

Stress-check System Implementation Guidelines of the Public University Corporation, the University of Aizu

Chapter One General Provisions

Article One (Objective)

1.1 These guidelines provide for the necessary matters regarding the implementation of tests, etc. to assess the levels of psychological stress (hereinafter referred to as the “Stress-check System”) at the Public University Corporation, the University of Aizu (hereinafter referred to as “the Corporation”) based on the provisions of Article 66-10 of the Industrial Safety and Health Act (hereinafter referred to as “the Act”).

1.2 Provisions in the Act, other laws, rules, notifications shall apply to matters other than those provided for in these guidelines regarding the implementation method, etc.

Article Two (Procedure to Change the Guidelines)

2.1 In order to change these guidelines, the Health Committee provided for in Article Ten of the Regulation Concerning Safety and Health Management of Personnel of the Public University Corporation, the University of Aizu (Regulation No. 48, 2006, hereinafter referred to as the “Regulation on Safety and Health”) shall make necessary investigation and deliberation. Based on results of their investigation and deliberation, these guidelines shall be changed.

Article Three (Definitions)

3.1 The meanings of the terms used in these guidelines shall be as defined in the following items.

- (1) Employees, etc.: those defined as follows
 - a. Executives of the Corporation (Excluding the auditors)
 - b. Employees who are subject to the Ruling Concerning Office Regulations for Personnel of the Public University Corporation (Regulation No. 36, 2006), the University of Aizu, Ruling Concerning Office Regulations for Non-regular Personnel, etc. of the Public University Corporation, the University of Aizu (Regulation No. 37, 2006) or the Office Regulation for Fixed-term Personnel of

the Public University Corporation, the University of Aizu (Regulation No. 1, 2012), excluding those whose working hours per week does not exceed a half of those of regular personnel.

- (2) Stress-check tests: Tests to assess the levels of psychological stress provided for in Paragraph One, Article 66-10 of the Act.
- (3) High-stress individual: Someone who is recognized as having a high level of mental burden as a result of the stress-check test
- (4) Face-to-face guidance: Interviewing provided for in the Paragraph Three, Article 66-10 of the Act.

Article Four

(Scope of Application)

4.1 These guidelines shall apply to employees, etc.

Article Five

(Announcement, etc. of the System)

5.1 The Corporation must announce these guidelines to its employees, etc.

5.2 The Corporation shall announce the points listed in the following items to employees, etc. regarding the Stress-check System when conducting stress-check tests.

- (1) The primary objective of the Stress-check System is to prevent stress-related disorders of Employees, etc. before they occur by encouraging them to become aware of their stress and providing supportive measures to cope with their stress as well as improvement of working environment. The primary objective of the stress-test is not to discover employees with stress-related disorders.
- (2) Employees, etc. have no obligation to take the test. However, barring any acceptable reason such as the fact that the Employees, etc. are under treatment at a specific medical institute, it is desirable that all employees, etc. take the test.
- (3) Individual examinees shall be directly notified of their test results. Any individuals other than the assessors and the clerical associates provided for in Paragraph 8.1 and Paragraph 9.1 respectively below shall not obtain the test results without the consent of the examinees.
- (4) Individual employees, etc. shall make their intention to provide their test results by submitting a “Request for Guidance from a Doctor and Written Consent to Provide Results of the Stress-check Test (Form 2)” to the Corporation. The test results of individual employees, etc. that the Corporation obtained with their consent shall be used no other purposes than the purpose of the health

management of said individuals.

- (5) Information in the “Report on (Record of) Face-to-face Guidance Result (From 1),” which will be provided to the Corporation by the physician who provided individual employees, etc. face-to-face guidance shall be used no other purposes than the purpose of the health management of said individuals.
- (6) Individuals who have authority over personnel issues (authority to decide on dismissal, promotion, reassignment of employees, etc.) must not be the assessors and the clerical associates respectively provided for in Paragraph 8.1 and Paragraph 9.1 below.

Article Six

(Outsourcing of Tasks to External Organizations)

6.1 Part of the tasks related to the implementation of the Stress-check System may be outsourced to an external organization.

Chapter 2

Implementation System of the Stress-check System

Article Seven

(Persons in Charge of the Stress-check System)

7.1 The individuals listed in the following items shall be served as persons in charge of the Stress-check System.

- (1) The Health Manager provided for in Article Six of the Regulation Concerning Safety and Health Management of Personnel of the Public University Corporation, the University of Aizu (hereinafter referred to as the “Health Manager”).
- (2) The Chief of the General Affairs Section of the General Affairs and Budget Division of the Administrative Office
- (3) A clerical employee belonging to the Administrative Office who is in charge for health management of the Corporation's personnel.

