges by Notification of Administrative Organization**

When it is necessary to add further costs as additional charges for tailor-made tabulation based on Article 13 (1) (iv) of the Order for Enforcement to the costs, such as labor cost, cost for medium, cost for shipping, etc., described in Article 13 (1) (i) – (iii), additional charges for further costs shall be set by the Notification in advance. (Related section: No. 8-2)

#### **No.6 Procedure to Request Tailor-Made Tabulation**

##### 1) Items to be Clearly Mentioned in Advance

Entrusted organizations, etc. shall provide details on the following items, in their website, etc., which applicants should understand before they submit a request for tailor-made tabulation. (Related section: No.4 and No.6-6):

<<Items required to be mentioned>>

- Purpose and legal basis of tailor-made tabulation system.

- Terms of use which provide details of the contract (forms of contract, etc., determined by the entrusted organization, etc.).
- Procedure to submit a request for tailor-made tabulation and the form required for each request.
- The fact that identity verification is necessary and the documents used for verification will be copied at the reception desk.
- The average time required for processing (processing period from the point a request is submitted until the point the review result is notified.).
- The fact that using the product for any purpose other than the ones described in the request is prohibited (the fact that the user needs to receive consent from the entrusted organization, etc. to use the product for a purpose other than the one described in the request).
- If the contract, etc. is violated, provision of the data, etc. from all entrusted organizations, etc. will be banned.
- The possibility of not being able to obtain the result an applicant expects due to there being necessary concealment measures in place regarding the statistical product.
- Copyrights may not be claimed on the statistical product made through this request.
- Use of data through a tailor-made tabulation system is based on a contract and not subject of the Administrative Appeal Act (Law No.160 of 1962).
- Provision of the statistical product may be delayed due to unavoidable reasons.
- In principle, once the entrusted organization, etc. has approved a request, changes cannot be made.
- In cases where an applicant receives a statistical product through the tailor-made tabulation system, the outcome of the academic research or details of the higher education must be made public.
- In cases where an applicant receives a statistical product through the tailor-made tabulation system, the organization the applicant belongs to, name of the applicant, title of the questionnaire information used and title of the academic research or the subject of the class, etc. shall be made public by the entrusted organization.
- The language used for requesting procedures.

Additionally, when the entrusted organization outsources a part of the works to a private business, the following items shall be indicated clearly in addition to the items above:

- The fact that the entrusted organization may require time to outsource, due to necessary procedures such as procedures for tender, etc. after the approval of a request.
- The fact that the fee mentioned in the notification of approval (shown in No.9) remains the same regardless of the amount charged based on the contract with the private business.

## 2) Prior Confirmation, etc.

To avoid re-submission of documents (\*) for the confirmation of consent on the items to be specified, which is described in 1) as above, and for the request of tailor-made tabulation, etc. after their submission due to unfulfilled requirements or incomplete documents, etc., entrusted organization, etc., in principle, shall conduct pre-confirmation

before the formal submission of related documents on the following items from (1) to (7) by means of an interview or a phone call, etc. with the person who is planning to submit documents for a request:

- (1) Confirmation of whether the applicant checked the content of items on the website that required to be mentioned clearly, as listed in 1 above and understood the said content properly. If the applicant does not understand sufficiently, explanation of the said item.
- (2) Instructions on how to fill out each form of request for tailor-made tabulation and the letter of request as well as an explanation of the provision of statistical products and instructions of related procedures.
- (3) Explanations about the limitations on purpose of use (details of the academic research or higher-education related usage) and users, and instructions of the items required to be mentioned and attached materials necessary for the assessment of request.
- (4) Explanation of the conditions for approval and matters which the applicant should observe.
- (5) Listening to the details of the statistical product assumed by the person who is planning to request tailor-made tabulation. Prospects whether a plan will be approved or not, and necessary advice for it.
- (6) Explanation of information regarding the fee.
- (7) Possibility of not being able to obtain the result the applicant expects due to the use of a necessary concealment measure on the statistical product.

(Note\*) The documents refers to those and attached materials used to request tailor-made tabulation which are provided by the entrusted organization, etc. based on Article 11 (1) of the Ordinance for Enforcement and by reference to the Appended Form 1 provided in “The issue of deciding on the items to be included in the request for tailor-made tabulation, etc. and deciding the form of the letter of request pertaining to the production of statistics” (Notification of MIC, No.457 of 2009) (hereinafter referred to as “MIC Notification.”).

### 3) Unit of Request for Tailor-Made Tabulation, etc.

#### (1) Unit of request for tailor-made tabulation

A form of request for tailor-made tabulation shall be prepared for each “direct purpose of use” by which approval/not approval based on the factors for decision listed in Article 10 of the Ordinance for Enforcement for the request is determined. (The applicant may request for tailor-made tabulations pertaining to multiple statistical surveys that the said entrusted organization implements all together.) (\*1)

However, when the entrusted organization, etc. decides that it would be smoother to conduct assessment if the entries is made separately by statistical survey, for example, the applicant requests different statistical products for each survey by using multiple surveys, etc., the entrusted organization shall make the applicant divide a request into multiple ones appropriately. (\*2)

- \*1) For each request for tailor-made tabulation, a letter of request and related documents required for the following procedure and a performance report shall be prepared respectively.
- \*2) In this case, the form for request is divided for convenience. Therefore, it is treated as one request for each statistical product and related documents necessary for the following procedures would be the same. In principle, the content shall be written separately in each unit corresponding to the unit separated in the request for tailor-made tabulation.

(2) Unit of request for tailor-made tabulation when they are submitted to the entrusted incorporated administrative agency, etc.

Regarding requests for tailor-made tabulation, etc. submitted to entrusted incorporated administrative agencies etc., which handle all works for tailor-made tabulation by accepting work from multiple entrusted organizations, a letter of request and related documents shall be prepared separately by the entrusted organization and by statistical survey which is a subject of tailor-made tabulation according to the provision in (1) above.

#### 4) Range of Applicant

In order to fulfill all the requirements given in Article 10 of the Ordinance for Enforcement based on Article 34 of the Act and receive statistical products, an applicant needs to be a person who can use the product by tailor-made tabulation on his/her responsibility to contribute to the development of academic research or higher education.

Examples of people who fall under the requirements are as follows:

- A researcher who belongs to a university, etc. or an organization for academic research, and such an organization
- A person who runs academic research at a think-tank, etc. and such a think-tank, etc.
- A researcher who does not belong to any organization, but is doing academic research
- Instructors who give lectures, etc. in an organization for higher-education such as a university, and such an organization for higher education

#### 5) Submission of Request for Tailor-Made Tabulation by Agent

Article 11 (3) of the Ordinance for Enforcement allows the requesting of tailor-made tabulation by an agent.

The agent needs to have a document that proves the right to represent, like a letter of attorney from the applicant.

Additionally, the agent must execute the request for tailor-made tabulation at the reception desk and needs to make decisions on corrections of the documents such as the written request for tailor-made tabulation as needed. Therefore, it is desirable that the agent has considerable insight on the content of the request for tailor-made tabulation.

#### 6) Entries in the Request for Tailor-Made Tabulation



The entrusted organization, etc. shall provide the form of request for tailor-made tabulation which contains the following fifteen items, based on the Article 11 (1) of the Ordinance for Enforcement and the MIC Notification and with reference to Appended Form 1.

The language used for request for tailor-made tabulation shall be determined by the head of the entrusted organization, etc. with consideration to the resources the organization has.

- (1) Name, date of birth, address, organization belonging and its position, and contact information of an applicant

The applicant's name, date of birth, address, organization belonging and its position, and contact information (including address, telephone number and e-mail address) shall be entered.

When a corporation or other group is requesting tailor-made tabulation, and the representative or manager is appointed, the name, date of birth, address, position, and contact information (including address, telephone number and e-mail address.) of the representative or the manager shall be entered.

- (2) Name and address of the corporation or other group (when a corporation or other group requests tailor-made tabulation)

When a corporation or other group requests tailor-made tabulation, a section for them to enter their name and location shall be made under the section of (1) above in a form.

- (3) Agent's name, date of birth, and address (when an agent executes the request for tailor-made tabulation)

When a request is submitted by an agent, the agent's name, date of birth, and address also shall be entered.

- (4) Title and year, etc. of the statistical survey of which questionnaire information to be used

The title and year of the statistical survey(s) that the entrusted organization, etc. has clearly indicated in advance as available for tailor-made tabulation shall be entered. (Related section: No.4)

- (5) Direct purpose of use

Since the entry items to request for tailor-made tabulation are different according to the direct purpose of use is academic research or higher education, an applicant shall enter the required information in the form that corresponds to the direct purpose of use and submit it accordingly.

- (6) Names of the higher education institution, faculty and department (when the direct purpose of use is higher education)

In (5) above, when the direct purpose of use is higher education at a university, etc. the name of the higher education institute that will use the said statistical product and

the names of the faculty and department of which the statistical product will actually be used in class shall be entered.

(7) Title of the academic research (when the direct purpose of use is academic research)

When the entry in above (5) is academic research, the following (a)-(d) shall be entered.

(a) Title of the academic research

The title of the academic research, such as “Research regarding XX” shall be entered.

(b) Necessity of the academic research

The value of the said academic research such as the significance of executing the research in a specific field of study or in society, etc. shall be entered.

If the research is receiving public research funding (e.g. Grants-in-Aid for Scientific Research by MEXT and Science Research Grants by Ministry of Health and Labour) or subsidized, a copy of the notice of funding approval, etc. shall be attached separately since it can be used as a reference to prove its value.

(c) Details of the academic research

The concrete details of the academic research shall be entered.

Also, material that shows the content of the research, a list of the related thesis/books written by the applicant shall be attached separately as required.

(d) Research plan and the period of research

The research schedule including planned time of publicizing the research results, etc. of the said academic research shall be entered.

(8) Name of the class, etc. (When the direct purpose of use is higher education)

When the entry in (5) above is higher education, enter the following (a)-(d) shall be entered:

(a) Title of the class subject

The title of the class subject, such as “XX Exercise (III)” shall be entered.

(b) Class objective, the necessity of using statistical products in the class and methods of use.

The overall objective of the class, such as “to learn the basic theory of regression analysis in statistics and actual application techniques” shall be entered.

The necessity of using statistical products in the class shall be described concretely.

Additionally, the way how the statistical product is to be used in the class, for example, “to explain the actual condition of society, it will be distributed in the class as reference material” shall be described.

(c) Content of the class subject

The content of the class shall be entered.

Material, such as the class syllabus shall be attached separately as needed.

(d) Class hours

The class hours (including the day/s of the week) shall be specified.

(9) All purposes of use of statistical products

The purpose of secondary use of the statistical product in academic research or higher education shall be entered.

Also, when the research findings are released as a publication, or used for other supplemental academic research, all purposes of use shall also be mentioned.

When reporting the content of research that is still in progress and if it is impossible to specify the seminar, workshop, research meeting etc. that are held periodically/irregularly at universities and scientific societies at the time of the request for tailor-made tabulation, examples of what is expected shall be described.

Using statistical products for purposes not mentioned in the request for tailor-made tabulation or not approved is a violation of Article 13 (2) of the Ordinance for Enforcement.

(10) Method of publication

The name of the scientific society/meeting and its activities (limited only to the field of academic research) that the results are scheduled to be released, or the academic journal, bulletin or professional journal (limited to those available to the general public) that the results are scheduled to be published in shall be mentioned.

If it is used for higher education, the plan of publishing the fact that statistical products are used in lectures on the website of the university or on the business report of the university which can be obtained and read by the general public shall be described.

Also, the scheduled publication date for each plan to publicize shall be mentioned.

If the entrusted organization, etc. can receive the thesis etc. and it can be publicized by posting on the entrusted organization's website etc., this method shall be included in the method of publication.

(11) Content and specification of the statistical product described in the publication, etc.

In cases where the entrusted organization, etc. puts restrictions on the content of corresponding tailor-made tabulation, the restricted content shall be mentioned in the publication, etc.

To make the content of the requested statistical product clear, the form of the statistical tables, output form of the result of statistical analysis, details of the algorithms used to produce the statistical product, processes and definitions necessary for tabulation, etc. shall be mentioned in the publication, etc.

In addition, in order to produce the statistical product smoothly, the entrusted organization, etc. shall indicate the sample form, which corresponds to content of the tailor-made tabulation service they provide, and the applicant shall give a description according to the sample form (if it is provided) in the publication, etc.

(12) Date desired for receiving the statistical product and the reason for selection of the date

The date desired for receiving the statistical product and the reason why the applicant needs to obtain it by the said date shall be mentioned.

(13) Method for providing statistical product (medium for provision)

The medium for provision of the statistical product when it is provided shall be mentioned by selecting it from those provided in Article 13 (1) (ii) of the Order for Enforcement or as well as by e-mail or downloading if the entrusted organization, etc. is practicing such methods of provision.

The requesting form shall have a multiple-choice format for easy entry.

The entrusted organization etc. can select the medium voluntarily from those provided in Article 13 (1) (ii) of the Order for Enforcement. (It is possible for the entrusted organization, etc. to exclude the medium which no service is planned for.)

(14) Request for provision by mail

The applicant shall mention whether he/she desires to receive the data by mail. The provision via communication lines such as the Internet is possible for tailor-made tabulation.

(15) Other necessary matters

In deciding the manual and form for processing, the entrusted organization, etc. shall determine the matters considered to be especially important as required based on the notification of the MIC, and specify the document required for the assessment of the request of tailor-made tabulation and for practical works providing statistical products based on Article 11 (1) of the Ordinance for Enforcement.

(Example)

- The fact that the research is receiving public funding --- (7)(b)
- A list of books/theses written by the applicant--- (7)(c)

<< Example of documents that support the value or necessity of the academic research >>

- A document that proves the fact the applicant belongs to or is registered in an organization,  
(Certification of employment at the academic research institute, higher education institute, etc.)
- A document that proves that the research is receiving public funding for research etc.,
- A list of books/theses written by the applicant and other user(s)

<<Example of documents necessary for the production of statistics, etc.>>

- A program used for tabulation of questionnaire information in a language designated by the entrusted organization, etc.
- Constant data (\*)

(Note (\*)) Constant data: A part of data consisting of a collection of information, which is of certain value and required by the program for processing. By preparing an interface that can be integrated in the program in advance, changes can be made easily without changing the program.

Example: Municipal code numbers of the subject municipalities (standard local codes)

#### 7) Timeframe for Accepting Requests for Tailor-Made Tabulation

Entrusted organizations, etc. may set a timeframe in which it accepts requests for tailor-made tabulation from the viewpoint of improving efficiency of works for accepting requests, providing statistical products and their systematic implementation and the viewpoint of workload fluctuation adjustment, etc.

When timeframe for accepting is set, the schedule shall be publicized in the website, etc., in the beginning of the fiscal year. (Related to section: No. 4)

Additionally, the head of the entrusted organization, etc. decides on the language used for the organization's acceptance procedures by considering its resources.

#### 8) Department in Charge of the Acceptance/Assessment of Request for Tailor-made tabulation, etc.

It is desirable that the entrusted organization, etc. designates its unified contact point, which handles works for accepting requests for tailor-made tabulation and proceeds with the affairs of assessment, notification and provision, etc. based on the allocated roles, which were determined in advance with related divisions that actually produces the requested statistics. (When no unified contact point is designated, each division in charge of the each tailor-made tabulation handles all administrative affairs. The same shall apply hereinafter.)

#### 9) Identity Verification

##### (1) In case the applicant is an individual

Based on Article 11 (2) of the Ordinance for Enforcement, the entrusted organization, etc. conducts identification checks by requesting the applicant and his/her agent to show their identification issued by government or municipal offices valid on the day the request is made, such as a driver's license, public health insurance card, basic resident register card, foreigner's resident card and foreigner's special permanent resident certification.

When a foreigner living out of Japan submits a request, the identification check is implemented using material deemed as sufficient to identify the person, such as a passport or a driver's license issued by the foreign government.

When the identification is shown, a copy is made at the contact point and handled as one of documents related to the request for tailor-made tabulation.

When the request for tailor-made tabulation is sent by mail, submitting a copy of a driver's license, etc. (\*) shall be accepted.

(Note(\*)) Regarding the application of the provision of the Ordinance for Enforcement, which mentions "other documents sufficient to prove the identification of these people (the applicant and its agent)", when a request is submitted by mail, a copy of a driver's license, public health

insurance card, basic resident register card, foreigner's resident card and foreigner's special permanent resident certification, etc. that are valid on the day the request is made are included.

(2) In case the applicant is a corporation or other body

When a corporation or other body in Japan makes a request for tailor-made tabulation and its representative or manager is appointed, the certificate of its registered matters or certificate with its registered seal issued within 6 months before the date the request is made as well as the documents concerning its representative or manager in (1) above shall be submitted or presented.

When a company or other body out of Japan makes a request for tailor-made tabulation, a certificate which substitutes a certificate of registration for corporations issued by Japanese government and is issued by the national organ of the foreign country which it is shall be submitted or presented.

10) Means to Submit Request for Tailor-Made Tabulation

A request for tailor-made tabulation, etc. shall be submitted directly or by mail to the contact point of the entrusted organization, etc. by the applicant or the agent.

**No.7 Assessment of Request for Tailor-Made Tabulation**

1) The Assessment Body

The entrusted organization, etc. implements the assessment of request.

In the case of an entrusted incorporated administrative agency, etc. outsourced related works by the entrusted organization implements an assessment based on Article 37 of the Act, the agency shall implement assessment consulting with the entrusted organization as required.

2) General Rules

Based on Article 10 of the Ordinance for Enforcement, tailor-made tabulation can be provided when the use of statistical products by it is considered to contribute the development of academic research or the development of higher education and fulfill both of the following requirements:

- (1) The direct purpose is to use the statistical products for academic research or higher education.
- (2) The results of the academic research or the content of the higher education is publicized to provide feedback to society.

Therefore, the entrusted organization, etc. assesses (a) whether or not the purpose agrees with Article 10 of the Ordinance for Enforcement and (b) whether or not the results of academic research or the content of the higher education will be publicized to provide feedback to society, etc. based on the entries in the request for tailor-made tabulation and attached documents.

Additionally, a request for tailor-made tabulation shall not be approved to a person who is being penalized based on "No.17 Management of Inappropriate Use of Statistical Products."

### 3) Criteria of Assessment

(1) Confirmation of the fulfillment of requirement regarding the purpose of academic research

(a) In case of the applicant belongs to a university or an institute for academic research

When a professor, associate professor, lecturer, assistant professor, post doctoral researcher, graduate student, etc. belonging to a university or research institute, etc. carries out activities for academic research requests for conducting an academic research and its results are publicized/ fed back to society in the form of a research paper, it will be recognized that the requirement is fulfilled.

