Application Criteria for Use of the Japanese Study of Aging and Retirement Datasets

RIETI Notice No. 20, May 17, 2010

Amended on June 28, 2013 (RIETI No. 7 dated June 25, 2013)

In accordance with Article 3 Clause 6 of the Research Institute of Economy, Trade and Industry (hereinafter "RIETI") Regulations Regarding the Protection and Management of Confidential Datasets (hereinafter the "Regulations"), the following criteria shall apply in examining the applications for the use of the Japanese Study of Aging and Retirement (hereinafter "JSTAR") datasets.

1. Basic Concepts

JSTAR is compiled data regarding the attributes of elderly individuals. Therefore, particularly stringent screening measures shall be designed and applied in approving applications for the use of JSTAR in order to ensure the appropriate management of these confidential datasets.

In addition, JSTAR data have been and are being collected through in-depth surveys for the purpose of providing information critical to the planning of social security and welfare services for elderly people in the future; thus, JSTAR data should be used only for the purpose of achieving this aim.

In order to properly manage and protect JSTAR data, RIETI shall define three levels of confidentiality at which JSTAR data may be made available based on the types of attribute information and, for each confidentiality level, set application approval criteria as stipulated below.

It should be noted that the Codebook (variables and their statistics summary included in the micro-datasets) shall be disclosed to the public on RIETI's website.

2. Holding a Hearing with Researchers Engaged in the Development of JSTAR

JSTAR has been developed by integrating the results of the surveys conducted by RIETI and five

other research groups.[1] Therefore, in approving an application for using such datasets, the chairman of RIETI shall hold a hearing and listen to the opinions of the committee comprising leading researchers representing those research groups engaged in the surveys. This committee shall be comprised of six members, namely, Hidehiko Ichimura, Satoshi Shimizutani, Noriyuki Takayama, Yukinobu Kitamura, Hideki Hashimoto, and Yasuyuki Sawada.

3. Criteria for Approving the Use of JSTAR Data by Confidentiality Level

(1) JSTAR data containing detailed geographic information (specific addresses of individuals surveyed including the residential districts): Confidentiality Protection Management Level UH (Ultra High)

   ① Only approved if the datasets are to be used for RIETI research projects. Approval shall not be granted for any other projects.

   ② Approved users can access Level UH data only via the Secured Access System for Elaborated Study (SACSES), which is RIETI's proprietary remote control system, and they must visit RIETI and use workstations that are located in designated rooms within the RIETI premises.

(2) JSTAR data containing municipality-level geographic information (10 municipalities): Confidentiality Protection Management Level VH (Very High)

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[1]The research group represented by Professor Emeritus Noriyuki Takayama of the Institute of Economic Research, Hitotsubashi University, which received Grants-in-Aid for Scientific Research from the Ministry of Education, Culture, Sports, Science and Technology for the special research project on Intergenerational Equity Stage 1 (2006–2009) and Stage 2 (2010-2014); the research group represented by Professor Yukinobu Kitamura of the Institute of Economic Research, Hitotsubashi University, which received a Health and Labour Sciences Research Grant from the Ministry of Health, Labour and Welfare for the project entitled *Nenkin Seido to Intai Purosesu / Juekisha no Seikatsu Suijun no Sogokankei ni kansuru Kenkyu* [Research on the Interaction between the Retirement System and the Living Standards of Pension Recipients] (2007, 2008); the research group represented by Professor Hideki Hashimoto of the Graduate School of Medicine of the University of Tokyo, which received Health and Labour Sciences Research Grants for Comprehensive Research on Aging and Health (2007–2009), Research on Policy Planning and Evaluation (2010-2011), and Research on Global Health Issues (2012-2013), and a Grant-in-Aid for Scientific Research (A) for the project entitled *Yoshoki ni okeru Jinteki Shihon Keisei to Chukoreisha no Kenko Kakusa no Kanren* [Association between Human Capital Formation in Childhood and Health Disparities among the Middle-aged and Elderly Population] (2012-2016); the research group represented by Professor Hidehiko Ichimura of the Graduate School of Economics of the University of Tokyo, which received a Grant-in-Aid for Scientific Research for the project entitled *Puroguramu Hyokashuho no Kaihatsu: Koreisha Mondai o Nento ni* [Development of Program Evaluation Methods: Focusing on problems associated with the elderly] (2010-2013); and the research group represented by Professor Yasuyuki Sawada of the Graduate School of Economics of the University of Tokyo, which received a grant from the Leading-edge Research Promotion Fund for the Evidence-Based Policy Study on Poverty Dynamics (ESPD) Project (2010-2013).