7.2 Persons in Charge of the Stress-check System shall prepare implementation plans for the Stress-check System and conduct practical tasks including management of the implementation based on the plans.

Article Eight

(Assessors of the Stress-check)

8.1 The positions of assessors of the Stress-check (hereinafter referred to as “the Assessors”) shall be established within the Corporation and served by individuals listed in the following items.

- (1) The Industrial Doctor of the corporation (hereinafter referred to as the “Industrial Doctor”)
- (2) The part-time nurse of the Corporation (He/she must complete the training course regarding knowledge necessary to conduct the tests which is designated by the Minister of Health, Labor and Welfare (hereinafter referred to as the Nurse)
- (3) Outsourced psychiatric social worker (Only in the case of outsourcing to external organizations, hereinafter referred to as the “Psychiatric Social Worker”)

8.2 The Industrial Doctor shall serve as the assessor, the Nurse and the Psychiatric Social Worker as co-assessors.

Article Nine

(Clerical Associate for the Stress-check)

9.1 The position of clerical associate for the Stress-check (hereinafter referred to as the “Clerical Associate”) shall be established within the Corporation and served by individuals listed in the following items.

- (1) An employee affiliated with the Administrative Office who is in charge of health management of employees
- (2) Outsourced psychiatric social worker (Only in the case of outsourcing to external organizations)

9.2 The clerical associate shall conduct clerical tasks of the Stress-check based on the instruction of the Industrial Doctor, such as scheduling, announcements, distribution/collection of survey sheets, and data entry.

Chapter Three

Implementation Method of the Stress-check System

Section One Stress-check

Article Ten (Timing of Implementation)

10.1 The stress-check tests shall be implemented once a year. The period of its implementation shall be determined separately.

Article Eleven

(Examinees of the Stress-check Tests)

11.1 The stress-check tests shall be implemented on employees, etc.

11.2 Notwithstanding the provisions of the preceding paragraph, employees, etc. who are away from work for one month or longer due to leave of absence, etc. during the annual stress-check period shall not be subject to the stress-check.

Article Twelve

(Taking the Stress-check Test)

12.1 Employees, etc. must make an effort to take the stress-check tests during the period provided for in Article Ten above in the absence of special reasons, such as being under treatment at a medical institute.

12.2 Since the stress-check tests are conducted for the purpose of appropriate health management and prevention of mental disorder of employees, etc., employees, etc. must honestly respond to questions about their stress.

12.3 The Corporation must make arrangements for all employees, etc. to take stress-check tests during working hours.

12.4 The persons in charge of the Stress-check System shall assess whether employees, etc. have taken the test during the implementation period, and have the assessors or clerical associates encourage those who have not taken to do so.

Article Thirteen

(Questionnaire Items and Method)

13.1 The standard questionnaire items (57 items) that the Ministry of Health, Labor and Welfare provides shall be used for the Stress-check Test.

13.2 The Stress-check Test provided for in the previous paragraph shall be conducted utilizing information communication technology such as the Internet (hereinafter referred to as "ICT"). However, in the event it is not possible to use ICT, the test may be conducted using paper-based questionnaires.

Article Fourteen

(Survey for Improvement of Working Environment)

14. 1 In line with the implementation of the Stress-check Test, The Corporation shall conduct a survey for the purpose of preparation of goals and plans toward improvement of working environment.

14.2 The survey for work environment improvement shall be conducted using “Mental health Improvement and Reinforcement Research of Recognition (MIRROR)” presented in the “Manual for Implementation of the Stress-check System” based on the ACT, which is published by the Ministry of Health, Labor and Welfare (hereinafter referred to as the MANUAL). 14.3 The survey for improvement of working environment may be conducted using the ICT. However, in the event it is not possible to use ICT, the survey may be conducted using a paper-based version of MIRROR.

14.4 The provisions of Article 11 shall apply to subjects to be conducted the survey for improvement of working environment.

Article Fifteen

(Methods for Assessment of Stress Levels and Determination of Highly Stressed Individuals)

15.1 Results of the stress-check test for individual employees, etc. will be converted with the conversion chart provided in the MANUAL and presented in a cobweb chart or table, etc.

15.2 The “Example of the Assessment Standard No. 2” in the MANUAL shall apply to determination of highly stressed individuals; those who fall under either of the following items.

- (1) With regard to six scale factors of “Physical and Mental Stress Responses” (29 items), a total point is 12 or lower
- (2) With regard to a total of 12 scale factors including nine scale factors of “Work-related Stressors” (17 items) and three scale factors of “Support from Individuals in Workplace” (nine items), a total point is 26 or lower and a total point for six scale factors regarding “Physical and Mental Stress Responses” is 17 or lower.