(b) In case of the applicant is other than (a) above

Even when a person who belongs to a commercial company conducts research as a part of business activities, in case of the purpose of its activity is for academic research and the research result is fed back to society in the form of an academic thesis, etc., the requirement is recognized to be fulfilled.

Also, in case that, even though a part of the purpose of research is profit-making, main purpose is for research and the research result is used for profit-making secondary, (such as the case that, after the research result is fed back to society in the form of academic thesis or result of analysis, the publicized results will be used for business), the requirement is recognized to be fulfilled.

However, in case that the direct purpose of the use of the said research results is to use them as material for business operations within the organization of a corporation, etc. or to use them as basic material for reports to customers, it shall be considered that the requirement is not fulfilled.

(2) Confirmation of the fulfillment of requirements regarding the purpose of higher education

In principle, requests are limited to those by higher education institutes themselves or instructors belonging them, and it is assumed that a request from any other kind of institute/person will not occur.

As usage, it is expected that the statistical products will be used in higher education, such as lectures, etc. (including cases where an instructor would give advice for an undergraduate or master's thesis).

(3) Name, date of birth, addresses, department, position, contact information of the applicant

Matters described in 3)-(1) above shall be verified with the department, position and others mentioned.

Also, the contents of the entry and the documents for identification required to submit or present in Article 11 (2) of the Ordinance for Enforcement and No.6 – 9) of these guidelines need to be identical.

(4) Name and address of the corporation or other body (when a corporation or other body makes a request)

When the applicant is a corporation or other body, it shall be judged from their name, management organization and other related documents, etc. whether it is an organization mainly for academic research or a commercial organization, etc.

Also, the contents of the entry and the documents for identification of the corporation, etc. required to be submitted or presented in Article 11 (2) of the Ordinance for Enforcement and No.6 – 9) of these guidelines need to be identical.

(5) Name, date of birth, and address of the agent (when the agent makes a request for provision)

When an agent is mentioned and he/she makes the request for tailor-made tabulation, the contents of the entry and the documents for identification required to submit or present in Article 11 (2) of the Ordinance for Enforcement and No.6-9) of these guidelines need to be identical.

(6) Title and year, etc. of the statistical survey used

Title and year, etc. of the statistical survey, which is publicized as available for tailor-made tabulation, shall be described.

Also, it shall not include the title and year, etc. of the statistical surveys that are considered to be unnecessary when they are matched with the content of the academic research or the content of the lecture, etc.

(7) Direct purpose of use

It is necessary to verify that the direct purpose of use is either academic research or higher education, and does not contradict the contents of the following (8)-(11).

In particular, in regards to the relationship with the content of (11), when it involves with paying and receiving money like sales, and the purpose of use is obviously for profit-making, it shall not be approved even if it states that the direct purpose of use is either academic research or higher education.

(8) Names of the higher education institute, its faculty/department (when the direct purpose of use is higher education)

When the direct purpose of use is higher education, the names of the higher education institute and its faculty/department need to be mentioned.

In this case, it is necessary to be secured that the institute and its faculty/department mentioned actually exist and that they are in consistency with that the applicant belongs.

(9) Name and content of the academic research, etc. (when the direct purpose of use is academic research)

(a) Name and necessity of the academic research

Assessment does not evaluate the importance or usefulness of the said academic research, but its public benefit needs to be recognized. In other words, it needs to be considered as appropriate under socially accepted conventions.

(b) Content of the academic research



Content of the statistical products requested needs to be considered appropriate for the content of the academic research.

(10) Name and content of the class subject (when the direct purpose of use is higher education)

The class subject needs to be approved as a regular class subject at the higher education institute where the statistical product is actually used.

Supplementary classes that a professor holds personally are not recognized as higher educational activities of the institute.

The necessity to use the statistical product for the said class subject shall be recognized, and the use has to be consistent with the content of the class subject.

(11) All purposes of the use of statistical product

All concrete purposes of the use for academic research or higher education must be entered and not contradictory to the “direct purpose of use.”

Also, since publication or dissemination of the product is included in the purpose of use, at least, it needs to mention about its publication.

Moreover, if there is an entry of purpose of use that seem to be profit making, it is the precondition that such use occurs after the publication of the research result or the content of higher education in order to acknowledge that “the direct purpose is to be used for academic research or higher education”; therefore, the chronological order of those events shall be confirmed.

(12) Method of publication

In case of academic research, the result needs to be scheduled for publication in a form of research paper. In case of higher education, the content needs to be scheduled for publication.

Also, it is necessary that the date of the scheduled publication is indicated and the date is consistent with the period of use.

(13) Content and specification of the production of statistics pertaining to a request for tailor-made tabulation, etc.

(i) Clarification of the contents, etc.

It is necessary that the detail of the objective, statistical product, can be understood clearly by entrusted organization, etc. and the process can be decided. Therefore, entrusted organization, etc. needs to request the applicant for explanation and correction about the points that are not clear or ambiguous based on Article 11 (3) of the Ordinance for Enforcement so that the entries do not cause any difference in understanding on both sides.

(ii) Assessment

When entrusted organization, etc. sets limit on the tailor-made tabulation it handles, a request of tailor-made tabulation shall be in the range with a consideration to the limit.

In addition to the determination of content and specification through the process described in (13)-(i), their work load and details shall be acceptable and manageable for the entrusted organization, etc. Judging from the relation to its regular work operation, its system, the desirable date to receive the statistical product and so on.

If a part of work necessary for a tailor-made tabulation request is entrusted to a private entity by the entrusted organization, etc. its acceptance by one of the private entities needs to be certain.

(14) Desirable date to receive statistical product and its reason for selecting the data

It is necessary that the desirable date to receive the product is proper for the purpose and the way of use, and it is acceptable and manageable for the entrusted organization, etc. judging from the content and specification of the statistical product.

If a part of work necessary for a tailor-made tabulation request is entrusted to a private entity by the entrusted organization, etc. its acceptance by one of the private entities needs to be certain judging from the content and specification of the statistical product and the desirable date to receive the product.

(15) Method for providing statistical product (medium for provision)

It needs to be a medium or method that entrusted organization, etc. can actually provide.

(16) Request for provision by mail

Whether the applicant wants to request for provision by mail or not needs to be mentioned.

(17) Other necessary matters

If there is any items for assessment set by the entrusted organization, etc. other than (1)-(16), a request shall fulfill its criteria of assessment for approval.

4) Correction and Re-submission of the Request for Tailor-Made Tabulation

When the content of the request for tailor-made tabulation or attached material is unsatisfactory, the entrusted organization, etc. shall request the applicant to correct and re-submit it based on Article 11 (3) of the Ordinance for Enforcement.

**No.8 Computation of the Fee**

1) Basic Principle

(1) Settlement of the amount of fee

Based on Article 12 (1) of the Ordinance for Enforcement, entrusted organization, etc. shall estimate and notice in advance the amount of fee in accordance with the requested detail in production of statistics and the specification attached. The amount of fee indicated to the applicant in the notice of acceptance shall be settled as the decided amount of fee.

Therefore, though it is expected that, after the fee is paid, the actual cost and the paid fee maybe found different due to such as the difference between the actual time required to process (hereinafter referred to as “man-hour.”) and the estimate, the difference between the cost for entrusting by tender to the private entity and the estimate, the difference shall not be repaid or billed additionally.

However, it shall not apply when there is a mistake on the indicated amount of the fee itself.

## (2) Principle of notification of fee before contract agreement

Article 13 (1) (i) of the Ordinance for Enforcement provides the unit price of the fee per 1 man-hour and does not clarify the total cost of the fee required for a production of statistics for each request of tailor-made tabulation.

Therefore, when entrusted organization, etc. indicates the amount of the fee to the applicant by the notice of acceptance as described in (1) above and accepts a letter of request submitted by the applicant, who confirmed the said amount of the fee, the contract shall reaches an agreement.

## 2) Public Notification Based on the Article 13 (1) (iv) of the Order for Enforcement

Article 13 (1) of the Order for Enforcement allows to add (a) fees that correspond to the man-hours required for the staff of the entrusted organization, etc. to produce the said statistics, (b) cost for the medium that house/print the statistical product, (c) cost for shipping and the amount the administrative organ has provided based on (iv) of Article 13 (1) of the Order for Enforcement as a cost required to produce the said statistical product by notification in advance.

Based on this provision, depending on the content of the service like production of the statistics to provide etc., an administrative organ, if necessary, shall set an appropriate notification that considers necessary cost referring the following example 1 through 3.

If no notification is set, additions except the cost based on Article 13 (1) (i) – (iii) of the Order for Enforcement is not allowed.

(Example 1) In a case that software is purchased or developed by the staff in advance to provide service, such as production of statistics.

When software is (was) purchased or developed by entrusted organization, etc. in advance to provide the service, such as production of statistics, the entrusted organization, etc. needs to recover its cost from the applicant.

In this case, it is anticipated that the cost to purchase or develop the software is divided by the number of statistical products expected in the term of its depreciation, and that its divided cost is set beforehand as an additional one.

(Sample)

- For producing statistics etc. with <Name of the software>, XX yen per 1 statistic table

(Example 2) In a case that the work is entrusted to external system engineer etc. to provide service, such as production of statistics

Along with the existing entrusted work not for a request, other service, such as production of statistics for a request, may be entrusted to an external system engineer, etc. to develop a system for a requested production of statistics.

In this case, hourly wage rate of the system engineer etc. is assumed different from the rate of man-hour of the staff at entrusted organization, etc.; therefore, the hourly wage etc. of the system engineer, who implements the work of the contract, may be determined as follows in advance.

(Sample)

- XX yen per hour for hours required to develop a system for production of statistics, etc.
- XX yen per ks (kilo steps) for development scale required to develop a system for production of statistics, etc.

(Example 3) In a case that the work is entrusted to private entity

There may be a case that implementation of service, such as production of statistics, is re-entrusted to a private entity.

For example, it is anticipated that, at the beginning of the fiscal year, entrusted organization, etc. may make a contract in advance with a private entity on the unit price per statistical table categorized beforehand so that every time the private entity responds to the request, therefore, the private entity provides the requested tailor-made tabulation service for the given price.

(Sample)

- YY yen per statistical table using XXXX.

Article 13 (1) (iv) of the Order for Enforcement requires to set concrete price in advance as shown in the Example 1 through 3 above. However, it is anticipated that the amount of the fee described in 13 (1) (i) may be available only when the specification of the product is indicated to the private entity.

Considering such situation, in a case that indication of concrete price in advance is impossible due to unavoidable circumstances based on the specific characteristics of the statistical product in the course of expanding tailor-made tabulation service, it is also possible to provide an amount that the head of entrusted organization, etc. indicates as a cost for entrusting private entity before making the contract with the applicant etc.

Additionally, since entrusted incorporated administrative agency, etc. will receive payment of the fee computed based on the unit price set for the fee under Article 13 (1) (i) – (iii) of the Order for Enforcement and the unit price for the fee set by the administrative organ, which outsourced the work, based on (iv) of the Article 13 (1) of the Order for Enforcement in consideration of the process at the entrusted incorporated administrative agency, etc., when the administrative organ needs to develop the regulation based on (iv) of the Article, preparation needs to be made on the said provisions after consulting with each other.

### 3) Computation of Man-Hour

#### (a) Basic work hour

Basic work hour required for work process such as the approval, product provision, etc. necessary for implementation of tailor-made tabulation is considered to be the same as what is required for anonymized data provision and computed as 19 minutes.

Also, man-hour subject to computation is the one used for work process after the request is submitted. The man-hour for administrative procedures before the stage, such as consultation and assessment, are not included in the computation.

#### (b) Hours to produce statistics, etc. (man-hour of the staff)

Required man-hour for operation necessary to produce requested statistics, such as for tabulation design, system engineering, calculation, concealment and review of the result, shall be estimated based on the record and experience of existing statistical production while responding to the characteristics of each statistical survey.

If the operation is entrusted to a private entity, the man-hour that normally occurs, for procurement, product inspection, etc. shall be included in the computation.

At the initial stage, where there is no record accumulated for requests, man-hour calculated with a certain model may be used as a reference.

### 4) Computation of Fees

The fee for an individual request of statistical products is computed after the request is determined as acceptable by the assessment of the request for tailor-made tabulation, etc.

The estimate is computed by adding all of the following (i) through (iv) based on Article 13 (1) of the Order for Enforcement.

- (i) The amount calculated by multiplying man-hours needed (Sum of the basic administrative work hour described in 3-(a) and hours to produce statistics, etc. described in 3-(b). (unit: man-hour) ) with the unit price, 5,900 yen.
- (ii) The cost for the medium that the result is output for provision
  - Paper 10 yen per sheet times number of sheets required
  - FD 50 yen per disc times number of discs required
  - CD-R 100 yen per disc times number of discs required
  - DVD-R 120 yen per disc times number of discs required
- (iii) Shipping cost when the applicant request for provision by mail
- (iv) Amount determined by the head of administrative organ (Amount determined in No.5, No.8-2. If the unit price is set, the amount is calculated by multiplying the unit price with required man-hours.)

Moreover, provision via communication line, such as internet, by email is possible for statistical product in Article 34 of the Act (in this case, costs in (ii) and (iii) are omitted).

### 5) Points to be Considered in Computation of Fees, etc.

#### (1) Securing the fairness of fees

When the request is accepted for the same statistical product pertaining to the same statistical survey of the same year etc., from the viewpoint of securing the fairness of fees for the same statistical products, the amount of the fee for the entrustment shall

be the same as the amount presented before as a fee for the same said statistical product.

Therefore, in the calculation of the fee for tailor-made tabulation, if the demand for the statistical products pertaining to the same statistical survey of the same year is predictable, in principle, the cost is calculated on a per capita basis before the computation of the fee.

However, when it is difficult to predict the number of demand, assume the number of demand to one.

(2) General rule when entrusted to private entity

When the service of producing statistics, etc. is entrusted to a private entity, the order is placed from the entrusted organization, etc. after the fee is paid. Even if the service is not accepted by a private entity, it cannot be the excuse to cancel the tailor-made tabulation.

Therefore, entrusted organization, etc. shall approve requests when there is a private entity that can accept the order and set the projected price that ensures the execution of the contract.

**No.9 Notification of Assessment Results, etc.**

The entrusted organization, etc. shall notify the applicant the result of assessment of request for tailor-made tabulation in writing within 21 days from the date the request is received based on Article 12 (1) of the Ordinance for Enforcement.

(1) When the entrusted organization, etc. accepts the request for tailor-made tabulation

The entrusted organization, etc. shall notify the applicant of the acceptance including the following items in the form it determined by referring to Appended Form 2.

- Statement of acceptance of the request for tailor-made tabulation and the fact that the tailor-made tabulation will be taking place.
- Name of the statistical product (statistics to be produced or the statistical research) (Determined and notified by the entrusted organization, etc.)
- Amount of fee
- Method of payment
- Due date of the payment
- Scheduled date of the product provision (It can be set as XX days after payment is received, etc.)
- Other matters that the entrusted organization, etc. considers necessary.
- The fact that the paid fee will not be refunded after received.

Also, letter of request provided in the MIC Notification (Appended Form 4-1, 2) and a document necessary for contracting (a contract) that the entrusted organization, etc. determines by referring to Appended Form 5 are indicated to the applicant.

The name of the statistical product is determined, such as “XX Survey (20YY) Special Tabulation,” by the entrusted organization, etc. at its own discretion.

- (2) When the entrusted organization, etc. does not accept a request for tailor-made tabulation

The entrusted organization, etc. shall notify the applicant of the notification of non-acceptance including the reason of non-acceptance in the form it determined by referring to Appended Form 3.

|                                                                                                            |
|------------------------------------------------------------------------------------------------------------|
| <p><b>No. 10 Submission of the Letter of Request for Tailor-Made Tabulation and Payment of the Fee</b></p> |
|------------------------------------------------------------------------------------------------------------|

1) Submission of the Letter of Request

Once the request is assessed as acceptable, the applicant submits to the entrusted organization, etc. a letter of request provided in the MIC Notification based on Article 13 of the Order for Enforcement and Article 12 (2) of the Ordinance for Enforcement and attaches to it two contract documents required for contract with signature or name and seal, (written contract), which the entrusted organization, etc. provides using Appended Form 5 as reference.

Based on the provisions of the Stamp Tax Act, when the contract amount exceeds ten thousand yen, the applicant needs to affix a revenue stamp that corresponds to the contract amount (the amount of the fee to pay) in addition to the fee on one of the two contract documents.

2) Payment of the Fee

Applicant shall pay the notified amount of fee by the notified specified method which is shown in the notification of acceptance from the entrusted organization, etc. described in No.9.

(1) Payment by Revenue Stamp

Applicant shall make a payment by affixing revenue stamps in the amount of the fee notified from the administrative organ in the letter of request and submitting it.

The administrative organ verifies that the amount of the revenue stamp agrees with the notified amount of fee and postmarks it promptly when the provision of statistical product becomes certain.

It is desirable that the postmark on the revenue stamp is made not written with a pencil to ensure that the value can be confirmed and the stamp cannot be detached or used again, and that the mark is on both the letter of request and the revenue stamp, which should have a perforated edge.

The letter of request with revenue stamp is kept for the period based on the administrative organ's regulation on the management of documents.

Also, every fiscal year, the amount of payment is reported for the subject year in response to the request of report on the result from the MOF (the Budget Bureau, General Affairs Division, Revenue/ National Government Bond Section) through each accounts division of the Ministry.

(2) Payment by Cash

The entrusted organization, etc. sends a notice of payment with the notification indicated in “No.9 Notification of Assessment Result etc.”, and the applicant uses the notice of payment to pay cash to it.

### (3) Reimbursement of the Fee Paid

After the submission of a letter of request and payment of the fee has been completed, when the tailor-made tabulation becomes unavailable for inevitable reasons, if the entrusted organization, etc. has not begun the said work and both the entrusted organization, etc. and the applicant agree mutually, the fee is reimbursed with the following methods. (It is desirable to consult with the accounts officer of Cabinet Office or each Ministry about the said procedure and confirm it in advance.)

#### (a) When paid with revenue stamp

- (i) If a postmark stamp is not placed, the entrusted organization, etc. returns the letter of request without placing a postmark stamp.
- (ii) If a postmark stamp is placed, the entrusted organization, etc. proceeds with the reimbursement procedure as a compensation reimbursement refund.

#### (b) When paid by cash

The entrusted organization, etc. proceeds with the reimbursement procedure as a compensation reimbursement refund.

### 3) Sending the Contract

The entrusted organization, etc. places its signature or name and seal on the two contract documents submitted in 1) above, and sends one of them to the applicant.