① Approved if the application for use is for research applying statistical methods *and* all of the following conditions are met:

   i. Confidential datasets are only used for research applying statistical methods;

   ii. Confidential datasets are only used for the purposes listed in the application for use;

   iii. Results of the research using the confidential datasets will be disclosed;

   iv. Necessary measures are taken to appropriately administer the confidentiality of the datasets;

   v. The datasets containing municipality-level geographic information are essential to the research for which permission to use the datasets is being sought; and

   vi. The application falls under one of the following categories:

      a. The application is for research that contributes to the enhancements and developments of research applying statistical methods. Thus, the application must be made specifically by researchers belonging to a university or research institute that has at least one researcher whose work has been published in academic journals above a certain level; or

      b. The application filed by government agencies is for research applying statistical methods and the resulting research findings are to be used for policymaking purposes such as publishing white papers and preparing materials for government advisory councils.

② Approved users must use the RIETI remote control system (SACSES) to access Level VH data.

(3) JSTAR data not containing geographic information (no individual addresses): Confidentiality Protection Management Level H (High)

① In the case where the requested data are to be used in research applying statistical methods, all of the following conditions must be met:

   i. Confidential datasets are only used for research applying statistical methods;

   ii. Confidential datasets are only used for the purposes listed in the application for use;

   iii. Results of the research using the confidential datasets will be disclosed;

iv. Necessary measures are taken to appropriately administer the confidentiality of the datasets;

v. The application falls under one of the following categories:

   a. The application is for research that contributes to the enhancements and developments of research applying statistical methods. Thus, the application must be made specifically by researchers belonging to a university or research institute that has at least one researcher whose work has been published in academic journals above a certain level; or

   b. The application filed by government agencies is for research applying statistical methods and the resulting research findings are to be used for policymaking purposes such as publishing white papers and preparing materials for government advisory councils.

② In the case that the requested data are to be used for educational purposes for institutions of higher education, such as at universities or technical colleges, all of the following conditions must be met:

   i. Confidential datasets are only used for educational purposes related to the research applying statistical methods;

   ii. Confidential datasets are only used for the purposes listed in the application for use;

   iii. Contents of educational activities using the confidential datasets will be disclosed; and

   iv. Necessary measures for students to appropriately administer the confidentiality of the datasets are attached to the application for use and that the implementation of such measures is ensured.

③ In the case of ① and ② above, use of the RIETI remote control system (SACSES) is not required as a condition for using the datasets.

4. Check Sheet Accompanying the Application for Use

When applying for the use of JSTAR datasets, ensure that all potential users attach a sheet listing their responses to the following questions designed to check whether they recognize the confidentiality protection issues.

Questions shall be as follows:

(1) Have you ever used data without proper authorization, or have you ever been deemed to have engaged in such conduct by entities such as a faculty meeting?

(2) Have you ever misappropriated academic articles, or have you ever been deemed to have engaged in such conduct by entities such as a faculty meeting?

(3) Have you ever misappropriated research funds such as the Grant-in-Aid for Scientific Research by the Ministry of Education, Culture, Sports, Science and Technology, or have you ever been deemed to have engaged in such conduct by entities such as a faculty meeting?

(4) Do you personally know any individual surveyed for JSTAR or a relative of such individual?

(5) Have you ever attempted to interfere with the implementation of JSTAR or were engaged in any act that may have been deemed as such attempt?

(6) Are you certain that you do not object whatsoever to RIETI suspending the use of the datasets and/or suspending publication of the academic article for which the datasets are being used, notifying the relevant authorities, requesting such authorities to conduct an investigation of the situation, and reporting to the judicial authorities in the event that you make any false statements regarding (1)–(5)?

Supplementary Provision (RIETI No. 9, dated May 14, 2010)
This notification shall become effective on May 17, 2010.

Supplementary Provision (RIETI No. 7, dated June 25, 2013)
This notification as amended shall become effective on July 1, 2013.