Article Sixteen

(Method of Announcement of Stress-check Test Results)

16.1 The Assessor or the Clerical Associate who received directions from the Assessor shall notify individual Employees, etc. of their stress-check test results. At that time, the Assessor or the Clerical Associate who received directions from the Assessor must take necessary measures lest a third party be informed of the results.

Article Seventeen

(Self-care)

17.1 Employees, Etc. must make efforts to give themselves care to appropriately reduce stress based on their individual stress-check results and the advice and instructions included in the results by the Assessor.

Section Two

Face-to-face Guidance by a Doctor

Article Eighteen

(Method to Request for Guidance from a Doctor)

18.1 Employees, Etc. who have been determined as those who need face-to-face guidance from a doctor as a result of the stress-check test and request for the guidance must submit a “Request for Guidance from a Doctor and Written Consent to Provide Results of the Stress-check Test” (Attached Form No. 2) by the deadline designated by the Assessor or Clerical Associate.

18.2 The face-to-face guidance provided for in the previous paragraph shall be conducted by the Industrial Doctor, in principle.

Article Nineteen

(Method of Conducting Face-to-face Guidance)

19.1 The date for conducting face-to-face guidance provided for in the previous article shall be within approximately one month after the day of submission of the “Request for Guidance from a Doctor and Written Consent to Provide Results of the Stress-check Test” (Attached Form No. 2).

19.2 The Clerical Associate shall notify the Employees, Etc. concerned and the head of their affiliation of the date and venue for conducting the guidance provided for in the previous paragraph.

19.3 The Employees, Etc. concerned shall receive the guidance to be conducted on the date and at the venue designated by the notification provided for in the previous paragraph. The head of their affiliation must make arrangements so that the Employees, Etc. concerned will be able to receive the guidance on the designated date and at the venue.

19.4 The Clerical Associate and the head of the affiliation must take measures lest a third party be informed that the Employees, Etc. concerned are subject to the guidance.

Article Twenty

(Requesting for Opinions from Doctor based on Results of Face-to-face Guidance)

20.1 The Corporation shall ask the doctor who conducted the guidance based on the provisions of the previous article (hereinafter referred to as the “Doctor Conducting Guidance”) to submit report on result and opinions in the Form No.1 within approximately one month after conducting the guidance.

Article Twenty-One

(Implementation of Measures based on Results of Guidance)

21. 1 In the event that the Doctor Conducting Guidance has determined that some work-related measures are required for an Employee, Etc. who was given a face-to-face guidance, the Director of the General Affairs and Budget Division of the Administrative Office or the Director of the Junior College Administrative Office (hereinafter referred to as the “HR Manager”) shall provide an explanation on the work-related measures and reasons, etc. for them to the Employee, Etc. with the Industrial Doctor present. However, in the case where the Industrial Doctor determined that he/she does not need to be present during the explanation, the HR Manager alone may provide the explanation.

Article Twenty-Two

(Handling of Duties When Employees, Etc. Receive Face-to-face Guidance)

22.1 Handling of duties of Employees, Etc. when they receive face-to-face guidance shall be the same as that of the periodical medical checks.

Section Three

(Aggregation and Analysis of Results by Group)

Article Twenty-Three

(Groups Subject to Totaling and Analysis of Results)

23.1 Results of stress-check tests shall be aggregated and analyzed according to the groups (hereinafter referred to as the “GROUP(S)”) as indicated in the table below, in principle. However, results of a group of less than five members shall be aggregated and analyzed together with other group belonging to the same affiliation.

Group	Constituents	Affiliation	HR Manager
1	UoA Faculty Members (including regents)	UoA	Director of the General Affairs and Budget Division
2	UoA Staff Members		

3	UoA Non-regular, etc. Staff Members		
4	JCD Faculty Members (including regents)	JCD	Director of the Junior College Administrative Office
5	JCD Staff Members		
6	JCD Non-regular, etc. Staff Members		

Article Twenty-Four

(Method of Totaling and Analysis of Results)

24.1 Results of stress-check tests shall be appropriately aggregated and analyzed according to the GROUPs using the “Work-related Stress Graphs” in the manual and previous research results and practical examples as reference.

Article Twenty-Five

(Provision of Results of Totaling and Analysis)

25.1 The results aggregated and analyzed in accordance with provisions of the previous article shall be provided to the HR Manager by order of the Assessor. The Clerical Associate must take measures to prevent the identification of individuals before providing the results.

Article Twenty-Six

(Use of Results of Totaling and Analysis)

26.1 The Corporation shall implement measures to improve working environment and provide training as needed based on results of totaling and analysis by GROUP and results of survey of working environment mentioned in Article Fourteen above.