### 4) Copyright

When the contract is being prepared according to 1), 2), 3) above, a statement that the applicant will not claim the copyright on the statistical product must be written in the written contract document.

### 5) Protection of Confidentiality

Details of the academic research and specification of the tabulation, etc. can be a confidential matter for the researchers until their publication. Therefore, the entrusted organization, etc. treats the contents of the submitted documents, etc. as secret information until it receives the report of usage.

However, based on Article 55 of the Act, it shall not apply when responding to the request of report from the Minister for Internal Affairs and Communications.

When the entrusted organization, etc. posts the content of the submitted documents, etc. on its website before receiving the report of usage, the entrusted organization, etc. shall obtain consent from the applicant.

## **No. 11 Production of Statistics**

### 1) Production of Statistics



When the entrusted organization, etc. produces statistics, etc. based on the content of statistical production and specification, etc. written in the request for tailor-made tabulation, if there is any obscure point in producing the statistics, the entrusted organization, etc. proceeds with the process as inquiring and confirming with the applicant, etc. the details of obscure points.

### 2) In Case the Work is Outsourced to a Private Entity

When a part of operation is entrusted to a private entity, the entrusted organization, etc. implements the operation based on the contents of No.3 - 2(2) and No.13 – 2 regarding the protection of confidentiality, etc.

### 3) Review and Concealment of Statistical Product

Regarding the statistical product, the entrusted organization, etc. shall review the details of results and use concealment measures before provision so that it becomes impossible to specify or deduce with analogy the individual survey subjects, etc.

## **No.12 Provision of Statistical Products**

### 1) Time of Provision

The entrusted organization, etc. provides the product promptly within the scheduled period of provision indicated in the notification of approval mentioned in No.9. When a delay of provision is expected due to an inevitable reason, the entrusted organization, etc. shall notify it to the applicant promptly and discuss with the applicant.

### 2) Contact Point for Provision

Statistical product is provided to the applicant from the contact point for provision at the entrusted organization, etc. by the method written in the request for tailor-made tabulation.

If the statistical product is delivered via email, etc., the product shall be encoded and provided with a password etc. for protection.

### 3) In Case an Error is Found in the Statistical Product

When an error is found in the statistical product, the entrusted organization, etc. and applicant shall make contact with each other to find the cause of the error, and decide how to manage the situation through discussion.

## **No.13 Points to be Considered When Production of Statistics is Outsourced**

### 1) In Case Where All Works for Statistics Provision are Outsourced Based on Article 37 of the Act

The entrusted incorporated administrative agency, etc. shall notify the applicant of the assessment result concerning the request for tailor-made tabulation and report this fact to the consignor (related entrusted organization, etc.).

The entrusted incorporated administrative agency, etc. and entrusted organization, which entrusts all the work of statistics provision to the entrusted incorporated

administrative agency, etc., shall make arrangements in advance about the timing and the content, etc. of the report from the entrusted incorporated administrative agency, etc. to the said entrusted organization.

## 2) In Case Part of Tailor-Made Tabulation Work is Outsourced to a Private Entity

When a part of tailor-made tabulation work is outsourced to a private entity, the work shall be conducted in line with the provisions for the case when an entrusted organization, etc. makes an outsourcing contract with a private entity for management of questionnaire information. The private entity needs to submit a written oath regarding confidentiality protection and appropriate management thoroughly complying with laws and regulations, as well as decide on contact terms regarding how to manage questionnaire information, etc. based on the “Guidelines for Management of Questionnaire Information and Counter Measures for Its Leakage, etc.” (February 6, 2009; decision of Director-General for Policy Planning (Statistical Standards), MIC) and the “Guidelines for Utilization of Private Entities for Statistical Surveys” (March 31, 2005; agreed upon at the Meeting of the Chiefs of Statistics Director-General Section in Cabinet Office and Ministries).

Additionally, when accepting a request for tailor-made tabulation on the premise of outsourcing part of the work to a private entity, it shall be done only when it is certain that one of the private entities will accept the work.

To prevent non-provision of tailor-made tabulation due to the lack of a successful bidder of its work after the fee is paid, the entrusted organization, etc. shall take such measures as calling for bid again and issuing a no-bid contract after the fail of competing bid.

### **No.14 In Case a Change Occurs in the Requested Item**

When a change occurs in the items on the request for tailor-made tabulation after the request was accepted by the entrusted organization, etc., and it is due to the change of circumstances of the applicant, it shall be managed as follows.

#### 1) Minor Change (Change of position, contact information, name, etc. due to a personnel reshuffle and so on.)

When a change of position, contact information, name, etc. of the applicant due to a personnel reshuffle and so on, which do not seem to affect the process for producing statistics or the purpose and conditions of use approved by the entrusted organization, etc., the applicant shall enter the changed items in the notification form of change of position, etc. that the entrusted organization, etc. provides using the Appended Form 6 as reference, and submit it to the entrusted organization, etc. immediately.

#### 2) Change of the Content or Specification of the Statistics to Be Produced

In principle, when a change affects the process for producing statistics, etc., the said change is not approved. However, when the entrusted organization, etc. can deal with

such change, the change can be made after the discussion between the applicant and entrusted organization, etc.

When a change will be made according to an agreement between the entrusted organization, etc. and the applicant, the applicant shall submit a request of change in writing and the entrusted organization, etc. notifies the applicant of the following according to No.9 (1):

- Statement of acceptance on the change of specification
- Amount of any additional fee to pay
- Method of payment
- Deadline of the payment
- Scheduled date of provision after correction according to the change of specification
- The fact that the paid fee will not be refunded after received.

The applicant shall re-submit a letter of request and other material necessary for the change of contract and pay the additional fee necessary for the change.

### 3) Submission of Request to Add Purpose of Use

When it becomes necessary for an applicant to add a purpose to those that have been approved, the applicant shall describe the additional purpose of use and the reason why it is necessary in the notification form to add purpose of use, which the entrusted organization, etc. provides using Appended Form 7 as reference, and submit it to the entrusted organization, etc.

The entrusted organization, etc. that received the request to add purpose of use, shall assess it based on No. 7-3 (11) and notify the applicant of the result using a notice form of approval to add purpose of use or a notice form of disapproval to add purpose of use, which the entrusted organization, etc. provide a using Appended Form 8 and 9 as reference.

In addition, regarding the assessment after a usage report is submitted, it is not necessary to confirm the order of occurrence in relation to publication.

### 4) Other Change of Entries in the Request for Tailor-Made Tabulation

To change entries in a request for tailor-made tabulation other than in the items in 1 through 3 above, the applicant shall make a request with a notification form to change the item in the request for tailor-made tabulation, which the entrusted organization, etc. provides using Appended Form 10 as reference.

The entrusted organization, etc. shall assess the related item based on the criteria of assessment in No. 7-3 and notify the applicant of the result with a notice form, which the entrusted organization provides using Appended Form 11 and 12 as reference, of approval or disapproval on the change of entries in request for tailor-made tabulation.

## **No.15 Restrictions on the Use of Statistical Products**

The applicant shall not use or provide a statistical product for any purpose other than the purpose mentioned in the request for tailor-made tabulation based on Article 13 (2) of the Ordinance for Enforcement.

Therefore, if the applicant wishes to use the data for a purpose other than the approved purpose, he/she shall first make a request using the notification to add purpose of use mentioned in No. 14 – 3 to obtain approval from the entrusted organization, etc.

Additionally, once the applicant has publicized a statistical product itself (tables made as tailor-made tabulations, etc.) as accompanying material for the publication of the results of academic research or for use in higher education according to the purpose of use, the said statistical product becomes available for use by the general public, just like the products publicized as official statistics, so the use by the applicant after publication is also considered as the use of published statistics; therefore, there is no need to obtain further approval from the entrusted organization, etc. above.

### **No.16 Publication of Research Results by the Applicant**

#### 1) Publication of Research Results

An applicant shall publicize the research results or the content of higher education performed using statistical products at the time and by the method mentioned in the request for tailor-made tabulation.

In the said publication, the applicant shall clearly indicate that the performance was based on the statistical products and that such products are different from the statistics the entrusted organization, etc. officially produces and publicizes.

( Sample: This is based on the statistical products produced by tailor-made tabulation regarding “XX Survey” (Ministry of YY) provided by Ministry of YY (or the entrusted incorporated administrative agency, National Statistics Center). )

When publication by any method indicated in the request for tailor-made tabulation cannot be executed because, although the applicant planned to publicize the results, etc. in a journal of a scientific society, the results, etc. did not pass the screening, or due to a similar reason, and the applicant is going to publicize the results, etc. by a new method, the applicant shall submit a request to change entries in the request for tailor-made tabulation regarding the new publication method, etc. and make the publication.

After the publication, the applicant shall report the usage in the usage report (Appended Form 13 - 1, 2) provided in the notification of MIC.

#### 2) Management in Cases where the Results Cannot Be Publicized

When the results of academic research cannot be publicized due to the death of the applicant, dissolution of the corporate body, cancellation of research plan, or a similar reason, the outline of the research and the reason that the results cannot be publicized shall be reported to the entrusted organization, etc. with the usage report.

### **No.17 Countermeasures against of Inappropriate Use of Statistical Products**

#### 1) Prohibition of Use Other Than Intended Purpose under Article 13 (2), of the Ordinance for Enforcement

Article 13 (2), of the Ordinance for Enforcement provides that “An applicant who received a statistical product may not use or offer the said statistical product for any purpose other than the purpose provided in Article 11 (1) (vi), of the Ordinance for Enforcement. However, this shall not apply when the applicant has obtained consent from the head of the administrative organ or from the entrusted incorporated administrative agency that provided the said statistical product.” This provision prohibits the applicant from using the product for any purpose other than the purposes mentioned in the request for tailor-made tabulation.

## 2) Coordination of Director-General for Policy Planning (Statistical Standards), MIC and Other Entrusted Organization, etc.

When the entrusted organization, etc. has judged that an applicant has committed a violation of Article 13 (2), of the Ordinance for Enforcement or other contracts and is determined to impose a penalty, such as setting a period for suspension of use, or in other cases it considers necessary, the entrusted organization, etc. reports the fact to Director-General for Policy Planning (Statistical Standards), MIC.

Also, a report to the MIC pertaining to an individual operation that was entrusted to an entrusted incorporated administrative agency shall be made through the entrusted organization that entrusted the said operation to the entrusted incorporated administrative agency (related section: No.3 – 4 (1)).

When the MIC receives a report related to violation from the entrusted organization, etc., it provides information regarding the report and penalty to other entrusted organizations, etc. and takes necessary measures so that the same suspension period of use is enforced at all entrusted organizations, etc.

## 3) Breach of Contract

### (1) Contents of violations

The entrusted organization, etc. shall take action against a person/entity who used a statistical product of tailor-made tabulation for a purpose other than the approved purpose, committed another legal violation, breached a contract, or committed an act that betrays the trust of the people, in coordination with the MIC and other entrusted organizations, etc., in accordance with the details of the breach.

### (2) Contents of responses

- (i) Upon finding the presence of actions that utilize the statistical product of tailor-made tabulation for a purpose other than the approved purpose in violation of a law or in breach of a contract, or in violation of another law or in breach of another contract, or actions that betray the trust of the people, the entrusted organization, etc. shall contact the applicant promptly and request it to take corrective measures, such as discontinuation of the use for other purposes, and report to the MIC about the contents of violation and the status of the measures taken.
- (ii) When the MIC has received a report regarding (i) above from the entrusted organization, etc., it shall make the said information known to all other entrusted organizations, etc. promptly.

- (iii) When other entrusted organization, etc. receive the above information from the MIC, they shall check the record of provision of other statistical products to the violator/the same applicant. If they find that they are providing the violator /the same applicant questionnaire information based on Article 33 of the Act or anonymized data based on Article 36 of the Act, they shall check the status of use, etc. promptly.
- (iv) Regarding the actions that utilize the statistical product of tailor-made tabulation for a purpose other than the approved purpose, or in another violation of law, in a breach of contract, or actions that betray the trust of the people, the entrusted organization, etc. shall take measures listed below and report the status of the measures taken to the MIC.
  - (a) When an applicant used the product for other purposes
 

In cases where tailor-made tabulation is entrusted to a private entity and it uses the product for a purpose other than the approved purpose, such action falls under a legal violation that severely impairs the people's confidence in the system. In this case, the consignment of works for tailor-made tabulation to the private entity is prohibited for some months as the designation-suspension period. In reference to this measure, the entrusted organization, etc. shall set the designation-suspension period of tailor-made tabulation request from the violator at about 1-12 months.

During the said period of prohibition, the provision of other questionnaire information based on Article 33 of the Act and provision of anonymized data based on Article 36 of the Act are also suspended.
  - (b) Others
 

A prohibition against submitting a request for tailor-made tabulation is imposed on the applicant who committed a violation of law, a breach of contract, or actions that betray the trust of the people, referring to (a) above, and the designation of entrustment, etc. is suspended.

During the said period, the provision of other questionnaire information and the provision of anonymized data based on Article 36 of the Act are also suspended.
- (v) When the MIC receives the report mentioned in (iv) above, it shall promptly make the said information known to all other entrusted organizations, etc., and the other entrusted organizations, etc. shall take the measures described in (iv) above.

#### 4) Coordination with Other Systems

Regarding the provision of questionnaire information based on Article 33 of the Act and provision of anonymized data based on the Article 36 of the Act, when measures that prohibit provision, etc. are in effect, a request for tailor-made tabulation is not accepted during such period.

#### 5) Application of the Whistleblower Protection Act

The Act is subject to the Whistleblower Protection Act (Act No. 122 of 2004), and when a worker reports an act of violation, the said worker is protected from disadvantageous treatment, such as dismissal, based on the Whistleblower Protection Act.

Administrative organs (\*) shall take appropriate measures, such as the development of rules and the primary contact point, based on the Whistleblower Protection Act and related guidelines, etc.

\* Be aware that incorporated administrative agencies are not included in the “administrative organs” stipulated in Article 2 (4) of the Whistleblower Protection Act.

### **No. 18 Preparation and Submission of Performance Reports**

#### 1) Submission of Performance Report, etc.

Based on Article 13 (1) of the Ordinance for Enforcement, an applicant shall report, (a) in the case of the purpose of academic research, an outline of the results promptly after the publication of the result of the said research (within 3 months), or (b) in the case of the purpose of higher education, the implementation situation promptly after the completion of said educational program (within 3 months), using a performance report (Appended Form 13-1, 2) provided by the notification of the MIC.

When the results of academic research cannot be publicized due to an inevitable reason, such as a death of the applicant, dissolution of the corporate body, or cancellation of the research plan, the applicant/related person shall explain the reason in the performance report and submit it.

In addition, based on a request from the Minister for Internal Affairs and Communications based on Article 55 of the Act, the entrusted organization, etc. shall put together the submission record of the reports and the submission record of the requests for tailor-made tabulation report, etc. every 12 months, and report to the MIC.

Moreover, based on Article 14 of the Ordinance for Enforcement, the entrusted organization, etc. shall release items mentioned in the report, such as the applicant’s name and organization, the name of the questionnaire information used and the name of the academic research or higher education, on their website, etc. as needed.

#### 2) Process at the Entrusted Incorporated Administrative Agency, etc.

Reports that the entrusted incorporated administrative agency, etc. receive are reported to the entrusted organization/the consignor that entrusted the work, and the said entrusted organization shall report them to the MIC.

#### 3) Reports from the MIC to the Statistics Commission

The MIC puts together the performance reports submitted by entrusted organizations, etc., reports to the Statistics Commission and publicizes the reports it on the website, etc. as needed. Also, the MIC shall pay attention to the confidentiality of the applicant and manage the information accordingly.

### **No.19 Effective Term of the Guidelines**

These guidelines, revised on August 31, 2012, are in effect from the same day.

**[List of Attached Material]**

(Appended Form)

|                        |                                                                                                                |
|------------------------|----------------------------------------------------------------------------------------------------------------|
| Appended Form 1        | Request for tailor-made tabulation [Sample form]                                                               |
| Appended Form 2        | Notice of approval of the request for tailor-made tabulation [Sample form]                                     |
| Appended Form 3        | Notice of disapproval of the request for tailor-made tabulation [Sample form]                                  |
| Appended Form 4 - 1, 2 | Letter of request                                                                                              |
| Appended Form 5        | Contract for production of statistics by entrustment [Sample form]                                             |
| Appended Form 6        | Report of change of belonging organization [Sample form]                                                       |
| Appended Form 7        | Request to add a purpose of statistical product use [Sample form]                                              |
| Appended Form 8        | Notice of approval of the request to add a purpose of statistical product use [Sample form]                    |
| Appended Form 9        | Notice of disapproval of the request to add a purpose of statistical product use [Sample form]                 |
| Appended Form 10       | Letter of request to change entries in the request for tailor-made tabulation [Sample form]                    |
| Appended Form 11       | Notice of approval of the request to change entries in the request for tailor-made tabulation [Sample form]    |
| Appended Form 12       | Notice of disapproval of the request to change entries in the request for tailor-made tabulation [Sample form] |
| Appended Form 13-1, 2  | Performance report                                                                                             |

(Reference)

Statistics Act (extract)

Order for Enforcement of the Act (extract)

Ordinance for Enforcement of the Act (extract)

(Note) Appendixes (Forms, etc.) are omitted from this report.

For the complete version with appendixes, please go to the website of Ministry of Internal Affairs and Communication (MIC).

(MIC Website: <http://www.stat.go.jp/index/seido/houki.htm>)

\* The version on the website is in Japanese only.



## Guidelines for Production and Provision of Anonymized Data

|            |                                                                   |
|------------|-------------------------------------------------------------------|
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| Revised    | September 29, 2009                                                |
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| Decided by | Director-General for Policy Planning (Statistical Standards), MIC |

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- No. 20 Effective Term of the Guidelines

### No.1 Purpose of the Guidelines

The purpose of the Guidelines for Production and Provision of Anonymized Data (hereafter referred to as the “Guidelines”) is to ensure that administrative organs or incorporated administrative agencies, and incorporated administrative agencies entrusted with all work based on Article 37 of the Statistics Act (Act No.53 of 2007; hereafter referred to as the “Act”), can implement the production and provision of anonymized data based on Article 35 and 36 of the Act properly and smoothly by clarifying and standardizing the administrative procedural arrangement.

### No. 2 Definitions of Terms

#### 1) Anonymized data

The term “anonymized data” as used in these Guidelines, refers to “questionnaire information that is processed so that no particular individuals or corporations, or other

organizations shall be identified by it (including by way of collating it with other information), for the purpose of providing it for general use” as defined in Article 2 (12) of the Act.

## 2) Questionnaire information

The term “questionnaire information” as used in these Guidelines, refers to the information stipulated in Article 2 (11) of the Act. In principles, if an administrative organ, etc. host administrative data produced by another organ, the data is not included in the possible data for the hosting organ to provide as anonymized data; otherwise, the hosting organ needs to get permission from the producer to provide the data as anonymized data in advance.

## 3) Documents

The term “documents” as used in these Guidelines refers to information that provides the detailed description of the anonymized data, such as a data layout form, a code table, methods of anonymizing data, and the characteristics of the data.

## 4) Administrative organs

The term “administrative organs” as used in these Guidelines refers to administrative organs in charge of work pertaining to Article 35 and 36 of the Act among those provided in Article 2 (1) of the Act.

## 5) Public organizations

The term “public organizations” as used in these Guidelines refers to public organizations provided in Article 9 of the Ordinance for Enforcement of the Act (Ordinance of MIC No. 145 of 2008; hereafter referred as the “Ordinance for Enforcement”).

## 6) Incorporated administrative agency, etc.

The term “incorporated administrative agency” as used in these Guidelines refers to organizations in charge of work pertaining to Article 34 of the Act, among those provided in Article 25 of the Act.

## 7) Entrusted incorporated administrative agency, etc.

The term “entrusted incorporated administrative agency” as used in these Guidelines refers to the incorporated administrative agency provided in Article 12 of the Order of Enforcement of the Act (Order No.334 of 2008; hereafter referred to as the “Order for Enforcement”) and entrusted to handle the entire work according to the provision of Article 37 of the Act.

## 8) Provider organizations

The term “provider organizations” as used in these Guidelines refers to the “administrative organ” in 4) and the “incorporated administrative agency, etc.” in 6) above.

9) Provider organization, etc.

The term “provider organization, etc.” as used in these Guidelines refers to the “provider organizations” in 8) and the “entrusted incorporated administrative agency, etc.” in 7) above.

10) Foreign government, etc.

The term “foreign government, etc.” as used in these Guidelines refers to a foreign government, etc. provided in Article 13 (3) of the Ordinance for Enforcement, such as an international organization, a foreign government, a foreign local public body, or a foreign central bank.

11) Applicant

The term “applicant” as used in these Guidelines refers to the person who requests the provision of anonymized data based on Article 36 of the Act, Article 13 of the Order for Enforcement and Article 16 of the Ordinance for Enforcement.

12) User

The term “user” as used in these Guidelines means the person who has been provided anonymized data based on Article 36 of the Act and is actually going to use or is using it.

13) Projects to Utilize Statistics for International Comparison

The term “projects to utilize statistics for international comparison” as used in these Guidelines refers to the following activities.

- (1) Activities that an international organization in which Japan is a member conducts in producing statistics making use of anonymized data necessary for international comparison, using the results and providing them to the member countries.
- (2) Activities that an international organization in which Japan is not a member conducts in producing statistics making use of anonymized data necessary for international comparison and disseminating the statistics or the results of statistical analysis necessary for international comparison to the following organizations, etc.
  - Public organization
  - Foreign government, etc.
  - Person who conducts academic research or educates students at a higher education institution using the said results

The international organizations which fall under this category need to be granted or be assured to be granted from two or more foreign governments, etc. access to the questionnaire information (\*1) for international comparisons, and also need to be supported or be assured to be supported from public organizations, etc. or two or more foreign government, etc. human resources, finance and facilities.

(\*1) This information is limited to the information that is able to be compared with anonymized data, including similar information. Namely the application forms or attached material that is designated by the provider organization, etc. based on Article 16 of the Ordinance for Enforcement and “The

issue of designating the items to be included in the application for tailor-made tabulation, etc. and the form of the application to request pertaining to the production of statistics” (MIC, Notification No. 457 of 2009) by referring to Appended forms 3-1 to 3-3.

#### 14) Computers

The term “computers” as used in these Guidelines refers to information processing devices, such as a server and a personal computer, and peripherals for input and output, etc.

#### 15) Information System

The term “information system” as used in these Guidelines refers to a system pertaining to computer processing, storage or communication for implementation of statistical surveys, tabulation or storage, etc. It also includes a terminal not connected to the network, known as a “stand-alone personal computer.”

### **No. 3 Basic Principles for Production and Provision of Anonymized Data**

#### 1) Development of Manuals for Procedures and Clarification of Institutional Arrangement

Provider organizations, etc. shall develop common manuals of procedures to clarify the specific details of its procedures and to ensure efficient management pertaining to the production and provision of anonymized data based on these Guidelines.

Provider organizations, etc. shall produce anonymized data and develop the documents in conformity with the standardization of notations, etc. that is stated in the “Plan for Optimization of Operations and Systems of Statistical Survey Operations” (decision by a liaison meeting among chief information officers (CIO) of all ministries on March 31, 2006).

The manuals need to specify the institutional arrangements with dividing responsibilities, designate a department in charge of assessing applications to provide anonymized data and describe the council/post which has been newly established to serve smooth provision of anonymized data, as needed.

Additionally, if the provider organizations, etc. entrusts all of their work to provide anonymized data to entrusted incorporated administrative agency, etc., the agency shall develop manuals for procedures, consulting with the provider organization, etc. in developing or revising the manuals in line with the agreement that was made at the time of initiating the contract for entrustment of the entire work.

#### 2) Securing of Confidentiality and Appropriate Management

##### (1) Measures taken by the provider organization, etc.

When the provider organization, etc. accesses questionnaire information to produce anonymized data, in order to secure trust from respondents of surveys, it shall take necessary measures with reference to the provisions pertaining to the appropriate management of questionnaire information based on Article 39 (1) (i) – (iii) of the Act and provisions pertaining to confidentiality based on Article 41 (1) – (3) of the Act, also in keeping with the “Guidelines Concerning Management of Questionnaire

Information and Measures Against Information Leakage” (February 6, 2009, decision of the Director-General for Policy Planning (Statistical Standards), MIC).

(2) Measures when a provider organization outsources the work of anonymized data and other related matters

When the provider organization outsources the production of anonymized data or outsources a part of the data providing work which involves the access to questionnaire information, such as copying data, the provider organization shall have the outsourced entity take necessary measures with reference to the provisions pertaining to the appropriate management of questionnaire information based on Article 39 (2) of the Act and the provisions pertaining to confidentiality based on Article 41 (4) of the Act. In order for this, when the provider organization contracts with the entity to outsource the work, it shall take measures to ensure the securing of confidentiality and appropriate management by incorporating contract clauses with reference to the “Guidelines Concerning the Management of Questionnaire Information and Measures Against Information Leakage” (February 6, 2009, decision of the Director-General for Policy Planning (Statistical Standards), MIC) and the “Guidelines Concerning Outsourcing Statistical Surveys to Private Entities” (Agreement at a conference among Directors for the statistics management as of March 31, 2005).

(3) Measures to be taken for users

When providing anonymized data, the provider organization shall require all users to submit written declaration ensuring:

- to use the anonymized data only for the production of statistics, etc.;
- to manage the anonymized data appropriately based on Item 2, Article 42 (1) of the Act, and;
- not to use the anonymized data for a purpose other than the ones submitted and approved.

In addition, before providing the data, the provider organization shall clearly indicate in advance that in case of transmission or fraudulent use of the data to obtain illegal profit for the user or a third party, the penal regulations provided in Article 61 (3) of the Act and the terminating of data provision, etc. by provider organizations, etc. would be imposed. (Related section: No. 7-1)

### 3) Efficient Administrative Procedures

Recognizing that producing and providing anonymized data requires technical knowledge and experience for structuring and testing programme, developing checklists and reviewing, etc., a provider organization shall consider to entrust the work entirely or partially based on Article 37 of the Act as needed and make efforts to develop and accumulate techniques related to anonymized data for the efficient processing.

#### 4) Entrustment to Independent Administrative Agencies Based on Article 37 of the Act

##### (1) Coordination among entrusted incorporated administrative agencies, etc., the MIC and provider organizations

A provider organization and the incorporated administrative agency, etc. which is entrusted with the work from the said provider organization, shall communicate with each other closely and manage the work efficiently.

Also, the provider organization is required to report to MIC regarding the individual operation that they entrusted with incorporated administrative agency, etc. (Related section: No.17-2, No.18-2)

##### (2) Change of entrusted incorporated administrative agency, etc.

If there is a party that has not completed the series of procedures set out in Article 36 of the Act before the entrustment of entire work is initiated, changed or terminated based on Article 37 of the Act, the provider organization shall inform the party of the said fact and take necessary measures for smooth administration procedure.

When an entrusted incorporated administrative agency, etc. is changed, the provider organization shall pay attention to the handover of paperwork and coordination so that nothing goes amiss.

#### **No. 4 Publication of Plan Regarding Production and Provision of Anonymized Data**

At the beginning of every fiscal year, the provider organization releases the title and year of the statistical survey which is subject to possible provision of anonymized data, a summary of the anonymized data, the period for accepting application and the timing to deliver the data, the procedure for requesting the data, and the schedule to provide data in the coming year. (Related section: No.6-3 and No.7)

#### **No. 5 Production of Anonymized Data**

##### 1) Scope of the Statistical Surveys Subject to Production of Anonymized Data

A provider organization should select from amongst their statistical surveys which anonymized data is to be produced and provided taking into account of their suitability to be anonymized and the quantity of user's demand, etc.

Regarding some statistical surveys, which are generally considered difficult to anonymize, such as statistical surveys of which targets are corporations or establishments, a provider organization shall specifically examine the possibility of data anonymizing for individual surveys and, if data anonymization is difficult, it needs to consider entrusting the production of statistics based on Article 34 of the Act to meet the demand.

##### 2) Methods of Anonymizing Data

###### (1) Points of view about the anonymization process (See Attachment 1)

Provider organizations shall anonymize data by combining the following anonymization methods (see Attachment 2) that are currently used in foreign countries depending on the characteristics of each statistical survey, so that the unit of survey or

unit of statistics (individuals, households, establishments, etc.) will not be stipulated or assumed.

- Deletion of identifying information
- Re-sorting of anonymized data (change of the arrangement order)
- Top (bottom) coding of identifying information
- Grouping (re-coding) of identifying information
- Re-sampling
- Swapping
- Perturbation

As for fundamental statistical surveys, provider organizations should submit documents that describe the concrete methods to the Statistics Commission, and disseminate it along with the information listed in No.6–3, according to the need, or provide to the user when anonymous data is provided.

## (2) Standards for anonymization

It is difficult to set a uniform standard for anonymization because the characteristics of questionnaire information are unique to each statistical survey.

Therefore, provider organizations shall provide values that become standards for anonymization, taking the characteristics of each statistical survey to be anonymized into consideration and referring to the example case of trial provision of anonymized sample data from Hitotsubashi University and similar cases by other statistical organizations overseas, etc., for example, the lowest value must be more than 2.

The standards used in the trial on anonymizing data from statistical surveys of individuals/households by Hitotsubashi University are shown in Attachment 3, the “Standards for anonymization process.”

## No. 6 Procedure for Anonymizing Data

### 1) Assessment of Anonymization Process

#### (1) Checklist

A provider organization shall prepare a checklist, which includes an item to describe the methods to anonymize data, etc., for each anonymized data to be produced in order to ensure efficient and effective assessment of the anonymization process by the provider organization and the Statistics Commission (See Appended form 1 and 2).

#### (2) Assessment by the provider organization

A provider organization shall establish an institutional arrangement to assess the anonymization process, etc. and shall assess the appropriateness, etc. of the anonymization process by checking the distribution derived from a statistical table based on the checklist prepared in (1), etc.

## 2) Consultation with the Statistics Commission

When an administrative organ produces anonymized data of a fundamental statistical survey, it needs to consult with the Statistics Commission in advance based on Article 35 (2) of the Act.

Giving consideration to when the data will begin to be provided, the administrative organ shall coordinate the date of the deliberation of the data with the Secretariat of the Statistics Commission (the Cabinet Office), and prepare the following documents.

<Documents for Consultation with the Statistics Commission>

- Checklist (draft)
- Basic information of the statistical survey
  - Outline of the survey
  - Form of the questionnaire
  - Sampling method, etc.
- Documents for anonymized data (draft)
  - Concept of anonymized data production
  - Items to be provided
  - Code table
  - Matters to be paid attention to in the anonymization process
  - Methods to be used for anonymization, etc.
- Other documents that are necessary for the consultation or that the Statistics Commission requires based on Article 50 of the Act

Administrative organs shall produce anonymized data based on the opinion of the Statistics Commission and verify whether the anonymization process is implemented properly.

## 3) Publication of Anonymized Data that is Available for its Provision

Provider organizations, etc. publicize anonymized data that is available to be provided by posting the following on their websites, etc. (related section: No. 4 and No. 7)

- Title and year of the statistical survey
- Name of the anonymized data
- Conditions for provision
  - Security condition, use environment conditions
  - Other conditions set out by laws and regulations, etc.
- Items to be provided and code table (data layout form if necessary)
- Anonymization methods (anonymization method by item, re-sampling rate, etc.)
- Contact office, the period to accept applications, etc.
- Procedures to apply to request data provision
- Rough estimate of the cost required
- Available methods for provision (medium)
- Expected time of provision



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| <b>No. 7 Procedure for Application to Request Anonymized Data</b> |
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1) Items to be Announced Explicitly in Advance

Provider organizations, etc. shall indicate the following items, which applicants should understand before they submit an application to request anonymized data, on their websites, etc. to make the items widely known. (Related section: No. 4, No. 6-3, No. 7-6).

**<<Items required to be announced>>**

- Purpose and legal basis of the anonymized data provision system
- Duty of confidentiality, duty of appropriate management, prohibition of use for purposes other than those approved and of transmission to a third party, penal regulations, etc.
- Terms of use that set out the details of the contract (user policy: rules that provide the terms of use presented by the provider organization)
- Procedure to submit an application for provision and an application form
- Requirement of identity verification of the applicants and the documents for the verification will be copied at the reception
- Standard period of time for processing the application (processing period from the date an application is submitted)
- An obligation to return the anonymized data provided
- Penal regulations for violation of laws and regulations, and terminating provision if the terms of use (user policy) are violated
- Conditions of the security environment where users are allowed to access anonymized data
- Applicants shall not attempt to specify (or speculate on) the individual, household or establishment, etc.
- Applicants shall not implement to link the anonymized data to other anonymized data provided based on Article 36 of the Act or to other data that may allow the applicant to identify an individual
- In case of use for higher education, the anonymized data provided shall be stored and managed by the supervisor (instructor) and the students shall not be allowed to store or manage it
- In case of use for higher education, the supervisor (instructor) shall teach ethics of the use of statistics (education about the system, items to comply with, penal regulations, etc.)
- The use of data under the anonymized data provision system is based on a contract and not subject of the Administrative Appeal Act (Act No.160 of 1962)
- Provision of data may be delayed due to unavoidable reasons.
- Any entity which has used the anonymized data must publicize the content of (a) the outcomes of the research, (b) the higher education, or (c) the project to utilize statistics for international comparison
- Any entity which has used the anonymized data shall publicize the organization the applicant belongs to, the name of the applicant, title of the questionnaire information

used, title of the academic research, and the name of the higher educational institute or the project to utilize statistics for international comparison, etc.

- Language to be used for the application procedure
- The detailed description of procedures and conditions that an entity which receive the anonymized data overseas will be applied to if these are different from those of the domestic system, such as responding audits, method of provision of the data

## 2) Prior Confirmation, etc.

To avoid re-submission of the application which has been proven to be unfulfilled with requirements or deficient with the completion of the application documents after the confirmation of the consent for the items specified described in section 1 above and the submission of the applications, the provider organization, etc., in principles, shall conduct pre-confirmation on the following items from (1)–(6) by an interview or a phone call, etc. with the person who is planning to submit an application.

- (1) Confirmation of whether the applicant recognizes the items required to be announced in section 1 above and understands the said content properly. If the applicant does not understand the contents of any items sufficiently, the data provider organization, etc. should give explanations of such items to him/her
- (2) Instructions on filling out each form or letter of application for anonymized data as well as an explanation of the procedures to provide anonymized data
- (3) Explanation on the purpose of the use which is permitted to get the data (details of the academic research, higher education or projects to utilize statistics for international comparison), the conditions regarding the user and the environment for the use, the items required to be stated and related documents necessary for an assessment
- (4) Explanation of the criteria for approval and items that the applicant should comply with
- (5) Interviewing to applicants on the details of the planned application for anonymized data, and when necessary, giving advises of the suitability for approval as well as relevant matters
- (6) Explanations of the basic fee (Article 13 (2) (i)), amount charged for anonymized data per file (Article 13 (2) (ii)), cost of the medium (Article 13 (2) (iii)), shipping cost when the applicant requests the provision by mail (Article 13 (2) (iv)) and the method of payment (Article 13 (3))

## 3) Unit of Applications for Anonymized Data

### (1) Unit of applications for anonymized data

An application for anonymized data shall be prepared for each purpose of use, which is a requirement listed in Article 15 of the Ordinance for Enforcement to decide whether to approve the application. (The applicant may request anonymized data involving multiple statistical surveys that the said provider organization, etc. implements altogether.) (\*2)

However, when it is impossible to put all contents of multiple anonymized data in the form of an application or the provider organization, etc. regards that it would be more convenient to access the contents separately according to each anonymized data

file, the provider organization shall have the applicant enter purposes as necessary.

(\*3)

(\*2) For each application for anonymized data, an applicant will be required to submit for the following procedure including a letter of request, a performance report and a data management report.

(\*3) In this case, the form was separated for convenience; therefore, it is counted as one application and the related documents necessary for the following procedure would be counted as the same. In principles, the information to be entered in the application shall be separated in units corresponding to the units in the application for anonymized data.

- (2) Unit of applications for anonymized data to submit to entrusted incorporated administrative agencies, etc.

Regarding applications for anonymized data, etc. submitted to entrusted incorporated administrative agencies, etc., which handles the work of the provision based on entrustments from multiple provider organizations, the applications shall be separated for each data producing organization by the provider organization following the provision in (1) above.

- (3) Unit of applications for anonymized data for the purpose of higher education

An applicant who request anonymized data for the purpose of use in lectures or seminars, etc. (hereafter referred to as “lectures, etc.”), at a higher education institute shall prepare the application form according to follows. In principles, media containing the data are not provided directly to the students, etc. who use the data, but are provided in a lump to the instructor for each lecture, etc.

- (a) In cases where the data is used in multiple lectures, etc. with the same contents simultaneously by different instructors in the same institute, the multiple applications for anonymized data may be unified as one application. However, if the environment of use differs by group of students and lecture, etc., the provider organization shall require the applicant to prepare the application separately.