26.2 Employees, Etc. must cooperate in implementing measures to improve working environments.

Chapter Four

Retention of Records

Article Twenty-Seven

(Retention of Results of Stress-check Tests)

27.1 The Clerical Associate shall keep results of Stress-check Tests in shelves, etc. under lock and key so that a third party cannot access them.

27.1 The period of the retention provided for in the previous paragraph shall be five years.

Article Twenty-Eight

(Retention of Individual Results of Stress-check Tests Provided to Corporation with the Consent of Individuals Concerned)

28.1 Persons in Charge of the Stress-check System shall keep results of Stress-check Tests in shelves, etc. under lock and key so that a third party cannot access them.

28.2 The period of the retention provided for in the previous paragraph shall be five years.

Chapter Five

Information Management Concerning Stress-check System

Article Twenty-Nine

(Scope of Individuals Sharing Results of Stress-check Tests)

29.1 Results of Stress-check Tests (excluding those provided with the consent of individual concerned) shall be shared only by the Assessor and the Clerical Associate, and must not be provided to other Employees, Etc.

Article Thirty

(Scope of Individuals Sharing Results of Face-to-face Guidance)

30.1 Report on (Record of) Face-to-face Guidance Result, which includes information limited to that of required for performing duties, such as content of measures for working, shall be provided to the head of the affiliation of the Employee, Etc. in question.

Article Thirty-One

(Scope of Individuals Sharing Results of Totaling and Analysis by GROUP)

31.1 Results of totaling and analysis, survey for improvement of working environment and measures for working shall be reported to the Health Committee.

Article Thirty-Two

(Scope of Individuals Handling of Health Information)

32.1 Of information handled related to the Stress-check System, data of diagnosis, laboratory values, content of complaints, etc. and detailed medical information shall be handled by the Industrial Doctor and the nurse. When providing said information to the

HR Manager and the head of affiliations of the Employees, Etc. in question, appropriate measures must be taken so that individuals with whom the information is concerned must not be identified.

32.2 The HR Manager and the head of affiliations of the Employees, Etc. in question must handle relevant information provided by the Industrial Doctor and the nurse in accordance with the provisions of Article Twenty-eight above.

Chapter Six

Information Disclosures

Article Thirty-Three (Procedures for Information Disclosure)

33.1 Employees, Etc., when requesting disclosure of information related to the Stress-check System, must follow procedures based on the Regulation on the Protection, Etc. of Personal Information Handled by The Public University Corporation, The University of Aizu (2012 Regulation No. 3).

Article Thirty-Four (Confidentiality)

34.1 Persons in Charge of the Stress-check System, Assessor, Clerical Associate and employees involved in information disclosure provided for in the previous article must not leak confidential information of Employees, Etc. obtained through their duties (results of stress-check tests and other health information of Employees, Etc.) to a third party.

Chapter Seven

(Prevention of Unfavorable Treatment)

Article Thirty-Five (Prevention of Unfavorable Treatment)

35.1 The Corporation must not do the following with regard to the Stress-check System.

- (1) To treat an Employee, Etc. unfavorably on the grounds that he/she requested face-to-face guidance by a doctor based on results of a stress-check test
- (2) To treat an Employee, Etc. unfavorably on the grounds of the result of a stress-check test which was provided to the Corporation with the consent of the Employee, Etc.

- (3) To treat an Employee, Etc. unfavorably on the grounds that he/she did not take a stress-check test
- (4) To treat an Employee, Etc. unfavorably on the grounds that he/she did not request face-to-face guidance by a doctor despite the fact that it was said that he/she needed the guidance.
- (5) To treat an Employee, Etc. unfavorably without following the procedures provided for in the Act and the Ordinance on Industrial Safety and Health (Ordinance of the Ministry of Health, Labor and Welfare No. 23 of 1972) when the Corporation takes measures to help him/her perform his/her duties
- (6) To treat an Employee, Etc. unfavorably
- (7) To take following measures as those for performing duties based on result of face-to-face guidance
 - a. To terminate employment
 - b. Not to renew the employment contract for Employees, Etc. employed for a predetermined period
 - c. To persuade the Employee, Etc. to resign
 - d. To order of job rotation or change of job title that can be determined as having been done for unjust reason or objective
 - e. To take any other measure that violate relevant laws and ordinances

Article Thirty-Six

(Miscellaneous Provisions)

36.1 Necessary matters regarding the Stress-check System implementation other than those provided for in these guidelines, the Chairperson of the Board of Regents shall determine separately.

Additional Provisions

These guidelines shall be enforced as of November,30, 2016.