The data media are provided to the instructor in one lot.

Also, to ensure information management and clarification of responsibility, in principles, the anonymized data file shall be allowed to be copied (installed) for each person (computer) (see (5)). In cases where the same anonymized data is used on multiple computers by multiple students simultaneously, the number of files that corresponds to the number of users (number of computers) shall be entered in the application.

In addition, in cases where the data is used by the same instructor at the same institute in multiple lectures, etc. with the same content in different periods (e.g. first term, second term, and period of an intensive course), the applicant shall be allowed to submit the application as one application. Even in this case, the names of all the students who take the course need to be specified at the time of application and it must be possible to attach their written declaration.

- (b) In cases where the same instructor uses the data in lectures, etc. at multiple institutes, the provider organization shall require the applicant to prepare a separate application for each institute.

## (4) Unit of anonymized data

The basic unit of anonymized data files for provision shall be one file into which provider organization, etc. input the anonymized data categorized based on the reference period of related statistical surveys (yearly and monthly) and the type of questionnaire information, based on Article 13 of the Order for Enforcement.

When one set of anonymized data file is provided to multiple users, the number of the files to be provided is counted as the number of files (if multiple users use one computer alternately, it counts as one file (see (5))).

## (5) Principles of no copying anonymized data more than once (prohibition of making multiple copies)

In order to clarify management responsibility, the provided anonymized data can be copied to another memory device only once per one file of the data. In principles, until the copied data in the said different memory device is deleted, the data shall not be allowed to store in or copy to another memory device.

Therefore, in cases where the same anonymized data is used on multiple computers separately, the applicant shall be provided the same number of files as the number of computers. This shall also apply to cases where the data is used in lectures at higher educational institutes and for a project to utilize statistics for international comparison.

In cases where the data is installed in one computer and multiple users use the same anonymized data by using the computer alternately, it shall be regarded as the provision of one file.

4) Identification of Applicants and Users

In order to fulfill all the requirements given in Article 15 of the Ordinance for Enforcement based on Article 36 of the Act to receive the anonymized data, applicants and users need to have capability to use the product to contribute to the development of academic research, to use the product to contribute to the development of higher education, or to implement a project to utilize statistics for international comparison on their own responsibility.

Examples of people who fall under the requirement are as follows:

## [Academic research / Higher education]

- A researcher who belongs to a university, etc. or to an organization for academic research, or such entity
- A person who carry outs academic research at a think-tank, etc.
- A researcher who does not belong to any organization, but is doing academic research
- An instructor who gives lectures, etc. at an organization for higher-education, such as a university, or such organization

## [Project to utilize statistics for international comparison]

- An international organization in which Japan is a member

- A nonprofit organization which receives questionnaire information, etc. and funding, etc. from multiple foreign governments or international organizations, etc. (e.g. Luxembourg Income Study, Luxembourg Wealth Study)

Regarding applicants and users at universities, the assessment will be carried out on the basis of the following.

- (a) In cases where the graduate students/undergraduate students assist a research project dealing with the provided anonymized data under the instruction of a professor or where the instructor and graduate students/undergraduate students conduct joint research sharing the same anonymized data, the application shall be made by the instructor and the user shall be the instructor, graduate students, and undergraduate students.
- (b) In cases where graduate students, etc. conduct research using the provided anonymized data, the said graduate students, etc. shall be the applicant and the user.
- (c) In cases where an instructor uses the provided anonymized data to make new material for a lecture, etc. using the provided anonymized data and also distributes the material to the students, the instructor shall be the applicant and the user.
- (d) In cases where an instructor lets graduate students/undergraduate students use the provided anonymized data as they are to conduct a lecture or seminar (graduation thesis, etc.), the applicant shall be the instructor and the user shall be the instructor and all the people who use the data in the said lecture or seminar.

#### 5) Submission of Application for Anonymized Data by Agent

In cases where an agent submits an application for anonymized data based on Article 16 of the Ordinance for Enforcement, the said agent needs to hold a written document to prove his/her authority of representation of the applicant, such as the power of attorney .

Additionally, it is eligible for the agent to have enough knowledge on the substance of the application so that the agent submit the application form to the reception and make decision on whether to correct the information in the application form there as needed .

#### 6) Items to be described in the Application Form for Anonymized Data

The provider organization, etc. shall set out the form of application for anonymized data, which contains the following based on Article 16 (1)–(19) of the Ordinance for Enforcement and the Notification of MIC, with reference to appended forms 3-1 to 3-3.

The language acceptable in applications shall be determined by the head of a provider organization, etc. with consideration given to the organization's resources.

- (1) Applicant's name, date of birth, residential addresses, organization, position, and contact information

Applicants need to state his/her name, date of birth, residential address, organization, position, and contact information (including the office address, telephone number, e-mail address).

When a corporation or other organization request anonymized data which have designated a representative, they are required to state their name, date of birth,

residential address, position, and contact information (including the office address, telephone number, e-mail address).

- (2) Name and office address of the corporation or other organization (when a corporation or other organization requests anonymized data)

When a corporation or other organization requests anonymized data, the applicant needs to state their name and the official address in the entry field added under the section described in (1) above in the application form.

- (3) Agent's name, date of birth, and address (when an agent applies the use of anonymized data)

When submitting an application through an agent, the applicant is required to state the agent's name, date of birth, and address.

- (4) Name and year, etc. of the anonymized data

- (a) Name and year, etc. of the anonymized data

It is required to state the name and year of the anonymized data from the data that the provider organization, etc. has indicated as available for provision.

- (b) Number of the files needed

As described in 3(5), in cases where multiple users use the same anonymized data, except for the case where a file is used on a computer and shared by multiple students, the applicant will be provided with the number of files that corresponds to the number of users.

Thus, the applicant needs to state how many data files they want considering the method of use.

- (5) Purpose of use

Since the necessary information in an application for anonymized data are different depending on purposes of use whether it is academic research, higher education or an project to utilize statistics for international comparison, an applicant shall provide the required information in the appropriate form for their purposes and submit it.

- (6) Names of the higher educational institution, faculty and department (when the purpose of use is higher education)

In (5) above, when the direct purpose of use is education at a university, etc., it is required to state the title of course as well as the name of the higher education institute and the faculty that uses the said anonymized data.

- (7) Title of the academic research (when the direct purpose of use is academic research)

When the direct purpose of use is academic research, it is required to state the following.

- (a) Title of the academic research

It is required to state the title of the academic research, e.g. "Research regarding XX."

## (b) Necessity of the academic research

It needs to explain the usefulness of the said academic research, such as the significance of the research in the specific field of study or in society, etc.

If the research is subsidized by a funding from the government (e.g. Grants-in-Aid for Scientific Research by MEXT or Science Research Grants by the Ministry of Health and Labour), it is required to attach a copy of the notice of funding approval by the government, etc., since it is a reference to prove the usefulness of the project.

## (c) Details of the academic research

It is required to describe details about the academic research, the way the anonymized data is used, and the format of statistical tables or analysis outputs.

The applicant can demonstrate the format of result tables or analysis outputs as far as these have been determined at that time.

Also, it is required to attach material that describes the contents of the research, and a list of related literature written by the applicant as needed.

## (d) Research schedule and duration of the research

It is required to state the research schedule (the duration in which the anonymized data will be actually used, the timing in which results will be reviewed and disseminated, etc. in the said research plan).

## (8) Name of the class subject, etc. (when the direct purpose of use is higher education)

When the direct purpose of use is education at higher educational institutes, it is required to state the following.

## (a) Name of the class subject

The applicant shall state the name of the class subject, e.g. "XX Exercise (III)."

## (b) Class objective, and the necessity and method of using the anonymized data in the class subject

It is required to describe the overall objective of the class subject, e.g. "To learn the basic theory of regression statistical analysis and actual application techniques."

It is required to explain the necessity of using anonymized data and the specific way anonymized data will be used for the class subject (e.g. in the computer room exclusive use of exercises, anonymized data is used at each terminal to implement tabulation using spreadsheet software, etc.).

## (c) Contents of the class subject and the statistics to be produced

It is required to describe the contents of the class subject, the format of statistical tables and analysis outputs to be produced.

The applicant can demonstrate the format of statistical tables and analysis outputs as far as these have been determined at that time.

Also, materials, such as the class syllabus, and an outline of the ethics education of the use of statistics and the content of tabulation, shall be attached as needed.

## (d) Class period of the subject

It needs to specify the class period of the subject (including the day of the week and time of the class).

(9) Title of the Project, etc. (when the purpose of use is a project to utilize statistics for international comparison)

When the purpose of use is a project to utilize statistics for international comparison, the following shall be mentioned.

(a) Title of the project

It is required to describe the title of the project, e.g. “International Comparison Project for XX.”

(b) Necessity of the project

It is required to explain the usefulness (necessity) of the said project, such as the meaning of the project to international society and the revitalizing effect on international research.

(c) Contents of the project and the method of data use

It is required to describe details of the said project (including the modality of the project and whether to outsource or not) and the way the anonymized data will be used.

Also it is required to specify all of the people who will be provided with the international comparative statistics produced by the project.

If necessary, the applicant can separately attach materials that indicate these contents.

(d) Contents of the statistics, etc. to be produced

It is required to demonstrate the format of statistical tables to be produced and the form of analysis outputs, but applicant can present the format as far as that has been determined at that time.

(e) Project running period

It is required to state the schedule of the said project (the period in which anonymized data will actually be used).

(f) Contents of the questionnaire information that the applicant is receiving from a foreign government, etc. and the name of the foreign government, etc. (when the applicant is an international organization of which Japan is not a member)

It is required to describe the specific items contained in the questionnaire information that the applicant is receiving or will definitely be receiving to implement a project to utilize statistics for international comparison and the names of the foreign governments, etc. that provided the said questionnaire information.

If there are many items, the applicant needs to select two to five of items provided by more than two foreign governments.

Additionally, if it is assured that the information will be received, such fact shall be mentioned.

(g) Contents of the support that the applicant is receiving from public organizations in Japan or foreign governments, etc., and the name of the entity (when the applicant is an international organization of which Japan is not a member)

It is required to state the name of the public organization in Japan that the applicant is receiving support from to implement a project to utilize statistics for



international comparison, or specific details of the support that the applicant is receiving from a foreign government, etc. and the name (s) of the entity(s).

In the case of receiving support from two or more public organizations or foreign governments, etc., it is required to select two separate public organizations or foreign governments, etc. to be mentioned in the application form.

(10) All purposes of use of the anonymized data

It is required to describe the purpose of secondary use of the anonymized data in academic research, higher education, or projects to utilize statistics for international comparison.

Also, when the research results or the outcomes of the project for international comparison are published or used for other supplemental academic research, the purposes of the use for those shall be mentioned, too.

When the applicant plans to report the contents of research that is still in progress to the seminars, workshops, research meetings, etc. that are held regularly or irregularly at universities and scientific societies, and if it is impossible to identify the details at the time of the application, he/she can mention expected examples.

Using anonymized data for a purpose not submitted in the application or not approved is regarded as a violation of Article 43 of the Act (Confidentiality Obligation of a Person Who Has Received Questionnaire Information, etc.).

(11) Method of publication

- (a) When the data is used for academic research, it is required to state the name of the scientific society or meeting in which the research result is scheduled to be released and its activities (limited to general academic research grounds only) as well as the academic journal, bulletin or professional journal (limited to those available to the general public) in which the results are scheduled to be published.

If a thesis, etc. is submitted to the provider organization, etc. and can be publicized by posting it on their website, it shall be mentioned in the method of publication.

- (b) When the data is used for higher education, it needs to state the method of publication by indicating that the thesis will be posted on the website of the research office, etc. for graduation thesis and master's thesis, and that the applicant will make public on the website that they used the statistical product in lectures, etc., or disclose it in a business report of the university available to the general public, etc.

Additionally, if the provider organization, etc. can receive the graduation thesis, master's thesis, outline of the implemented seminar, etc., and post it on its website, this shall also be regarded as one of the methods of publication.

- (c) When the data is used for a project to utilize statistics for international comparison, the following will be applied.

- (i) In cases where an international organization, of which Japan is a member, uses anonymized data, it is required to mention that the applicant will distribute the outcomes of the project to the related nations and also that a working paper as outcome of the project will be posted on the website. When the said organization does what is mentioned in (ii) below, the provisions of (ii) will be applied.

- (ii) In cases where the applicant is an international organization of which Japan is not a member, and the organization uses anonymized data to produce and provide international comparative statistics, it is required to state on their website about the frequency of the statistics making use of anonymized data under the project, e.g. every Y years (\*4).

(\*4) Replace the “Y” of “every Y years” with the frequency that the organization decides.

The planned date of publication shall be mentioned for each publication plan.

- (12) Desirable date to receive anonymized data and the reason for the date

It is required to mention the desirable date to receive anonymized data and the reason why you need to obtain it by the said date.

- (13) Where the anonymized data is used and the management method

It is required to state the place where the anonymized data will actually be used, the management status and environment of the computer on which the anonymized data will be used, and the ways to store and manage the anonymized data.

In case the tabulation processing, etc. is outsourced and the use and storage will be at the place of the entity that was outsourced with the work, it needs to mention such fact.

Regarding the management status and environment, etc., of computers, the provider organization needs to set up a format that makes the assessment criteria clear, such as multiple-choice type (see appended forms 3-1 to 3-3, section 4).

- (14) Duration of the use of anonymized data

It needs to state the duration from the time the applicant actually starts using the anonymized data until the time the data will be returned (including the duration during which the anonymized data is stored).

- (15) User’s names, organizations, occupations, and each place where the anonymized data will be used

It is required to state all user’s name (including the applicant), organizations, occupations, and places of use. Also, at the time of application, a certificate of employment or certificate of school enrollment from the academic research institute or higher education institute may be required.

- (a) When the tabulation processing, etc. is outsourced, it is required to identify the staff involved in the work of processing as the user. In such case, it needs to clearly mention the user is from the contractor for the outsourcing.
- (b) When a new user is added after the application is submitted and the anonymized data is provided to the said user, another assessment and approval are necessary.
- (c) When an instructor teaches for a higher education institute, it is required to indicate explicitly that the instructor will supervise and manage the use of anonymized data by noting “instructor” in the occupation section in the application form (limited to cases where the main purpose of use is higher education).

- (16) Other questionnaire information or other anonymized data that the applicant is currently being provided with or is planning to request for provision

If an applicant intends to submit new application to request questionnaire information and/or anonymized data other than those that the applicant is currently provided with based on Article 33 and Article 36 of the Act, it is required to state the title and year of questionnaire information and/or anonymized data.

- (17) Method of anonymized data provision (Medium for provision)

Regarding the medium for provision of anonymized data, the provider organization, etc. needs to list up the possible medium specified in Article 13 (2) (iii) of the Order to deliver the anonymized data to the applicant. The provider organization, etc. needs to list up multiple mediums so that the applicant has greater choices.

The provider organization, etc. can voluntarily select any medium from the ones defined in Article 13 (2) (iii) of the Order for Enforcement. (It is possible to omit mediums that are not planned to be made available.)

- (18) Request for delivery of the anonymized data by mail

The applicant shall state whether he/she wishes to receive the data by mail. In principles, mailing to a domestic address shall be by registered mail only, and shipping to overseas shall be by a shipping service that can be tracked. Provision via communication lines, e.g. the Internet, is not available.

- (19) Other necessary matters

In developing the manuals and the application form, the provider organization, etc. shall include the items considered to be especially necessary for their assessment, as needed, and require applicants to attach a document that substantiates the public benefit of the purpose of use based on Article 11 to Article 14 of the Ordinance for Enforcement with the terms replaced by those of Article 16 of the Ordinance for Enforcement.

In addition, in the case of an application from an international organization of which Japan is not a member for the purpose of use in a project to utilize statistic for international comparison, the provider organization, etc. will require them to attach a copy of written agreement exchanged with the foreign government, etc. when the organization begins to receives questionnaire information or support from the foreign government, etc.

*<<Sample of documents that support the usefulness or necessity of the academic research>>*

- *If the applicant belongs to an organization, a document that proves that fact (certificate of employment or certificate of school enrollment from an academic research institute, higher education institute, etc.)*
- *If the applicant is a student, etc., a letter of recommendation from the instructor, university or scientific society*

- *A document that proves that the research is receiving public funding for research etc., and a list of books/thesis written by the applicant and other user(s)*
- *A copy of the agreement that the applicant exchanged with a foreign government, etc. in the beginning of receiving questionnaire information*
- *A copy of the agreement that the applicant exchanged with a foreign government, etc. in the beginning of getting support*

If the applicant outsources the related work, the provider organization, etc. shall specify the attachment of a copy of the contract that indicates the details.

#### 7) Period for Accepting Applications for Anonymized Data

The provider organization, etc. may set a period for accepting applications for anonymized data in order to improve the efficiency the work and transcription process of anonymized data, implement transcription process of the data systematically and to improve service for applicants.

In the case where the accepting period is defined, the schedule shall be publicized in the website, etc., in the beginning of the fiscal year. (Related section: No. 4, No.6-3)

Additionally, the language used for the procedure by the provider organization, etc. shall be determined by the head of the provider organization, etc. considering the resources the organization possesses.

#### 8) Department in Charge of Acceptance/Assessment of Applications for Anonymized Data, etc.

The provider organization, etc. shall designate a contact point to handle the work of acceptance of applications forms and to proceed with the work of assessment, notification of the result of the assessment and provision of the data, etc. in the organization based on allocated roles that were determined beforehand by the division that actually produces the statistics. (When no contact point is designated, all related work are handled by each division in charge of a TMT; the same shall apply hereafter.)

#### 9) Identity Verification

##### (1) When the applicant is an individual

Based on Article 11 (2) of the Ordinance for Enforcement, which is applied based on Article 16 of the Ordinance for Enforcement, the provider organization, etc. shall conduct an identification check by requesting the applicant or the agent of the applicant to show identification documents issued by government and public offices valid on the day the application is made, such as a driver's license, health insurance card, basic resident registration card, resident card, and special permanent resident certification.

When a person from overseas submits an application, the identification check is implemented using documents sufficient to identify the person, such as a passport and a driver's license issued by the relevant foreign government.

Identification check shall be implemented as following depending on the method of application.

(i) In cases where an applicant comes to the office and submits an application

When the applicant presents his/her identification document including his/her name, date of birth, address and photograph, it is required to check that the information in the document matches the information stated in the application form and check a photograph of the document with the applicant. When the identification of the applicant is confirmed, the identity verification shall be completed.

If only an identification document that has the name, date of birth and address but no photograph is available, or even if the document has a photograph but at least one of the name, date of birth or address cannot be verified, it is required to submit two or more other identification documents to check all the name, date of birth and address. (If the applicant has only one kind of identification document, he/she will be required to send a copy of different identification documents later, etc. In this case, a copy of a certificate of residence is acceptable. When the copied identification document arrives at the office, the application is regarded as completed this procedure.)

The office shall make photocopy of the identification document presented and include these as a related document.

(ii) In cases where an application is submitted by mail

Copies of two or more kinds of identification documents, which can verify the name, date of birth and address of the applicant (in a combination enabling verification of all of the name, date of birth and address, with at least two of them showing the address), need to be enclosed.

If it is impossible to prepare two identification documents, a copy of the certificate of residence shall be acceptable.

(iii) In cases where an agent comes to the office and submits an application

The procedures of agent's identity verification shall be applied with (i) above.

In addition, the procedures of the identity verification of the applicant shall be applied with cases where an application is submitted by mail.

(2) When the applicant is a corporation or other organization

When a corporation or other organization in Japan requests anonymized data that has designated a representative, the presentation or submission of the certificate of registered matters or a certificate of registered seal issued within 6 months before the date the application shall be requested.

When a company or other organization from a foreign country requests anonymized data, the presentation or submission of a certificate issued by the national organ of the foreign country that substitutes a certificate of registration for corporation issued by Japanese government shall be requested.

In addition, the presentation or submission of an identification document of the representative or manager shall be also requested depending on the following methods of application.

- (i) In cases where the representative or the manager comes to the office and submits an application form

The presentation or submission of identification documents of the representative or the manager shall be requested in accordance with (1(i)) above.

- (ii) In cases where an application is submitted by mail

The submission of identification documents of the representative or the manager shall be requested in accordance with (1(ii)) above.

- (iii) In cases where an agent comes to the office and submits an application

The presentation or submission of identification documents of the agent, the representative or the manager shall be requested in accordance with (1(iii)) above.

#### 10) Means to Submit an Application

An application for anonymized data, etc. shall be submitted directly or by mail to the contact point of the provider organization, etc. by the applicant or the agent.

### **No. 8 Assessment of Application to Request Anonymized Data**

#### 1) Organization responsible for assessments

An assessment is implemented by a provider organization, etc.

When an entrusted incorporated administrative agency, etc. implements an assessment based on Article 37 of the Act, they are required to consult with the provider organization, which entrusts the work to them, as needed, to implement the assessment.

#### 2) General Rules

Based on Article 15 of the Ordinance for Enforcement, anonymized data can be provided when it is considered to contribute to the development of academic research or the development of higher education and fulfills all of the following requirements.

- (1) It must be used only to produce statistics or for statistical research
- (2) The direct purpose must be to use the anonymized data for academic research or higher education
- (3) The results of the academic research or the contents of the higher education must be publicized in order to provide feedback to society
- (4) Even though anonymized data have been processed so that individuals/households and establishments cannot be identified, on the basis that the information is produced and provided based on questionnaire information, the data must be managed properly since it derived from questionnaire information.

Also, anonymized data can be approved to be provided when it is considered to contribute to the increasing of Japan's interests and to the healthy development of the international economy, and fulfills all of the following requirements.

(5) Anonymized data is used only to produce the statistics necessary for international comparison

(6) The applicant is an international organization in which Japan is a member or fulfills both of the following requirements.

(a) The statistics described in (5) above shall be produced for the purpose to provide statistics for international comparison or statistical research outcomes to public organizations, foreign governments, etc. or a person who conducts academic research or higher education.

(b) The applicant is receiving or definitely will receive the questionnaire information, etc. necessary for international comparative statistics from two or more foreign governments, etc., and is also receiving or definitely will receive support, such as the personnel, funding or a building or other facility, from one or more foreign governments, etc., that produce statistics, etc.

(7) In cases where the applicant is an international organization in which Japan is a member, the results of the use of the international comparative statistics, which were implemented using the anonymized data, must be publicized. In cases where the applicant is not an international organization in which Japan is a member, the status of provision of the international comparative statistics, which was implemented using the anonymized data, must be publicized.

(8) Even though anonymized data have been processed so that individual/households and establishments cannot be identified, it must be managed properly since it derived from questionnaire information.

Therefore, based on the information stated in the application for anonymized data and attached documents, the provider organization, etc. shall assess (a) whether the purpose falls in line with Article 15 of the Ordinance for Enforcement, (b) whether the way anonymized data are managed and the place the data are used are appropriate, and (c) whether the results of the academic research, the contents of the higher education or the contents of the project to utilize statistics for international comparison will be publicized appropriately in order to provide feedback to society, etc.

Additionally, in cases where the applicant attempts to link the provided questionnaire information to other anonymized data provided based on Article 36 of the Act, and other data, which may be used to identify individuals, the provision of data shall not be approved.

Also, an application for anonymized data shall not be approved for a person who is being penalized based on “No.18 Management of Inappropriate Use of Anonymized Data.”

### 3) Assessment Criteria

(1) Confirmation on whether to meet the requirement regarding the purpose of academic research

(a) When the applicant belongs to a university or an institute for academic research

When a professor, associate professor, lecturer, assistant professor, post-doctoral researcher, graduate student, etc. who belongs to a university or a research institute, etc. conducts academic research activity and the results are publicized and fed back to society in the form of a research paper, it is considered that it meets requirement regarding the purpose of academic research.

(b) When the applicant is other than (a)

When the person who belongs to a profit-making company conducts research as a part of business activity and the purpose of the activity is academic research of which outcome are fed back to society in an academic thesis, etc., it is considered that the application also meets the requirement.

Also, even though a part of the purpose of the research is profit-making, it may be recognized to meet this requirement if the research outcome is mainly used for academic research which will be provided for a fee as a secondary effect like an academic thesis or analysis results are sold after these are fed back to a society by public release.

However, when the direct purpose of the use of the said research results is as for the business of the corporation, etc. or as basic material of a report to the customers, it is not considered that the applications meets the requirement.

(2) Confirmation on whether to meet the requirement regarding the purpose of higher education

In principles, this case is limited to applications from higher education institutes or instructors who belong to the said institute, and no application from any other person are assumed.

As for the modality of use, the use of statistical products in lectures, etc. for higher education (including cases where an instructor gives guidance for a graduation thesis or a master's thesis) is assumed.

(3) Confirmation on whether to meet the requirements regarding the purpose of a project to utilize statistics for international comparison

The project must be recognized as to contribute to the increase of Japan's benefits and the healthy development of the international economic society, and the organization is required to be engaging in activities that are deemed to be fully reliable and public efforts, such as a project that is receiving the necessary questionnaire information to produce international comparative statistics from an international organization in which Japan is a member, or two or more foreign governments, etc.

(4) Name, date of birth, address, department, position, contact information of the applicant

It is required to verify (1) above with the applicant's department and position stated in the application.



Also, these need to be same as the information stated in the application and the document for identification, which are required to be presented or submitted in Article 16 of the Ordinance for Enforcement and No.7-9.

- (5) Name and address of the corporation or other organization (When a corporation or other organization makes an application)

When the applicant is a corporation or other organization, it is assessed on whether it is an organization mainly for academic research or a profit-making organization on the basis of the name and management organization, etc.

Also, these need to be same as the information described in the application and the document for identification of the corporation, which are required to be shown or submitted according to Article 16 of the Ordinance for Enforcement and No.7-9,.

- (6) Name, date of birth, and address of the agent (When an agent makes the application for provision)

When an agent is mentioned in the application to submit applications for anonymized data, the contents of the information described in the application and the document for identification, which are required to be shown or submitted according to Article 16 of the Ordinance for Enforcement and No.7-9, must be identical.

- (7) Name and year, etc. of the anonymized data

- (a) Name and year, etc. of the anonymized data

The name and year, etc. of the anonymized data, which the provider organization has publicized as available, shall be described.

Also, it shall not include unnecessary anonymized data taking into account the purpose of use, such as the contents of academic research, contents of the lectures or contents of the project to utilize statistics for international comparison.

- (b) Number of files

Considering the fact that, in principles, transcription of data is limited to one time, such as an installation to the hard disk, etc. on a computer, the number of necessary files must be consistent with the number of users and the way of use described in the other section in the application form.

Special attention is necessary for the use for higher education since there are many users involved per case.

- (8) Purpose of use

It is necessary to verify which of the direct purpose of use is, academic research, higher education or a project to utilize statistics for international comparison, and also it need to affirm that the purpose is in accordance with the contents of the following (9)–(13).

Especially, in regards to the (13), when it involves commercial treatment and the purpose of the use is obviously for profit-making, even if the direct purpose of use is stated as academic research, higher education or a project to utilize statistics for international comparison, it will not be approved.

## (9) Title and contents of the academic research, etc. (when the purpose of use is academic research)

## (a) Title, purpose and necessity of the academic research

An assessment does not mean to evaluate the importance or usefulness of the said academic research. However, the research needs to be counted as having public benefit eligible to be provided the anonymized data or, in other words, it must be considered as appropriate under socially accepted conventions.

## (b) Contents of the academic research, the method of use and the contents of statistics, etc. to be produced

The statistical products making use of anonymized data (e.g.: the tabulation forms or output forms of analysis; the same shall be applied hereafter) must be appropriate, considering the contents of the academic research and the method of use.

## (c) Research period

The research period must be set out taking into account of the time for publicizing the results and the duration of data use.

## (10) Names of the higher education institute, faculty and department (when the direct purpose of use is education at higher educational institutes)

When the direct purpose of use is education at higher educational institutes, the names of the higher education facility, faculty and department that use the anonymized data must be stated.

In this case, the institute, faculty and department stated must actually exist and it must have conformity with the department to which the applicant belongs.

## (11) Name and contents, etc. of the class subject (when the direct purpose of use is education at higher educational institutes)

## (a) Name and purpose of the class subject, necessity of the use of anonymized data in the class and the method of use

The class subject must be endorsed as a formal subject by the higher educational institute where the anonymized data are actually used.

Supplementary classes that a professor holds personally are not recognized as educational activity of the higher education institute.

The use of anonymized data for the said class subject shall be recognized as necessary, and the method of the use must be regarded as appropriate and the number of files must be consistent with the method.

## (b) Contents of the class subject and the statistical output, etc.

The statistics, etc. that are expected to be produced in the seminar using anonymized data (e.g. tabulation forms or output forms of analysis) must be appropriate judging from the contents of the class subject and the level of the students.

## (c) Course period of the class subject

The course period of the class subject shall be consistent with the period of data use, which must end by the end of the course.

(12) Title and Contents, etc. of the Project to Utilize Statistics for International Comparison (when the purpose of use is a project to utilize statistics for international comparison)

(a) Title, contents and necessity of the project to utilize statistics for international comparison

An assessment does not mean to evaluate the importance or usefulness of the project. However, the project needs to be counted as having the public benefit eligible to be provided anonymized data, and the contents of the project must be recognized as contributing to the increase of Japan's benefit in international society and to the healthy development of international economic society through international comparison projects.

(b) Contents of the project and method of data use

The contents of the said project must be relevant with the method of anonymized data, and the contents of the project need to be considered as contributing to the increase of Japan's benefit in international society and to the healthy development of international economic society.

The status of the project and use of outsourcing shall be checked and there must not be any problems in handling anonymized data such as the place of use or storage (described later in (16)), etc.

In addition, the contents of the project needs to be relevant with and the questionnaire information that the applicant is receiving or will definitely receive from foreign governments, etc.

(c) Contents of the statistics, etc.

Statistics, etc. which is produced making use of anonymized data for international comparison, needs to be relevant to the contents of the project and the method of data use.

(d) Period of a project

The period of a project must be set out taking into account of the period of data use. An application without specification of period shall not be approved.

(e) Contents of questionnaire information, etc. (when the applicant is an international organization of which Japan is not a member)

The questionnaire information, etc. provided by foreign governments, etc. must be relevant to the statistics produced using anonymized data for international comparison.

Also, the questionnaire information, etc. must include the information of the anonymized data to be provided and information comparable internationally. Specifically, a provider organization, etc. shall check the relevance of applicant's description that the project and the questionnaire information, etc. are related each other, and, if the contents are unclear, the provider organization need to require applicant to submit related material as needed.

- (f) Details of supports (when the applicant is an international organization of which Japan is not a member)

The support the applicant is receiving from public organizations or foreign governments, etc. must include the personnel, funding, a building or other facility, etc., lending equipment, etc. In addition, the public benefit of the applicant must be confirmed and, if the details of the support are unclear, the provider organization, etc. shall request the attachment of documents that indicate the specific details

- (13) All purposes of the anonymized data use

All specific purposes of the use for academic research, higher education, or a project to utilize statistics for international comparison must be stated and relevant to the purpose of use.

Also, the publication or dissemination of the product must be included in the application as one of the purpose of use.

Moreover, if there is a description of purpose of use that seems to be profit making, the provider organization, etc. must confirm which comes first, acts of profit-making or publication of the outcome of the use. It should be noted that the application with the purpose which includes profit-making may be approved when the provider organization, etc. provide their outcome for a fee based on what they released.

- (14) Method of publication

If the anonymized data are used for academic research, the results need to be publicized by a research paper, and if they are used for higher education, the content of the education needs to be publicized. Also, if the data are for a project to utilize statistics for international comparison, the results of an international comparison with the anonymized data must be publicized in the case of an international organization in which Japan is a member. In the case of an international organization in which Japan is not a member, the status of provision of the project outcome must be publicized.

Also, it is necessary that the date of the publication is stated and consistent with the duration of use.

- (15) Preferable date to receive anonymized data and the reason for the selection of the date

The preferable date for receiving the data must be appropriate considering the purpose and the method of use, and must be manageable for the provider organization, etc.

- (16) Location and environment of the use, storage place and method of management of anonymized data

It must fulfill all the following requirements (a)–(g).

- (a) To prevent anonymized data from being taken out from the place for the use (including storage; the same shall be applied hereafter) of anonymized data, it should be used only at a lockable physical location. Also, the taking of anonymized data

from the location by transferal and detachable external memory device, etc. is prevented.

(b) Anonymized data are kept in limited media, which are stored in a lockable cabinet, etc.

Also, it is desirable that the location for storage is the same as the location for use. If these locations are different, an appropriate reason will be needed.

(c) The people in the location where anonymized data are using, described in (a) above, shall be limited, otherwise some verification need to be implemented to them.

(d) The environment of information systems, when anonymized data are being used, should not be connected to any external network, including the Internet.

(e) The information system handling with anonymized data is protected by:

- Computer antivirus measures
- Security hole countermeasures
- Recognition and subject authentication measures
- Illegal operation preventative measures (e.g. screen lock)

(f) Anonymized data and intermediate products (limited to those that can identify the individual information in the anonymized data; the same shall be applied hereafter) are not left in the computers that may be connected to an outside network or used by a person other than the user. Also, the information system environment is controlled so that no-one other than the user can access the computer containing anonymized data and intermediate products.

(g) Intermediate products and waste which are generated by tabulation work and contain anonymized data, as well as the provided anonymized data should be managed appropriately to prevent information leaks.

In addition, in cases where the tabulation work, etc. is outsourced and the place for use or storage will be at the outsourced contractor's location, the requirements of (a)–(g) above must be met; therefore, the outsourcing contract document, etc. shall be used for confirmation.

If the location where the anonymized data will be used is overseas, from the viewpoint of ensuring the safety of anonymized data use, the data shall be provided in the following cases.

(h) The provider organization has a sufficient budget for travel to conduct an audit on users overseas.

(i) The application is from an organization that has been receiving questionnaire information from two or more foreign governments, etc., as well as support, such as the personnel and funding, from a public organization or one or more foreign government, etc., for the last five consecutive years so that it is considered fully trustworthy in terms of information management without conducting an audit.

(j) A Japanese staff member is on temporary posting to an organization to which the applicant belongs, and it is possible to ask him/her to check the status of the use of anonymized data.

(k) A person or staff member of the corporation or other organization that is to be provided anonymized data will be able to visit the provider organization during the duration of anonymized data use, and the provider organization will be able to conduct an interview on the status of use during the said visit.

(17) Duration for anonymized data use

The length of the duration for anonymized data use must be the minimum judging from the research plan, the duration of the subject course or the purpose of the project to utilize statistics for international comparison.

(18) Name, organization and position of all people who handle the anonymized data

Judging from the purpose, contents of the research, or the contents of the project to utilize statistics for international comparison, all users' (including the applicant's) names and organizations they belong to must be stated. Also, the number of users must be the minimum, and no unnecessary person is included in the list of users.

User names shall be stated accurately, and descriptions that do not enable the provider organization to identify the number of people or each individual, such as "the staff in XX Section," is not acceptable.

Furthermore, in cases where the tabulation is outsourced, the names of the staff members at the said outsourced contractor must be stated.

If the user is subject to a penalty of prohibition against providing the data given in No.18 and the duration of anonymized data use and the period of the prohibition measure overlap, even partially, the use shall not be approved.

(19) Other questionnaire information or anonymized data that the applicant is currently being provided or is planning to apply for the provision

When the anonymized data subject to the assessment for provision will be used with the other questionnaire information or anonymized data that the applicant is currently being provided or is planning to apply for the provision, the anonymized data must not include information that may allow the applicant identify the individual respondent of the survey.

(20) Method to deliver anonymized data (medium for provision)

The method needs to be a medium or method that the provider organization, etc. can actually provide.

(21) Request for provision by mail

Whether the applicant wishes to be delivered the data by mail or not needs to be stated.

(22) Other necessary matters

If the provider organization, etc. sets out items for assessment other than (1)–(21), the applicants have to fulfill their standard for approval.

#### 4) Correction and Re-submission of an Application for anonymized data

When the contents of an application for anonymized data or attached material are unsatisfactory, the provider organization, etc. shall require the applicant to make corrections and re-submit the application based on Article 16 of the Ordinance for Enforcement.

#### **No. 9 Calculation of the Fees**

The fee is calculated when the application for anonymized data, etc. is approved.

The fee is calculated by adding up all of the following (a) through (d) based on Article 13 (2) of the Order for Enforcement.

- (a) Basic fee: 1,850 yen
- (b) Fee for number of files: anonymized data files to be provided times 8,500 yen
- (c) Fee for medium to keep the data
  - Floppy disk: 50 yen times the number of discs required
  - CD-R: 100 yen times the number of discs required
  - DVD-R: 120 yen times the number of discs required
- (d) When the applicant requests provision by mail: the cost of registered mail

#### **No. 10 Notification of Assessment Results, etc.**

The provider organization, etc. shall notify the applicant of the results of the assessment in writing based on Article 12 (1) of the Ordinance for Enforcement applied in accordance with Article 16 of the Ordinance for Enforcement. The notification shall be sent to the applicant within 14 days from the date the application was received in the case of an academic research purpose or higher education purpose. In the case of a project to utilize international comparative statistics, it shall be sent to them before the deadline that was agreed by both sides.

#### 1) When the providing organization, etc. approves the application for anonymized data

The following items shall be described in the notification of acceptance in the form set out by the provider organization, etc., referring to Appended Form 4, and the notification is sent to the applicant.

- A statement that the organization will provide anonymized data
- Fee amount
- Payment method
- Due date of the payment
- Scheduled date of the data provision (it can be set as X days after payment is received, etc.)
- Other matters that the provider organization, etc. considers necessary.
- The fact that the payment will not be refunded once received.

Also, the form of the letter of request provided in the MIC Notification (Appended Forms 6-1 to 6-3), the terms of use (user policy) that the provider organization, etc. set out, referring to Appended Forms 7 and 8, and a written pledge shall be mailed to the

applicant, or the applicant should be informed of the website where such forms can be obtained.

2) When the providing organization, etc. does not approve an application for anonymized data

The reason shall be stated in the notification of non-acceptance in the form determined by the provider organization, etc., referring to Appended Form 5, and the notification is sent.

|                                                                                                 |
|-------------------------------------------------------------------------------------------------|
| <p><b>No. 11 Submission of Letter of Request for Anonymized Data and Payment of the Fee</b></p> |
|-------------------------------------------------------------------------------------------------|

1) Submission of the Letter of Request

Once the application is accepted, based on Article 13 of the Order for Enforcement and Article 16 of the Ordinance for Enforcement, the applicant shall submit a letter of request set out in the MIC Notification (Appended Forms 6-1 to 6-3) and written declarations by the users to follow the terms of use in the form set out by the provider organization, etc. (user policy), referring to Appended Form 8.

2) Declaration

A declaration shall be made by a document which states that all the users shall follow the terms of use (user policy) in the form set out by the provider organization, etc., referring to Appended Form 7, signed or stamped by the users. In order to clarify the items to be followed in the document, the terms of use (user policy) and the declaration shall be submitted together.

3) Payment of the Fee

The applicant shall pay the fee specified in the notification of acceptance described in No.10 to the provider organization by the specified method.

(1) Payment by Revenue Stamp

The applicant shall make payment by affixing revenue stamps in the amount of the fee prescribed by the administrative organ to the letter of request and submitting it.

The administrative organ shall verify that the amount of the revenue stamps is exactly the same as the notified amount of fee, and affix an official stamp of approval to the revenue stamp.

It is desirable that the official stamp on the revenue stamp is not written with a pencil to ensure that the value can be confirmed and the stamp cannot be detached or used again, and that the stamp is affixed over edges of both the letter of request and the revenue stamp, which should have a perforated edge.

The letter of request with the revenue stamp is kept for the period based on the administrative organ's regulation on the management of documents.

Also, every fiscal year, the amount of payment shall be reported in response to a request from the MOF (the Budget Bureau, General Affairs Division, Revenue/National Government Bond Section) through each accounts division of the ministry.



## (2) Payment by Cash

The provider organization, etc. sends a notice of payment with the notification indicated in No.10, and the applicant pay the fee by cash based on the notice to the provider organization, etc.

## (3) Reimbursement of the Fee

When the provision of anonymized data becomes unavailable for inevitable reasons and after the submission of the letter of request and the payment of the fee is complete, and the provider organization, etc. has not begun the said work yet and both the provider organization, etc. and the applicant understand this situation, the fee may be reimbursed with the following methods. (The provider organization shall consult with the accounts officer of the Cabinet Office or each ministry about the said procedure and confirm it in advance.)

### (a) When paid with revenue stamps

(i) If an official stamp of approval is not affixed yet, the administrative organ shall return the letter of request without affixing an official stamp.

(ii) The administrative organ shall take procedure of reimbursement.

### (b) When paid by cash

The administrative organ shall take procedure of reimbursement.

## 4) Copyright

When the letter of request is submitted, the provider organization shall request the applicant to submit a written oath stating that he/she will not claim a copyright on a statistical product made with the anonymized data.

## 5) Protection of Confidentiality

The details of the academic research and specification of the tabulation, etc. can be a confidential matter for the researchers. Therefore, provider organizations, etc. treat the contents of the submitted documents, etc. as secret information until they receive a report on usage.

However, based on Article 55 of the Act, this shall not apply when responding to a request for a report from the Ministry of Internal Affairs and Communications.

When the provider organization, etc. releases the contents of submitted documents, etc. on its website before receiving a report on usage, the provider organization, etc. shall obtain consent from the applicant.

## **No. 12 Provision of Anonymized Data**

### 1) Time of Provision

The anonymized data is provided promptly within the scheduled period of provision indicated in the notification of approval mentioned in No. 10. When a delay of provision is expected due to an inevitable reason, the applicant is notified promptly.

## 2) Office for Provision

Anonymized data is provided to the applicant from the office for provision at the provider organization, etc.

## 3) Method of Provision

Anonymized data is provided (a) by sending the media as registered mail or (b) by handing-out directly from the office for provision.

Anonymized data shall be encoded and provided with a password, etc. for protection.

In addition, when preparing anonymized data for provision, it is desirable to take measures like changing the sorting order of the data in each file or changing the serial number, etc. to track the paths of information leakage, just in case the data is leaked.

### **No. 13 Points to Consider When Entrusting Production and Provision of Anonymized Data**

#### 1) When all works of the provision are entrusted based on Article 37 of the Act

Entrusted incorporated administrative agencies, etc. shall notify the applicant of the results of the assessment and report the fact to the consignor.

Entrusted incorporated administrative agencies, etc. and provider organizations which outsource all work to them shall specify in their manuals about when the report shall be provided from the entrusted incorporated administrative agencies, etc. to the said provider organization and what they shall report to the provider organization through consultations.

#### 2) When a Part of Data Providing Work is Outsourced to a Private Entity

When a part of the anonymized data production and the transcript work is outsourced to a private entity, the work shall follow the provisions for a case when the provider organization, etc. makes an outsourcing contract with a private entity for management of questionnaire information, and it is necessary to ensure the protection of confidentiality, the submission of an oath regarding appropriate management and complying with laws and regulations, as well as to include terms of the management of questionnaire information etc. in contracts, based on the “Guidelines Concerning Management and Measures for Information Leakage, etc. of Questionnaire Information” (February 6, 2009, decision of Director-General for Policy Planning (Statistical Standards), MIC) and the “Guidelines Concerning Utilization of Private Entities for Statistical Survey” (March 31, 2005; Agreement at a conference among Directors for the statistics management as of March 31, 2005).

### **No. 14 Changes to Information Provided in the Application Form**

#### 1) General Remarks

When the information provided in the application form needs to be changed due to the circumstances of the applicant after it was accepted by the provider organization, etc., it shall be managed as follows.

(a) In the case of a change of position and a contact information of the users due to a personnel reshuffle, or a change of user's last name, etc., which does not seem to affect the purpose and the conditions of use the provider organization, etc. has approved, the applicant shall immediately inform the provider organization, etc. by submitting the application form for requesting change of position, addressing information. The form will be set out by the provider organization, etc. referring to Appended Form 9.

(b) For changes other than (a) above, in general, the applicant shall be asked to re-submit the application form to be assessed again. In this case, the paid fee shall not be reimbursed.

If an applicant makes modifications to one of the items in the application, he/she can notify this in the application form for requesting change of entries (the form shall be set out by the provider organization, etc. referring to Appended Form 11; the same shall apply hereafter) (except for the change of the extension of the duration of use).

When the provider organization, etc. receives the notification for the change of entries, it shall conduct an assessment on it according to No.8-3 and notify to applicant of the result of the assessment by a notice of approval or a notice of disapproval, in format of which is set out by the provider organization, etc. referring to Appended Form 12 and 13.

## 2) Change of Users

The change of users shall be handled as follows:

### (1) Elimination of a user

When a person is eliminated from the list of users, the applicant shall submit the application form for requesting change of entries in the application. If the user who is being eliminated has been using anonymized data already, the applicant shall manage the data properly until the time the data is returned to the provider organization, etc. and return it with other anonymized data at the time scheduled for return based on No.16.

### (2) Addition of a user

When it becomes necessary to add a user, the applicant shall submit the application form for requesting change of entries in the application. The provider organization, etc. conducts an assessment regarding the appropriateness of the reason for the addition based on No.8-3(16) and notifies the result of the assessment according to No.10.

After the notification, the anonymized data shall be provided following acceptance of letter of request of anonymized data and written oath (for additional persons only).

The applicant must pay the fee in the total amount mentioned in No.9 (b)-(d).

### (3) Replacement of a user

When a user is to be replaced, the applicant shall submit the application form to request to change of entries in the application. The provider organization, etc. conducts an assessment of the appropriateness of the reason for the replacement and notifies the result of the assessment according to No.10.

When the replacement is considered as appropriate and the number of files for use does not change from the original application, the replacing person is approved to use the data once the written oath (for the replacing person only) is submitted.

This treatment is only applicable when there is absolutely no change in the sections of purpose of use and other items, etc., other than the section pertaining to the users to whom the data is provided (if there is a change in these items, the applicant shall make an application for anonymized data again).

### 3) Extension of the Duration of Use

#### (1) Submission of the application for extended duration of use

When an applicant wishes to extend the duration of use for inevitable and rational reasons, he/she shall submit an application form which describes the reason for the extension and the extension duration at minimum necessary. The form is set out by the provider organization, etc., referring to Appended Form 10. When the purpose of use is academic research or higher education, approval can be given for one extension only, and this fact shall be advised to the applicant when the application is made.

However, when the purpose of use is a project to utilize statistics for international comparison, no limit is set for the number of approvals for extension since the duration of the project is expected to be long.

#### (2) Assessment Criteria on the application for extension of use

When an application for extension of use is submitted, the provider organization, etc. shall conduct an assessment based on the following criteria. It has to fulfill all of following criteria to be approved.

- A reason that makes it considered inevitable to extend the duration of use is indicated rationally.
- There is no change in the purpose of use, members of the users, location, security requirement, etc., other than the duration of use.
- The extension duration is set to the minimum necessary judging from the reason for the extension.
- This is the first request for extension on the approved application (If the purpose of use is academic research or higher education, a further request for extension will not be approved—the applicant must make an application for anonymized data all over again.)

#### (3) Notice of approval/disapproval from the provider organization, etc.

Provider organizations, etc. shall notify the applicant when it approves the application for extension. In this case, a change of the timing for submitting a performance report can be admitted together.

When disapproving the application, the applicant shall be notified of the decision and the reason. In this case, the applicant shall complete the required procedures, such as returning the anonymized data, deleting the anonymized data and the intermediate products, etc. saved on the computers and submitting a usage and a data management report by the expiration of the duration of use.

## (4) Procedures to follow upon an approval of the extension

Upon the approval of the extension, if corrections in the terms of use (user policy) or the written oath are necessary, the applicant shall be asked to submit the necessary document again.

**No. 15 Restrictions on the Use of Anonymized Data**

Users must manage the provided anonymized data appropriately based on Article 42 (1) (ii) of the Act and use the anonymized data and the statistics, etc. produced from the anonymized data within the scope of the purpose of use stated in the application based on Article 43 (2) of the Act. If the user desires to use the data for a purpose other than those mentioned in the request for anonymized data, a request to change entries in the application must be submitted and approved by the provider organization, etc.

The assessment criteria for the change of purpose of use shall follow No.8-3(11); however, the assessment is not required after the data management report is submitted.

**No. 16 Management of Anonymized Data After Use**

Once the duration of use of the anonymized data ends, the applicant shall delete or dispose of the anonymized data and intermediate products saved on memory devices, such as a hard disc, or output on a paper medium for tabulation, etc. After such measures are taken, the media shall be returned to the provider organization, etc. with a data management report the form of which the provider organization set out referring to Appended Form 14. The applicant shall return these by registered mail (the applicant covers the shipping cost) or directly to the office for provision.

**No. 17 Publication of Research Results by the Applicant**1) Publication of Research Results

(1) When the direct purpose of use is academic research, higher education or a project to utilize statistics for international comparison

The applicant shall publicize the results of the academic research, the contents of the higher education, or the outcomes of the project to utilize statistics for international comparison which were carried out using anonymized data, at the timing by the method mentioned in the application of anonymized data.

In the said publication, the applicant and the user shall clearly indicate the fact that they produced or processed statistics originally using the anonymized data and that those products are different from the statistics, etc. that the provider organization, etc. produces and publicizes.

*(Sample: This is produced and processed originally making use of anonymized data of “XX Survey” (Ministry of YY) provided by the Ministry of YY (or National Statistics Center).*

When the applicant cannot publicize the results, etc. by any method indicated in the application form since he/she originally planned to publicize the results, etc. in a journal

of scientific society but did not pass the screening for that, he\she shall submit an application form requesting change of entries in the initial application, addressing the new publication method. After this procedure is completed, the applicant shall publicize their results, etc. After the publication, the applicant shall report about performance of their use (Appended Forms 15-1 to 15-3) set out in the Notification of the MIC.

(2) When the direct purpose is a project to utilize statistics for international comparison to produce and provide international comparative statistics

The applicant shall publicize the status of use, such as the frequency of comparative statistics making use of the anonymized data, in every period determined by the provider organization, etc. by the method stated in the application.

In addition, after every publication, the applicant shall report the performance of use to the provider organization, etc. using the form set out in the Notification of MIC (Appended Forms 15-1 to 15-3).

### 2) Management in Cases where Results Cannot Be Publicized

When the results of academic research cannot be publicized due to the death of the applicant or user, dissolution of the corporate body, cancellation of a research plan, etc., it needs to report to the provider organization, etc. about the progress status of the research, and the reason that the result cannot be publicized in a usage performance report.

### 3) Limit on the Use of the Product

Use (including use for profit-making) of a product, including a statistical product that was not publicized by the method mentioned in the application shall not be permitted since it is against the object of the Act, the fundamental principles of which is public benefit.

If an applicant uses the data in such a way, it falls under the inappropriate use of anonymized data mentioned in No.18.

## **No. 18 Countermeasures against Inappropriate Use of Anonymized Data**

### 1) Penal Regulations in the Statistics Act

Article 61 (3) of the Act provides penalties when a person who has received anonymized data or a person entrusted with the work concerning the handling of anonymized data has transmitted the data or misappropriated the data for the purpose of acquiring a wrongful gain for himself/herself or a third party. When these provisions are violated, the penalty shall be applied on the individual who made a violation.

### 2) Coordination between the MIC and another Provider Organization, etc.

When a provider organization, etc. decides to apply penalties, such as the cancellation of the provision or setting the period of suspension of use, or otherwise considered necessary after they judged that the user of anonymized data or the interested party has

committed a violation of the laws and regulations, or a breach of contract or when it suspects such violation, it shall report the fact to the MIC.

Also, a report by an entrusted incorporated administrative agency, etc. to the MIC pertaining to an individual operation shall be submitted through the provider organization that entrusted the said operation to the agency (related section: No.3-4 (1)).

When the MIC receives a report related to a violation from a provider organization, etc., it shall share the information about the said report and penalty to the other provider organizations, etc. and take necessary measures so that the same suspension of period of use is enforced at all provider organizations, etc.

### 3) Breach of Contract

#### (1) Elements

The provider organization, etc. shall take action to a person who committed any of the following violations of laws and regulations, or breached the contract (hereafter referred to as the “violator”), in consulting with the MIC and other provider organizations, etc. depending on the act of the breach.

Additionally, even if the violator is a user other than the applicant, the applicant may be treated as a violator from the judgment of the said case (e.g. management responsibility, etc.)

- (a) Not returning the anonymized data, etc., by the deadline
- (b) Exposing the data to the risk of a security accident due to use of the anonymized data under conditions other than those specified the stated in the application.
- (c) Losing the anonymized data
- (d) Leaking the anonymized data
- (e) Using the anonymized data for the purposes other than those specified in the application
- (f) Others (action other that was laid down above such as violation of laws and regulations, breach of contract, or actions that impair the trust from the citizens)

#### (2) Procedures against violations

- (i) When a provider organization, etc. have found the occurrence of (1) (a)–(f) above as a violation of laws or a breach of contract, it shall contact the applicant promptly and, in principle, required to terminate the data use, return the data and delete the transcribed data and it shall report to the MIC about the contents of the violation and the status of the measures taken.
- (ii) When the MIC receives the report regarding (i) above from a provider organization, etc., it shall promptly inform about that to all other provider organizations, etc.
- (iii) When the other provider organizations, etc. receive the above information from the MIC, they shall check the record of provision of other questionnaire information or anonymized data to the violator. If they find that they have provided other anonymized data, questionnaire information based on Article 33 of the Act or results of the production of statistics by entrustment based on Article 34 of the Act

to the violator, it shall promptly check the institutional arrangements of the management and its status, etc.

(iv) Regarding the violations in (1) (a)–(f), the provider organization, etc. shall take the measures listed below and report the status of the measures taken to the MIC.

(a) When the applicant or user has not returned the anonymized data, etc., by the deadline

Provision of other questionnaire information and anonymized data is suspended until the data is returned. From the day the data is returned, the provision of other questionnaire information or anonymized data and production of the statistics by entrustment based on Article 34 of the Act will be suspended for as long as the period from the expiration of the duration of use to the day the data is returned.

(b) When the applicant or user has used the anonymized data under different security conditions from those specified in the application and exposed the data to the risk of a security accident

According to the period for which the nomination is suspended when a false proposal is made upon the signing of a contract, the provision of the anonymized data is suspended for 1–6 months depending on the degree of false representation.

Also, during the same period, provision of other questionnaire information and production of the statistics by entrustment based on Article 34 of the Act are suspended, too.

(c) When the applicant or user has lost the anonymized data

If the assessment requirement is fulfilled, the lost of data is unlikely to occur, basically. Therefore, if it is a user's fault, it is determined as the same level of violation as the violation in (b) above, and the provision is suspended for 1–6 months depending on the extent of the loss of anonymized data.

Also, during the same period, the provision of other questionnaire information and production of the statistics by entrustment based on Article 34 of the Act are suspended, too.

(d) When the applicant or user has leaked the anonymized data

Since there is a considerable possibility that the people's trust in the system will be impaired, the provision is suspended for 1–12 months, referring to the period in which nominations are suspended in a case where a private entity committed a similar accident regarding entrusted tabulation work.

Also, during the same period, the provision of other questionnaire information and production of the statistics by entrustment based on Article 34 of the Act are suspended, too.

(e) When the applicant or user used the anonymized data for other purposes

Since it falls under the violation of laws that severely impairs the citizen's trust in the system, a prohibition against submitting an application for anonymized data is imposed for 1–12 months, referring to the suspension period of designation when a private entity has made a similar use other than for the intended purpose when tabulation is entrusted to a private entity.



Also, during the same period, the provision of other questionnaire information and production of the statistics by entrustment based on Article 34 of the Act are suspended, too.

(f) Others

To the applicant or users who have committed a violation of law, a breach of contract or taken an action that impairs the citizen's confidence, the prohibition of provision of the data is imposed referring to (a)–(e) above and suspension of nomination for outsourcing.

Also, during the same period, the provision of other questionnaire information and production of the statistics by entrustment based on Article 34 of the Act are suspended, too.

(v) When the MIC receives the report mentioned in (iv) above, it shall promptly inform and share the said information to all other provider organizations, etc., and the other provider organizations, etc. shall take the measures described in section (iv) above.

(vi) Also, these measures of prohibition of provision shall be applied to an application by violators (including another request for anonymized data that has already been submitted or will be submitted by the violator) as well as an application submitted by a person other than violators but for which the list of users includes a violator.

Additionally, the same shall apply to the case where a corporation or other organization is requesting use of the data if there is a violator in the corporation or organization.

#### 4) Coordination with Other Systems

An application for anonymized data on which a sanction is imposed to prohibit providing anonymized data under the provision of questionnaire information based on Article 33 of the Act and the provision of anonymized data based on Article 34 of the Act shall not be accepted during the period of the sanction.

#### 5) Application of the Whistleblower Protection Act

The Act is subject to the Whistleblower Protection Act (Act No. 122 of 2004), and when a worker reports an illegal act, he/she is protected from disadvantageous treatment, such as dismissal, based on the Whistleblower Protection Act.

Administrative organs (\*5) shall take appropriate measures, such as developing rules and designating a contact point, based on the Whistleblower Protection Act and related guidelines, etc.

(\*5) Note that independent administrative agencies are not included in the “administrative organs” in Article 2 (4) of the Whistleblower Protection Act.

### **No. 19 Preparation and Submission of Performance Report**

#### 1) Submission of a Performance Report, etc.

Based on Article 16 of the Ordinance for Enforcement, an applicant shall report, (a) if it is for academic research, an outline of the outcomes, including the publications,

promptly after the publication of the results of the said research (within 3 months), (b) if it is for higher education, the status of implementation promptly after the completion of said educational program (within 3 months), or (c) if it is for a project to utilize statistics for international comparison, the status of implementation promptly after the publication of the utilization results or provision status (within 3 months), to the provider organization, etc. using the usage performance report (Appended Forms 15-1 to 15-3) defined in the Notification of Ministry for Internal Affairs and Communications.

When the results of academic research cannot be publicized due to a truly inevitable reason, such as a death among the applicant or the user, dissolution of the corporate body, or cancellation of the research plan, the applicant and the joint users shall describe the reason in the usage performance report and submit it.

In addition, based on a request from the Minister for Internal Affairs and Communications, based on Article 55 of the Act, the provider organization, etc. shall submit a report to the MIC every 12 months which reviews all of the performance reports and the applications for requesting anonymized data that were submitted in the year.

Moreover, based on Article 14 of the Ordinance for Enforcement, the provider organization, etc. shall disclose the information stated in the performance reports, such as the applicant's name and organization, the title of the questionnaire information used, and the title of the academic research or higher education, on their website, etc. as needed.

## 2) Process at the Entrusted Incorporated Administrative Agency, etc.

The performance reports that entrusted incorporated administrative agencies receive are communicated to the provider organizations, i.e. the consignor that entrusted the work, and the said provider organization shall report to the MIC.

## 3) Reports from the MIC to the Statistics Commission

The MIC shall review the performance reports that have been submitted from provider organizations, etc. to, reports the results to the Statistics Commission. According to necessity, the MIC shall publicize the result of the usage of anonymized data on its website, etc.. In that case, the MIC shall pay attention to the confidentiality of the applicant and manage the information accordingly.

### **No. 20 Effective Term of the Guidelines**

These guidelines, revised on August 31, 2012, are in effect from the same day.

**[List of Attached Material]**

## (Appendices)

- Appendix 1 Concept of anonymization  
 Appendix 2 Techniques of anonymization  
 Appendix 3 Standard of anonymization

## (Appended Forms)

- |                             |                                                                                                         |
|-----------------------------|---------------------------------------------------------------------------------------------------------|
| Appended Form 1             | Checklist (For surveys on households and individuals)                                                   |
| Appended Form 2             | Checklist (For surveys on corporations and establishments)                                              |
| Appended Forms 3-1 to 3-3   | Request for anonymized data [Prescribed form]                                                           |
| Appended Form 4             | Notice of approval [Prescribed form]                                                                    |
| Appended Form 5             | Notice of disapproval [Prescribed form]                                                                 |
| Appended Forms 6-1 to 6-3   | Letter of request for anonymized data provision                                                         |
| Appended Form 7             | Terms of use for anonymized data [Prescribed form]                                                      |
| Appended Form 8             | Written pledge on terms of use [Prescribed form]                                                        |
| Appended Form 9             | Report of change of attached organization [Prescribed form]                                             |
| Appended Form 10            | Request for extended duration of use for anonymized data [Prescribed form]                              |
| Appended Form 11            | Request to change entries in a request for anonymized data [Prescribed form]                            |
| Appended Form 12            | Notice of approval of a request to change entries in a request for anonymized data [Prescribed form]    |
| Appended Form 13            | Notice of disapproval of a request to change entries in a request for anonymized data [Prescribed form] |
| Appended Form 14            | Data management report                                                                                  |
| Appended Forms 15-1 to 15-3 | Usage performance report                                                                                |

## (Reference)

- Statistics Act (Extract)  
 Order for Enforcement of the Act (Extract)  
 Ordinance for Enforcement of the Act (Extract)

(Note) Appendices (Forms, etc.) are omitted from this report.

For the complete version with appendices, please visit the website for the Ministry of Internal Affairs and Communication (MIC).

(MIC Homepage: <http://www.stat.go.jp/indez/seido/houki.htm>)

\* The version on the website is in Japanese only.



# **VI Business Register (Establishment Frame Database)**



## **Business Register to be launched in 2013**

The Business Register is being developed by the Statistics Bureau of Japan (SBJ) based on the Statistics Act. The SBJ is preparing to launch the operation of the Business Register in January 2013.

### [Business Register]

The Business Register is a database which consists of the frame of statistical surveys for establishments and enterprises using the results of statistical surveys and administrative data. The Business Register is available to government, prefectures and ordinance-designated cities.

In Japan, the development of the Business Register was stipulated in the Statistics Act for the first time in 2007 revision.

#### 1. Approaches implemented so far

The SBJ has almost constructed the basis of the system of Business Register by March 2012.

For developing the Business Register, the SBJ conducted the Economic Census for Business Frame in July 2009, in order to grasp information of establishments and enterprises. It also conducted the Economic Census for Business Activity in February 2012 in order to clarify the actual situation of the economic activity of establishments and enterprises.

The results of the censuses are used as the foundation of the Business Register.

In addition, the SBJ collated the results of statistical surveys and administrative data provided by the Cabinet Office and each ministry with information in the Business Register, and examined how to record and use the data.

Furthermore, the SBJ tentatively contacted newly established and abolished establishments to confirm the information for updating the Business Register, using labour insurance information provided by the Ministry of Health, Labour and Welfare every month.

#### 2. Approaches planned from now on

##### (1) Operational test for Business Register

In order to assure smooth operation of the Business Register from January 2013, the SBJ will conduct operational tests from July 2012. Through these tests, the SBJ will construct and coordinate the system in detail and prepare fundamental data for the Business Register.

##### (2) Formulation of operational control regulations

For starting the operation of the Business Register, the SBJ will formulate operational control regulations reflecting the results of the operational tests of the Business Register which are to be executed in fiscal 2012.

##### (3) Confirming the information for updating the Business Register using labour insurance information

The SBJ will officially introduce the task of contacting newly established and abolished establishments to confirm the information for updating the Business Register using labour insurance information in fiscal 2012.

(4) Examination of Business Register statistics

In reference to the examples of foreign countries, the SBJ will examine what kind of tabulation and release are needed to be carried out about Business Register statistics, which connect various statistical surveys.

3. Main Points in Business Register

(1) Simplification of checking duplication

The SBJ will properly manage the status of implementations of coordination work in order to prevent specific establishments and enterprises from being surveyed many times, simplify the coordination work and reduce the workload by having the Cabinet Office and ministries register the operational plans of statistical surveys with the Business Register.

(2) Provision of annual frame database

The SBJ will provide an annual frame database, which is developed using the results of the Economic Census, statistical surveys, and administrative data from the Cabinet Office and ministries. The SBJ will start providing the annual frame database in the first quarter of 2013.

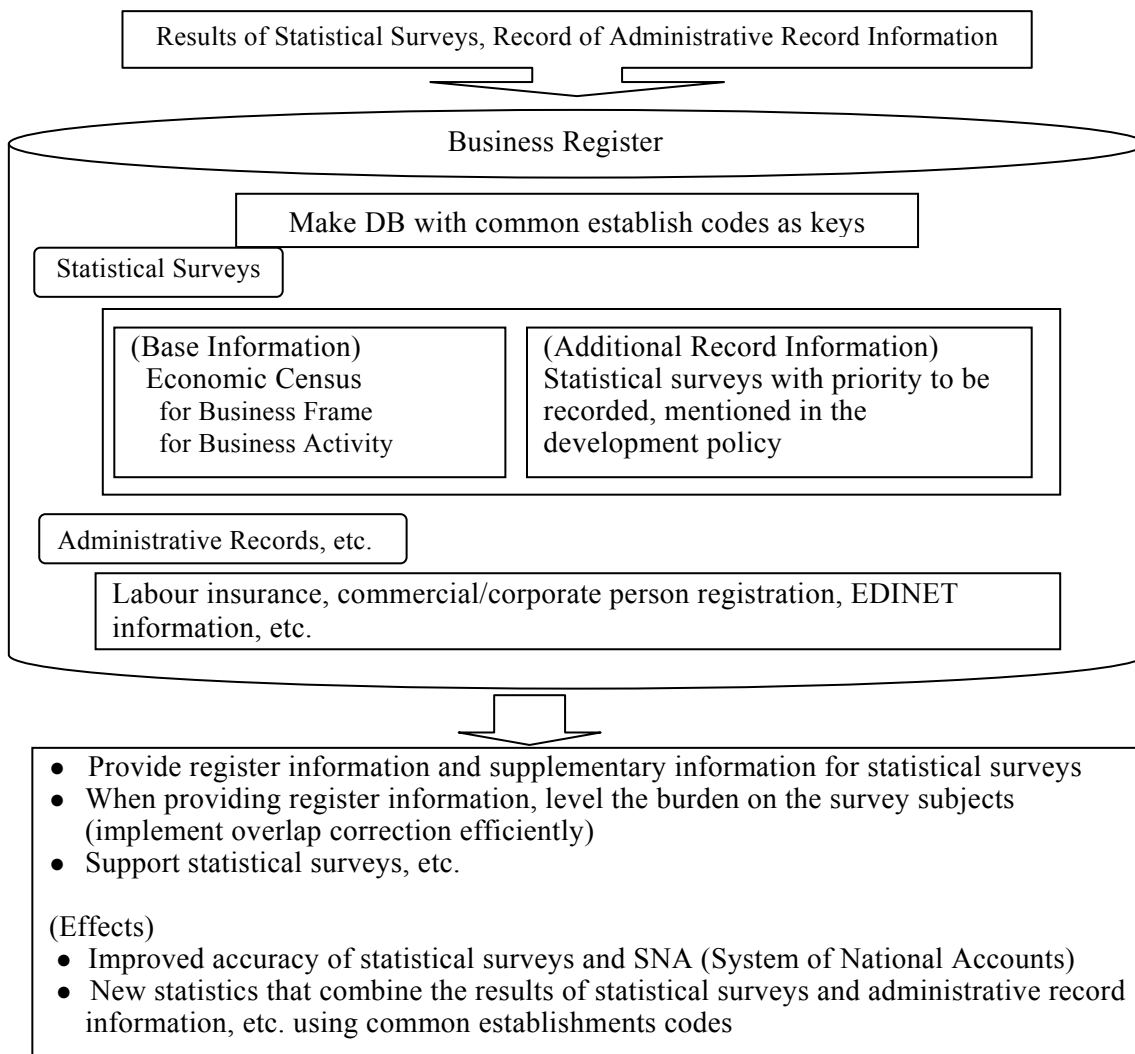
(3) Maintenance of the common establishment codes

Since the common establishment codes fulfill important roles for the operation of the Business Register, conducting the statistical surveys and using the results of surveys, the SBJ will promote the maintenance of the common establishment codes by specifying that Cabinet Office and ministries should maintain the common establishment codes in operational control regulations.



### Business Register (Establishment Frame Database)

- Assigns common establishment codes to statistical surveys and administrative record information, and makes a database based on them
  - Major countries around the world have been developing or operating it as a foundation for industrial statistics
- In Japan, it is positioned as a database developed by the Minister for Internal Affairs and Communications in Article 27 of the new Statistics Act



#### Outline of the Schedule

- |                  |                                                                                     |
|------------------|-------------------------------------------------------------------------------------|
| • FY 2010        | Determination of the "Development Policy"                                           |
| • FY 2011 onward | Preparation, such as system development, data recording, etc.                       |
| • FY 2012        | Operational tests of the system, etc.                                               |
| • Jan. 2013      | Operation begins (scheduled); Provision of annual frames begins in July (scheduled) |

## Development Policy for Establishment Frame Database

March 25, 2011

Decision made by the Minister for  
Internal Affairs and Communications

### 1. Objective

Considering the fact that the Minister for Internal Affairs and Communication must develop the establishment frame database based on Article 27 (1) of the Statistics Act (Act No. 53 of 2007), the Master Plan Concerning the Development of Official Statistics (Cabinet decision of March 13, 2009) and the “Optimization Plan of Operations and Systems for Statistical Work” (decision made at a liaison meeting among chief information officers (CIO) of the Cabinet Office and each Ministry on March 31, 2006), this development policy provides its basic content.

### 2. Development Cycle of the Establishment Frame Database

Currently, regarding the implementation of industry-related statistical surveys, the provision of population information and overlap correction, etc. is conducted using the database with core information from statistical surveys on establishments and corporations. The said process shall be made more advanced and efficient, and the development of the establishment frame database will be implemented in the following cycle:

#### (1) Input of the implementation plan of the statistical surveys

To support smooth implementation of statistical surveys at the Cabinet Office and each ministry, the MIC makes inquiries regarding the implementation plan of the statistical surveys with the Cabinet Office and each ministry, and inputs the results in the establishment frame database.

#### (2) Overlap corrections and input of survey subject registry

The Cabinet Office and each ministry shall utilize the common establishment/corporation codes, which are assigned by inquiring about the population information of the establishment frame database or register information in administrative record information and private sector information (hereinafter referred to as “administrative record information, etc.”), to correct overlaps before a statistical survey is implemented. Based on the input register information of the survey subjects, supplementary data or data for verification will be provided from the database to the Cabinet Office and each ministry.

#### (3) Provision of statistical survey results

After the implementation of a statistical survey, the Cabinet Office and each ministry provides the results to the MIC to support the smooth development of the establishment frame database.

(4) Maintenance and utilization of common establishment/corporation codes in the data of statistical surveys

The Cabinet Office and each ministry maintains the common establishment/corporation codes in the above implementation cycle of the statistical surveys and utilizes them for the organization of registry, etc. during the next survey.

Regarding new establishments/corporations recognized in a statistical survey, after the results of a statistical survey are provided to the establishment frame database, the MIC assigns a new common establishment/corporation code for each and provides the codes to the Cabinet Office and all other ministries.

### 3. Development of Support Functions for Statistics-Related Operations

To ensure that the related ministries efficiently implement the above operations, the establishment framework database is equipped with support functions for statistics-related operations, such as setting up a display screen for the Cabinet Office and each ministry, and each statistical survey.

### 4. Statistical Surveys Recorded in the Establishment Frame Database

#### (1) Procedure to record the results of statistical surveys

To establish a base for development of the establishment frame database for the time being, results are recorded mainly from fundamental statistics surveys and statistical surveys in order of frequency of use and contribution to development in the Cabinet office and ministries of the said database, from the results of statistical surveys provided based on 2 (3).

- Statistical surveys that are complete (or almost complete) in specific industries
- Statistical surveys on a wide range of industries, which have a certain amount of complete sections
- Statistical surveys on a wide range of industries, which have many survey subjects
- Additionally, statistical surveys expected to produce new statistics by connecting with administrative record information, etc., and other general statistical surveys that are considered especially useful to develop this establishment frame database

Based on the above, statistical surveys with priority to be recorded in the establishment frame database are as listed on an attached document for the time being. Other statistical surveys that need to be recorded will be added in operations management regulations.

#### (2) Contents to be recorded

Regarding the contents recorded in the establishment frame database, information from the Economic Census for Business Frame and Business Activity (hereinafter referred to as the “Economic Census”) is recorded as base information, and from surveys other than the Economic Census, items that are in common with those of the Economic Census are recorded in particular. To contribute to the implementation of other various statistical surveys, items to be recorded will be added when needed.

## 5. Utilization of Administrative Record Information, etc.

### (1) Utilization of administrative record information

Regarding administrative record information, such as commercial/corporate person registration information, labour insurance information and EDINET information, the recording method shall be examined and the results of statistical surveys such as the Economic Census, etc. shall be utilized as supplementary information.

### (2) Utilization of private-sector information

The utilization of profiling (confirmation of and inquiries on the information in the establishment frame database) and a variety of business information collected in the private sector as supplemental information for the results of statistical surveys and administrative record information shall be examined. Furthermore, the inclusion of geospatial information will also be examined from the viewpoint of better use of the information in the said database by the Cabinet Office and ministries.

## 6. Development Schedule

The establishment frame database will be developed as a part of the Inter-Ministry Information System for Official Statistics, and the operation is planned to begin from January 2013. The main schedule for fiscal year 2011 and 2012 toward the official launch is as follows:

### FY 2011

- Check that the results of statistical surveys with recording priority, etc. match the information from the Economic Census
- Begin recording information on labour insurance, EDINET information, etc. and that of various administrative records
- Prepare the operations management regulation pertaining to specific administrative affairs of the establishment frame database, etc.

### FY 2012

- Implement the test operation of the establishment frame database using the results of statistical surveys with recording priority
- Begin recording private sector information and geospatial information, etc.